



MEMO

From Government Records Service Director

To Permanent Secretaries and
Heads of Departments

Ref. (8) *in* GRS RSDO/206/4 Pt 12

(*Attn.:* Departmental Records Managers)

Tel. No. 2195 7790

Your Ref. *in*

Fax No. 2463 5200

dated **Fax No.**

Date 29 December 2011

Total pages 69

Updated Schedule 5 of General Administrative Records Disposal Schedules (Records Management Publication No. 4)

Purpose

This memorandum promulgates the updated **Schedule 5 - Human Resources** (previously known as “Personnel”) of the **General Administrative Records Disposal Schedules (GARDS)** (i.e. Records Management Publication No. 4).

General Administrative Records Disposal Schedules

2. The GARDS, comprising six schedules¹, were promulgated in 1998 by the Government Records Service (GRS) to guide bureaux and departments (B/Ds) on the retention and disposal of administrative records common to B/Ds. They also help identify potential archival records for appraisal by the Public Records Office of GRS. In accordance with paragraph 14 of General Circular (GC) No. 2/2009 entitled “**Mandatory Records Management Requirements**”, B/Ds should adopt the GARDS to dispose of their administrative records.

Updating of the General Administrative Records Disposal Schedules

3. As mentioned in my memo ref (11) in GRS RSDO/206/4 IX dated 29 December 2010, GRS has adopted a phased approach to update the six schedules of the GARDS in light of updated records retention and disposal requirements

¹ The six schedules include: Schedule 1: Administration; Schedule 2: Accommodation and Facilities; Schedule 3: Procurement and Supplies; Schedule 4: Finance and Accounting; Schedule 5: Human Resources; and Schedule 6: Information Systems and Services.

prescribed in the prevailing legislations, and various government regulations, circulars and directives. The updating also seeks to reflect the prevailing archival need for preserving administrative records with historical value. The updated Part I - Explanatory Notes, Schedules 3 and 4 of the GARDS were promulgated on 29 December 2010. For the remaining schedules, the respective updated versions will be provided to B/Ds once they are available.

Updated Schedule 5

4. We are pleased to advise that review of **Schedule 5** of the GARDS dealing with retention and disposal of records relating to human resources has now been completed. The updated Schedule 5 together with a summary of major amendments are attached at **Appendix I** and **Appendix II** respectively for reference.

5. The retention and disposal requirements of a number of records groups in Schedule 1 (yet to be updated) of the GARDS are cross referenced to those set out in Schedule 5. To align with the revisions made in the updated Schedule 5, we have updated those cross references and listed in the reference table attached at **Appendix III**. For the sake of completeness, the reference table also includes cross references of other schedules to the updated Schedules 3 and 4. We will suitably revise the cross-references stated in Schedules 1, 2 and 6 when they are updated.

Alignment with Other Schedules in the GARDS and Other GRS' Publications

6. Schedules 1, 2 and 6 of the GARDS will be updated and promulgated in due course. Meanwhile, B/Ds should note that there may be inconsistencies in the retention and disposal requirements for certain records groups between the updated Schedules (Schedules 3, 4 and 5) and other yet-to-be-updated Schedules of the GARDS. In case of doubts, B/Ds should seek advice from GRS.

Quick Reference for Implementing Disposal of Time-expired Administrative Records

7. As a separate but related matter, we have summarized at **Appendix IV** for B/Ds' quick reference the major steps that should be taken by B/Ds to implement disposal of time-expired administrative records. For detailed procedures, please refer to the "*Guidelines on Using the General Administrative Records Disposal Schedules to Dispose of Administrative Records*" at the Central Cyber Government

Office (CCGO) (http://grs.host.ccgo.hksarg/guide_admin_sch_disp.htm).

