

## **Human Resources (H)**

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**H01****General**

Consists of records relating to human resources of the University in general that do not fit elsewhere in this section.

**Master Copy****Retention**

2 years after last action

**Disposition**

Destroy

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also****Retention Rationale****Filing Guidelines**

Review the "General" folder periodically to ensure that it does not contain documents that should have been filed under other records series.

**H10****Job Classification and Evaluation**

Consist of records relating to the classification and evaluation of all the job positions in the University. Records may include position structure and description (e.g., Band specifications and rank table), position summaries and reviews, histories of changes to each position, studies and analyses, and recommendations for the creation, abolishment or retitling of positions, etc.

**Master Copy****Retention**

5 years after superseded

**Disposition**

Archives Review

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also****Retention Rationale****Filing Guidelines**

**H11****Salary Administration**

Consist of records relating to the determination and administration of the remuneration of all University employees including salaries, wages, reward steps, allowances, and honorarium. Records may include policies, standards and guidelines on rates of pay, salary grids, reward steps, reviews and revisions of the salary scale, salary surveys, analyses, reports on external salary market data, etc.

**Master Copy****Retention**

7 years after last action

**Disposition**

Archives Review

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also****Retention Rationale****Filing Guidelines**

**H20****Job Advertisements**

Consist of advertisements for employment opportunities in the University posted externally and internally.

**Master Copy****Retention**

Permanent

**Disposition**

Not applicable

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also****Retention Rationale****Filing Guidelines**

## H21

### Recruitment and Hiring, Academic Staff

Consist of records relating to recruitment and hiring of professoriate and all other academic related staff, including Research Assistant Professors, Lecturers and Post-doctoral Fellows. Records may include copies of job advertisements, internal postings, hiring criteria, applications, curriculum vitae, interview summaries, tests and results, references, search committee recommendations, selection committee reports, orientation guides, etc.

#### Master Copy

#### Retention

Successful applicants – Application and all relevant documentation becomes part of the Employee Files, Academic Staff (H31)

Unsuccessful applicants and those declining offer – 2 years after position filled or search terminated

#### Disposition

Archives Review

#### Other Copies

#### Retention

Until operational use ceases

#### Disposition

Destroy

#### See Also

H22 Recruitment and Hiring, Professional Staff

H23 Recruitment and Hiring, Support Staff

#### Retention Rationale

The following anti-discrimination ordinances provide a 2-year limitation period for legal actions.

- *Disability Discrimination Ordinance (Cap 487), s.82 (1)*
- *Family Status Discrimination Ordinance (Cap 52) s.64 (1)*
- *Race Discrimination Ordinance (Cap 602) s.80 (1)*
- *Sex Discrimination Ordinance (Cap 480),s.86 (1)*

The *Code of Practice on Human Resource Management*, 2000, by Office of the Privacy Commissioner for Personal Data suggests that recruitment-related data about a job applicant be kept for no longer than 2 years from the date of rejecting the application (Section 1.3.3)

#### Filing Guidelines

Archives retains hiring criteria, recommendations and reports from search committee and selection committee, and the entire recruitment file for academics at professorship level.

## H22

### Recruitment and Hiring, Professional Staff

Consist of records relating to recruitment and hiring of non-academic professional staff. Records may include copies of job advertisements, internal postings, hiring criteria, applications, curriculum vitae, interview summaries, tests and results, references, search committee recommendations, selection committee reports, orientation guides, etc.

#### Master Copy

#### Retention

Successful applicants – Application and all relevant documentation becomes part of the Employee Files, Professional Staff (H32)

Unsuccessful applicants and those declining offer – 2 years after position filled or search terminated

#### Disposition

Archives Review

#### Other Copies

#### Retention

Until operational use ceases

#### Disposition

Destroy

#### See Also

H21 Recruitment and Hiring, Academic Staff

H23 Recruitment and Hiring, Support Staff

#### Retention Rationale

The following anti-discrimination ordinances provide a 2-year limitation period for legal actions.

- *Disability Discrimination Ordinance (Cap 487) s.82 (1)*
- *Family Status Discrimination Ordinance (Cap 52) s.64 (1)*
- *Race Discrimination Ordinance (Cap 602) s.80 (1)*
- *Sex Discrimination Ordinance (Cap 480) s.86 (1)*

The *Code of Practice on Human Resource Management, 2000*, by Office of the Privacy Commissioner for Personal Data suggests that recruitment-related data about a job applicant be kept for no longer than 2 years from the date of rejecting the application (Section 1.3.3.)

#### Filing Guidelines

Archives retains hiring criteria, recommendations and reports from search committee and selection committee, and the entire recruitment file for professional staff at senior management level.