Enquiries

8. Should you have any enquiries on application of the GARDS to dispose of administrative records, please contact Executive Officer (Records Management)3 (tel no. 2460 3762) or Senior Clerical Officer (tel no. 2460 3766) of the Records Management and Administration Office of GRS. The updated GARDS and other relevant documents (including all the appendices mentioned above) are also accessible at CCGO (<http://grs.host.ccgo.hksarg/pub4.htm>).

(Miss Ruby AU)
for Government Records Service Director

Encl.

SCHEDULE 5 - HUMAN RESOURCES

Schedule 5 is concerned with human resources records common to government bureaux/departments (B/Ds), including records relating to appointments, conduct and discipline, hours of work, human resources planning, leave, occupational safety and health, promotion, staff performance and appraisal, staff relations, training and development, personal case records, etc. A majority of these records are related to employment-related personal data of civil servants, non-civil service contract staff (NCSC staff) and other government employees.

Collection, holding, accuracy, use, security, retention, etc. of personal data are governed by the Personal Data (Privacy) Ordinance (PD(P)O)(Cap. 486) and the codes of practices issued by the Privacy Commissioner for Personal Data pursuant to the PD(P)O, notably the *Code of Practice on Human Resource Management* (the Code). The Code provides practical guidance to employers on how to handle personal data in performing human resource management functions and activities.

This schedule has incorporated retention periods of different types of records relating to employment-related personal data prescribed in the PD(P)O, the Code and Civil Service Bureau (CSB) circulars, notably CSB Circular No. 13/2002 entitled "*Personal Data (Privacy) Ordinance - Guidelines for Users of Employment-Related Personal Data in the Civil Service*". As a matter of principle, it is incumbent on B/Ds to handle and dispose of employment-related personal data in compliance with the PD(P)O, the Code and relevant CSB circulars/guidelines. Specifically, B/Ds should comply with data protection principle 2 of PD(P)O which stipulates that **personal data should not be kept longer than necessary for the fulfillment of the purpose (including a directly related purpose) for which the data were to be used at the time of the collection of the data.** Officers in B/Ds dealing with records retention and disposal should familiarise themselves with the PD(P)O, the Code and relevant CSB circulars/guidelines.

To ensure that records with archival value are identified for permanent preservation, B/Ds should take reasonable steps to ensure that staff members are aware of the need to refer those personal records with potential archival value to the Government Records Service (GRS) for appraisal by the Public Records Office (PRO).

This Schedule **DOES NOT COVER:**

- (a) individual pay records which are dealt with in **Schedule 4: FINANCE AND ACCOUNTING**; and
- (b) records relating to hire of services for manpower (including supplying agency workers) which are dealt with in the respective schedules. For example, records relating to procurement of security guard services are dealt with in **Schedule 2: ACCOMMODATION AND FACILITIES** and financial records relating to payment of services are dealt with in **Schedule 4: FINANCE AND ACCOUNTING**.

The retention and disposal requirements for common types of personal case records and staff statistical records across different subject groups are set out in **Appendix A** and **Appendix B** respectively. To facilitate users, **Appendix C** provides cross-references of types of employment-related personal data of civil servants and NCSC staff set out in Annexes 5 and 10 respectively to Enclosure 1 of CSB Circular No. 13/2002 to subject/records groups of Schedule 5 of the GARDS.

5-5 ACCIDENTS AND INJURIES

For records relating to policies, procedures and routine matters regarding accidents and personal injuries caused to staff by accidents arising out of and in the course of employment.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Records relating to claims for employees' compensation	(i) D 7 years after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later.	Annexes 5 & 10 to Encl. (1) of CSB Circular No. 13/2002
(2) Records relating to claims for employees' compensation in respect of occupational diseases	See item (2) under "Others with specific retention and disposal requirements" in 5-35 Health and Safety	
(3) Records relating to financial arrangements concerning claims	See 4-50 Claims	
(4) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

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5-10 APPOINTMENTS AND POSTING

For records relating to policies, procedures and routine matters regarding appointments of staff, including probation, acting, posting, loan, secondment, attachment, redeployment and transfer. Records relating to terms of appointment and conditions of service applicable to serving officers on in-service appointment are included.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) In-service appointment board reports	(i) D 3 years after completion of the exercise; ^[Endnote 1 to Schedule 5] or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later.	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(2) In-service appointment board assessment sheets		Annex 5 to Encl. (1) of CSB Circular No. 13/2002 Annex to CSB Circular Memo No. 11/2010

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NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(a) Successful applicants	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115). ^[Endnote 2 to Schedule 5]	
(b) Waitlisted applicants	(i) D 12 months after expiry of the waiting list; or (ii) D 12 months after resolution of any claim/appeal/complaint; or (iii) D 24 months after completion of the exercise, ^[Endnote 1 to Schedule 5] whichever is the later. ^[Endnote 3 to Schedule 5]	
(c) Unsuccessful applicants	(i) D 12 months after rejection of the candidate; or (ii) D 12 months after resolution of any claim/appeal/complaint; or (iii) D 24 months after completion of the exercise, ^[Endnote 1 to Schedule 5] whichever is the later. ^[Endnote 3 to Schedule 5]	

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NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(3) Forms completed by and any related information of the candidates collected for the purposes of integrity checking, and financial status checking.	SOD ^[Endnote 4 to Schedule 5]	Paragraph 2.50 of the Guidebook on Appointments issued by CSB Note
(4) Documents relating to renewal of agreement, extension of service/agreement, or revision of terms concerning civil servants	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115). ^[Endnote 2 to Schedule 5]	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(5) Documents relating to renewal/extension of contract or revision of terms concerning non-civil service contract staff / government employees other than civil servants	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later. ^[Endnote 2 to Schedule 5]	Note
(6) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(7) Staff statistical records	See Appendix B to Schedule 5	

Note: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

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5-15 AWARDS AND HONOURS

For records relating to policies, procedures and routine matters regarding awards, honours, decorations, citations, and commendations given to staff.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Records concerning decorations, medals, investitures and outstanding achievements to individuals	Retain for 3 years , then P	
(2) Records concerning in-house commendation and appreciation	Retain for 5 years , then D	
(3) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(4) Staff statistical records	See Appendix B to Schedule 5	

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5-20 CONDUCT AND DISCIPLINE

For records relating to policies, procedures and routine matters regarding staff conduct, code of behaviour in office and disciplinary matters.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Disciplinary records and records relating to counselling and behavioural guidance concerning civil servants	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115). ^[Endnote 2 to Schedule 5]	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(2) Disciplinary records and records relating to counselling and behavioural guidance concerning non-civil service contract staff / government employees other than civil servants	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later. ^[Endnote 2 to Schedule 5]	Note
(3) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(4) Declaration of investment	See item (9) in Appendix A to Schedule 5	

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NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(5) Application forms for post-retirement employment	See item (11) in Appendix A to Schedule 5	
(6) Staff statistical records	See Appendix B to Schedule 5	

Note: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

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5-25 RECRUITMENT

For records relating to policies, procedures and routine matters regarding application, advertising, interview, offer or rejection of positions, terms and conditions of service, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Vacancy circulars	SOD	
(2) Recruitment board reports	(i) D 2 years after completion of the exercise; ^[Endnote 1 to Schedule 5] or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later.	Annex 5 to Encl. (1) of CSB Circular No. 13/2002 Note
(3) Records (including application forms, examination score sheets, employer's references, personal references, medical examination reports, recruitment board assessment sheets and complaints related to job applicants) relating to -		Annexes 5 & 10 to Encl. (1) of CSB Circular No. 13/2002 Annex to CSB Circular Memo No. 11/2010
(a) Successful applicants	See items (1) and (2) in Appendix A to Schedule 5	Note