## H23

### Recruitment and Hiring, Support Staff

Consist of records relating to recruitment and hiring of non-academic support staff (including research support staff and causal helper). Records may include copies of job advertisements, internal postings, hiring criteria, applications, resumes, interview summaries, tests and results, references, orientation guides, etc.

#### Master Copy

#### Retention

Successful applicants – Application and all relevant documentation becomes part of the Employee Files, Support Staff (H33)

Unsuccessful applicants and those declining offer – 2 years after position filled or search terminated

#### Disposition

Destroy

#### Other Copies

#### Retention

Until operational use ceases

#### Disposition

Destroy

#### See Also

H21 Recruitment and Hiring, Academic Staff

H22 Recruitment and Hiring, Professional Staff

#### Retention Rationale

The following anti-discrimination ordinances provide a 2-year limitation period for legal actions.

- *Disability Discrimination Ordinance (Cap 487) s.82 (1)*
- *Family Status Discrimination Ordinance (Cap 52) s.64 (1)*
- *Race Discrimination Ordinance (Cap 602) s.80 (1)*
- *Sex Discrimination Ordinance (Cap 480) s.86 (1)*

The *Code of Practice on Human Resource Management*, 2000, by Office of the Privacy Commissioner for Personal Data suggests that recruitment-related data about a job applicant be kept for no longer than 2 years from the date of rejecting the application (Section 1.3.3)

#### Filing Guidelines



**H31**

**Employee Files, Academic Staff**

Consists of records relating to the employment history of individual academic staff. Include curriculum vitae, work histories, employment contracts, training and education, community service data, requests for outside practice work and declaration of interest, performance reviews, salary and benefit adjustments, awards and recognition, letters of appreciation, etc.

<b>Master Copy</b>	<b>Retention</b>  Summary of service records (e.g., appointment title and grade, periods of service, etc.) – Permanent  All other documents – 7 years after employment ends
	<b>Disposition</b>  Archives Review
<b>Other Copies</b>	<b>Retention</b>  Until operational use ceases
	<b>Disposition</b>  Destroy

**See Also**

- H32 Employee Files, Professional Staff
- H33 Employee Files, Support Staff

**Retention Rationale**

The *Code of Practice on Human Resource Management*, 2000, by Office of the Privacy Commissioner for Personal Data suggests that employment-related data about an employee be kept for no longer than 7 years from the date the employee leaves employment (Section 1.3.3 and Section 4.2.3).

The *Employment Ordinance (Cap 57)* requires that an employer retains records of sickness days of employees (Section 37) and when requested, be able to produce such records in respect of any period not exceeding 2 years preceding the date of the notice given by the Commissioner (Section 38).

The *Employment Ordinance (Cap 57)* requires that an employer shall at all times keep and maintain a record of wage and employment for each employee covering the period of his employment during the preceding 12 months, and that such records shall be kept for 6 months after the employee ceases to be employed (Section 49A).

**Filing Guidelines**

Archives retains a summary of service record for all employees. In addition, Archives also retains the entire employment file for academic staff who are recognized and honored with their excellence in teaching, research and scholarly activities; and those who have served the University for a total of 25 years or more.

**H32****Employee Files, Professional Staff**

Consists of records relating to the employment history of individual non-academic professional staff. Include curriculum vitae, work histories, employment contracts, training and education, community service data, requests for outside practice work and declaration of interest, performance reviews, salary and benefits adjustment, awards and recognition, letters of appreciation, etc.

<b>Master Copy</b>	<b>Retention</b> Summary of service records (e.g., appointment title and grade, periods of service, etc.) – Permanent  All other documents – 7 years after employment ends
	<b>Disposition</b> Archives Review
<b>Other Copies</b>	<b>Retention</b> Until operational use ceases
	<b>Disposition</b> Destroy

**See Also**

- H31 Employee Files, Academic Staff
- H33 Employee Files, (Non-academic) Support Staff

**Retention Rationale**

The *Code of Practice on Human Resource Management*, 2000, by Office of the Privacy Commissioner for Personal Data suggests that employment-related data about an employee be kept for no longer than 7 years from the date the employee leaves employment (Section 1.3.3 and Section 4.2.3).

The *Employment Ordinance (Cap 57)* requires that an employer retains records of sickness days of employees (Section 37) and when requested, be able to produce such records in respect of any period not exceeding 2 years preceding the date of the notice given by the Commissioner (Section 38).

The *Employment Ordinance (Cap 57)* requires that an employer shall at all times keep and maintain a record of wage and employment for each employee covering the period of his employment during the preceding 12 months, and that such records shall be kept for 6 months after the employee ceases to be employed (Section 49A).

**Filing Guidelines**

Archives retains a summary of service record for all employees. In addition, Archives also retains the entire employment file for professional staff at senior management level, and those who have served the University for a total of 25 years or more.