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NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(b) Waitlisted applicants	(i) D 12 months after expiry of the waiting list; or (ii) D 12 months after resolution of any claim/appeal/complaint; or (iii) D 24 months after completion of the exercise, ^[Endnote 1 to Schedule 5] whichever is the later. ^[Endnote 3 to Schedule 5]	
(c) Unsuccessful applicants	(i) D 24 months after rejection of the candidate; or (ii) D 12 months after resolution of any claim/appeal/complaint; or (iii) D 24 months after completion of the exercise, ^[Endnote 1 to Schedule 5] whichever is the later. ^[Endnote 3 to Schedule 5]	
(4) Forms completed by candidates for integrity checking, financial status checking and any related information of the candidates	SOD ^[Endnote 4 to Schedule 5]	Paragraph 2.50 of the Guidebook on Appointments issued by CSB Note

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NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(5) Staff statistical records	See Appendix B to Schedule 5	

Note: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

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5-28 EQUAL EMPLOYMENT OPPORTUNITY

For records relating to policies, procedures, arrangements, complaints and investigations concerning equal employment opportunities irrespective of age, disability, family status, marital status, pregnancy, sex, race, etc. in recruitment, promotion, terms and conditions of employment, transfer, training, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Case records relating to complaints - (a) Staff complaints (i) Concerning civil servants (ii) Concerning non-civil service contract staff / government employees other than civil servants (b) Complaints related to job applicants other than (a) above	See item (5) (a) - (b) under “Others with specific retention and disposal requirements” in 5-75 Staff Relations - Appeals and Grievances See item (6) (a) - (b) under “Others with specific retention and disposal requirements” in 5-75 Staff Relations - Appeals and Grievances See item (3) under “Others with specific retention and disposal requirements” in 5-25 Recruitment	

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NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(2) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(3) Staff statistical records	See Appendix B to Schedule 5	

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5-30 ESTABLISHMENT

For records relating to policies, procedures and routine matters regarding establishment and strength, guidance in evaluating positions and responsibilities, grade reviews, post auditing and position analyses, duty and job lists, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Creation, variation or abolition of established positions	Retain for 5 years , then P	
(2) Organisational strategies, studies, analyses and reviews, and organisation charts	See 1-145 Organisation	
(3) Staff statistical records	See Appendix B to Schedule 5	

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5-35 HEALTH AND SAFETY

For records relating to policies, procedures and routine matters regarding health and safety, including medical and dental health, first aid, occupational or industrial health and safety, accident prevention, non-smoking in workplace, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
<p>(1) Records relating to complaints or objections to work environment/hazardous duties</p> <p>(a) Concerning civil servants</p> <p>(b) Concerning non-civil service contract staff / government employees other than civil servants</p> <p>(2) Records relating to claims for employees' compensation in respect of occupational diseases</p>	<p>See item (1) (a) - (b) under "Others with specific retention and disposal requirements" in 5-75 Staff Relations - Appeals and Grievances</p> <p>See item (2) (a) - (b) under "Others with specific retention and disposal requirements" in 5-75 Staff Relations - Appeals and Grievances</p> <p>(i) D 7 years after officer has left the service; or</p> <p>(ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later.</p>	<p>Annexes 5 & 10 to Encl. (1) of CSB Circular No. 13/2002</p>

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NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(3) Case records relating to major investigations and reports on health and safety ^[Note]	Retain for 7 years , then P	
(4) Staff statistical records	See Appendix B to Schedule 5	

Note: Examples of major investigations and reports include situations where ad-hoc or select committee is set up for investigation, litigation is involved, affected staff suffering from occupational disease is no longer suitable for his/her original post, etc.

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5-40 HOURS OF WORK AND OVERTIME

For records relating to policies, procedures and routine matters regarding the management of working hours, overtime, attendance and punctuality, time off for special events, early closing, flexible hours, duty rosters, outside work, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then D	
<i>Routine</i>	Retain for 2 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Time sheets/logs and attendance books and diaries, etc.	See 4-85 Salaries	Note
(2) Records relating to financial arrangements for claiming overtime allowance	See items below in Schedule 4 - (i) item (1) under “Others with specific retention and disposal requirements” in 4-30 Allowances ; and (ii) item (2) under “Others with specific retention and disposal requirements” in 4-50 Claims	
(3) Staff statistical records	See Appendix B to Schedule 5	

Note: Advice given by the Director of Accounting Services vide her e-mails of 27 June 2011 and 24 November 2011.

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5-45 HUMAN RESOURCES PLANNING

For records relating to policies, procedures and routine matters regarding the planning for staff requirements, allocation, control, etc. including planning for career management, staff succession plans, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Records relating to posting policies and posting programmes	See 5-10 Appointments and Posting	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(2) Career development interview records	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115). ^[Endnote 2 to Schedule 5]	
(3) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(4) Staff statistical records	See Appendix B to Schedule 5	

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5-50 LEAVE AND AUTHORISED ABSENCE

For records relating to policies, procedures and routine matters regarding the management of various types of leave (such as vacation leave, sick leave and maternity leave), leave rosters, authorised absence not counting as leave, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then D	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Leave records (a) Records of civil servants except those specified in (c) below	(i) D 12 months after officer has left the service; or (ii) D 12 months after the issue of pension paper, if applicable; or (iii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115) and Notification of Retirement/Resignation (GF 539), if applicable. <small>[Endnote 2 to Schedule 5]</small>	Annex 5 to Encl. (1) of CSB Circular No. 13/2002

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SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(b) Records of non-civil service contract staff / government employees other than civil servants, except those specified in (c) below</p> <p>(c) Records having implications on payment/ adjustment of salaries, such as those involving officers taking half-day or no-pay leave, officers who die in service, and new term officers whose leave will be encashed upon leaving the service</p> <p>(2) Records relating to the Electronic Leave Application and Processing System</p> <p>(3) Staff statistical records</p>	<p>(i) D 12 months after officer has left the service; or</p> <p>(ii) D 12 months after resolution of any claim/ complaint, whichever is the later. ^[Endnote 2 to Schedule 5]</p> <p>See 4-85 Salaries</p> <p>D after the expiry of the retention periods stipulated in relevant system manuals issued by the Civil Service Bureau.</p> <p>See Appendix B to Schedule 5</p>	<p>Annex 10 to Encl. (1) of CSB Circular No. 13/2002</p> <p>Note</p> <p>Note</p>

Note: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

P = Refer to GRS for appraisal by PRO

D = Destroy (except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.)

5-55 PERFORMANCE AND APPRAISAL

For records relating to policies, procedures and routine matters regarding staff performance and appraisals, including performance standards, reports and statistics, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Personal files	See items (1) and (2) in Appendix A to Schedule 5	
(2) Staff report files	See items (3) and (4) in Appendix A to Schedule 5	
(3) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

5-60 PROMOTIONS AND EXAMINATIONS

For records relating to policies, procedures and routine matters regarding examinations to test skills, knowledge and competency of staff and promotions.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Promotion board reports	(i) D 3 years after completion of the exercise; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later.	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(2) Promotion board assessment sheets of individuals	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115). ^[Endnote 2 to Schedule 5]	Annex 5 to Encl. (1) of CSB Circular No. 13/2002

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(3) Records relating to integrity checking and financial status checking	SOD ^[Endnote 4 to Schedule 5]	Paragraph 2.50 of the Guidebook on Appointments issued by CSB Note
(4) Staff statistical records	See Appendix B to Schedule 5	

Note: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

5-65 RECREATION AND WELFARE

For records relating to policies, procedures and routine matters regarding the administration of staff's recreational and welfare activities and programmes, including Staff Welfare Fund and emergency relief funds, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Financial records relating to staff welfare funds	See items (2) and (3) in Appendix to Schedule 4	
(2) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