### H33

#### Employee Files, Support Staff

Consists of records relating to the employment history of individual non-academic support staff. Include resumes, work histories, employment contracts, training and education, community service data, requests for outside practice work and declaration of interest, performance reviews, salary and benefits adjustment, awards and recognition, letters of appreciation, etc.

#### Master Copy

#### Retention

Summary of service records (e.g., appointment title and grade, periods of service, etc.) – Permanent

All other records – 7 years after employment ends

#### Disposition

Archives Review

#### Other Copies

#### Retention

Until operational use ceases

#### Disposition

Destroy

#### See Also

- H31 Employee Files, Academic Staff
- H32 Employee Files, Professional Staff

#### Retention Rationale

The *Code of Practice on Human Resource Management*, 2000, by Office of the Privacy Commissioner for Personal Data suggests that employment-related data about an employee be kept for no longer than 7 years from the date the employee leaves employment (Section 1.3.3 and Section 4.2.3).

The *Employment Ordinance (Cap 57)* requires that an employer retains records of sickness days of employees (Section 37) and when requested, be able to produce such records in respect of any period not exceeding 2 years preceding the date of the notice given by the Commissioner (Section 38).

The *Employment Ordinance (Cap 57)* requires that an employer shall at all times keep and maintain a record of wage and employment for each employee covering the period of his employment during the preceding 12 months, and that such records shall be kept for 6 months after the employee ceases to be employed (Section 49A).

#### Filing Guidelines

Archives retains a summary of service record for all employees. In addition, Archives also retains the entire employment file for support personnel who have served the University for a total of 25 years or more.

**H40****Attendance and Leaves**

Consist of records relating to the general administration of employee's attendance, their absences and leaves. Records may include time sheets, shift schedules, overtime, sick time taken, vacation requests and authorizations, sabbaticals, leave without pay, doctor's certificates, absence reports, etc.

<b>Master Copy</b>	<b>Retention</b> 3 years after last action
	<b>Disposition</b> Destroy
<b>Other Copies</b>	<b>Retention</b> Until operational use ceases
	<b>Disposition</b> Destroy

**See Also****Retention Rationale**

The *Employment Ordinance (Cap 57)* requires that an employer retains records of sickness days of employees (Section 37) and when requested, be able to produce such records in respect of any period not exceeding 2 years preceding the date of the notice given by the Commissioner (Section 38).

**Filing Guidelines**

**H50****Health and Safety**

Consists of records relating to the development, implementation and administration of health, safety and environmental programs in the University, including employee assistance program, and all aspects of health and safety such as biosafety, environmental hygiene, risk assessment and harm reduction, accident prevention measures and user training. Records may include policies, guidelines and manuals, assessment reports, inspection reports, recommendations, follow-up action plans, etc.

**Master Copy****Retention**

10 years after last action

**Disposition**

Archives Review

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also****Retention Rationale****Filing Guidelines**

Archives retains recommendation reports adopted and implemented by the University.

**H51**

**Accident Case Files**

Consists of records relating to accidents that occur on University property, while on University business or during University supervised activities. Records may include accident reports, case summaries, progress notes, medical certificates and claims.

**Master Copy**

**Retention**

15 years after full settlement of case

**Disposition**

Archives Review

**Other Copies**

**Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also**

**Retention Rationale**

The *Limitation Ordinance (Cap 347)* provides a 3-year limitation period for personal injury claims (Section 27), and a 15-year limitation period for negligence actions not involving personal injuries (Section 32).

**Filing Guidelines**

The Archives retains records of serious incidents and dangerous occurrences as defined in Schedule 1 of the *Occupational Safety and Health Ordinance (Cap 509)*. Examples of dangerous occurrences include a total or partial collapse of a roof of premise where workplace is located, and an explosion of fire that causes damage to the structure of any workplace.

**H60****Staff Training and Development**

Consists of records relating to the planning, administration and coordination of training and development activities offered to University employees, including skills training, professional development workshops and seminars, work-life balance programs, exchange programs, and orientations for new staff. Records may include program schedules, course materials, registration lists, skills assessment, application requirements and procedures, activity reports, program evaluation, etc.

**Master Copy****Retention**

5 years after last action

**Disposition**

Archives Review

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also****Retention Rationale****Filing Guidelines**

**H70****Benefits Administration**

Consists of records relating to the general administration of employee benefits including housing, dental, medical, leave entitlements, gratuity and other benefits, for instance, education allowance. Records may include plans and agreements, terms and conditions, eligibility and entitlement, etc. For benefit eligibility for individual employees, see Employee Files (H31, H32, H33).

**Master Copy****Retention**

10 years after superseded

**Disposition**

Archives Review

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also**

H71 Pension Plans

**Retention Rationale****Filing Guidelines**



**H71****Pension Plans**

Consists of records relating to the general administration of employee pension plans. May include information on establishment of the funds and appointment of trustees, plans and agreements, trust deeds, lists of participants, regulations and policies, fund registration and certificates, fund statements and reports, etc. For pension plan settlements and payments related to individual employees, see Employee Files (H31, H32, H33).

**Master Copy****Retention**

10 years after superseded

**Disposition**

Archives Review

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also**

H70 Benefits Administration

**Retention Rationale****Filing Guidelines**

**H80**

**Employee Associations and Unions**

Consists of records relating to the relationship between University management and staff associations, groups or unions. Records many include registration certification, annual statement of account, membership applications, dues, surveys and recommendations on University policies concerning staff benefits, correspondence, meeting minutes and agenda, etc.

**Master Copy**

**Retention**

10 years after last action

**Disposition**

Archives Review

**Other Copies**

**Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also**

**Retention Rationale**

The *Trade Unions Ordinance (Cap 332)* provides a 2-year time limit for complaints or information in respect of an office under the Ordinance (Section 62).

The *Trade Unions Ordinance (Cap 332)* stipulates that every registered trade union shall furnish annually to the Registrar (of Trade Unions appointed by the Chief Executive) a statement of account accompanied by a copy of the auditor's report (Section 36).

**Filing Guidelines**

**H81**

**Grievances and Appeals**

Consists of records relating to the general administration of grievance cases brought by either University employees or students. Records may include statements of grievance, interview notes, written responses from the complainants and the respondents, reports of mediation or hearings, arbitrations, adjudications, signed settlements, disciplinary actions, correspondence, meeting minutes, etc.

**Master Copy**

**Retention**

15 years after case settled and all appeals exhausted

**Disposition**

Archives Review

**Other Copies**

**Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also**

**Retention Rationale**

The *Limitation Ordinance (Cap 347)* provides a 3-year limitation period for personal injury claims (Section 27), and a 15-year limitation period for negligence actions not involving personal injuries (Section 32).

**Filing Guidelines**

Archives retain arbitrations, adjudications, and signed settlements.

Information pertaining to grievances and disciplinary cases should be treated strictly confidential and only disclosed to authorized individuals. Such information, except a note of the outcome of the case, should not be included in an employee's file.

**H82**

**Discrimination Complaints**

Consists of records relating to the management of all discrimination complaints received from University staff and students. Records may include statements of complaints, interview notes, reports of preliminary inquiry, mediation or hearings, final investigation reports, arbitrations, adjudications, medication agreements or signed settlements, disciplinary actions, correspondence, meeting minutes, etc.

**Master Copy**

**Retention**

15 years after case resolved or withdrawn

**Disposition**

Archives Review

**Other Copies**

**Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also**

**Retention Rationale**

The following anti-discrimination ordinances provide a 2-year limitation period for legal actions

- *Disability Discrimination Ordinance (Cap 487), s.82 (1)*
- *Family Status Discrimination Ordinance (Cap 52) s.64 (1)*
- *Race Discrimination Ordinance (Cap 602) s.80 (1)*
- *Sex Discrimination Ordinance (Cap 480),s.86 (1)*

The *Limitation Ordinance (Cap 347)* provides a 3-year limitation period for personal injury claims (Section 27), and a 15-year limitation period for negligence actions not involving personal injuries (Section 32).

**Filing Guidelines**

Archives retains arbitrations, adjudications, and signed settlements

**H83****Harassment Complaints**

Consists of records relating to the management of all harassment complaints received from University staff and students. Records may include statements of complaints, interview notes, reports of preliminary inquiry, mediation or hearings, final investigation report, arbitrations, adjudications, mediation agreements or signed settlements, disciplinary actions, correspondence, meeting minutes, etc.

**Master Copy****Retention**

15 years after case resolved or withdrawn

**Disposition**

Archives Review

**Other Copies****Retention**

Until operational use ceases

**Disposition**

Destroy

**See Also****Retention Rationale**

The following anti-discrimination ordinances provide a 2-year limitation period for legal actions

- *Disability Discrimination Ordinance (Cap 487), s.82 (1)*
- *Family Status Discrimination Ordinance (Cap 52) s.64 (1)*
- *Race Discrimination Ordinance (Cap 602) s.80 (1)*
- *Sex Discrimination Ordinance (Cap 480),s.86 (1)*

The *Limitation Ordinance (Cap 347)* provides a 3-year limitation period for personal injury claims (Section 27), and a 15-year limitation period for negligence actions not involving personal injuries (Section 32).

**Filing Guidelines**

Archives retains arbitrations, adjudications, and signed settlements.