5-70 STAFF RELATIONS

For records relating to policies, procedures and routine matters regarding staff relations and services which are **not covered in subject groups 5-75 and 5-80 in this Schedule.**

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Records relating to Departmental Consultative Committee	See 5-80 Staff Relations - Union	
(2) Records relating to industrial actions	See 5-80 Staff Relations - Union	
(3) Records relating to staff incentive programmes and evaluations	Retain for 3 years , then P	
(4) Records relating to staff suggestions	Retain for 3 years , then P	
(5) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(6) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(2) Records relating to staff complaints concerning non-civil service contract staff / government employees other than civil servants</p> <p>(a) Cases not substantiated</p> <p>(b) Cases that are substantiated</p>	<p>(i) D 3 years after completion of investigation; or</p> <p>(ii) D 3 years after completion of any follow-up action; or</p> <p>(iii) D 1 year after the employee has left the service subject to resolution of any appeal/ further complaint, whichever is the earlier.</p> <p>(i) D 7 years after completion of any follow-up action; or</p> <p>(ii) D 1 year after the employee has left the service subject to resolution of any appeal/ further complaint, whichever is the earlier.</p>	<p>Annex 10 to Encl. (1) of CSB Circular No. 13/2002</p> <p>Note 1</p>

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(3) Records relating to sexual harassment complaints concerning civil servants</p> <p>(a) Complaints not upheld</p> <p>(b) Complaint upheld but there are insufficient grounds to take formal disciplinary action</p> <p>(c) Complaints upheld and subsequent formal disciplinary action is taken</p>	<p>(i) D 3 years after completion of investigation; or</p> <p>(ii) D 3 years after completion of any follow-up action or resolution of any appeal/ further complaint, whichever is the later.</p> <p>(i) D 7 years after completion of any follow-up action; or</p> <p>(ii) D 7 years after resolution of any claim/ appeal/further complaint, whichever is the later.</p> <p>See item (1) under “Others with specific retention and disposal requirements” in 5-20 Conduct and Discipline</p>	<p>Annex 5 to Encl. (1) of CSB Circular No. 13/2002</p>

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(4) Records relating to sexual harassment complaints concerning non-civil service contract staff / government employees other than civil servants</p> <p>(a) Complaints not upheld</p> <p>(b) Complaint upheld but there are insufficient grounds to take formal disciplinary action</p> <p>(c) Complaints upheld and subsequent formal disciplinary action is taken</p>	<p>(i) D 3 years after completion of investigation; or</p> <p>(ii) D 3 years after completion of any follow-up action; or</p> <p>(iii) D 1 year after the employee has left the service subject to resolution of any appeal/ further complaint, whichever is the earlier.</p> <p>(i) D 7 years after completion of any follow-up action; or</p> <p>(ii) D 1 year after the employee has left the service subject to resolution of any appeal/ further complaint, whichever is the earlier.</p> <p>See item (2) under “Others with specific retention and disposal requirements” in 5-20 Conduct and Discipline</p>	<p>Annex 10 to Encl. (1) of CSB Circular No. 13/2002</p> <p>Note 2</p>

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(5) Records relating to equal employment opportunity complaints concerning civil servants</p> <p>(a) Cases not substantiated</p> <p>(b) Cases that are substantiated</p>	<p>(i) D 3 years after completion of investigation; or</p> <p>(ii) D 3 years after completion of any follow-up action or resolution of any appeal/ further complaint, whichever is the later.</p> <p>(i) D 7 years after completion of any follow-up action; or</p> <p>(ii) D 7 years after resolution of any appeal/ further complaint, whichever is the later.</p>	<p>Annex 5 to Encl. (1) of CSB Circular No. 13/2002</p>
<p>(6) Records relating to equal employment opportunity complaints concerning non-civil service contract staff / government employees other than civil servants</p>		<p>Annex 10 to Encl. (1) of CSB Circular No. 13/2002</p> <p>Annex to CSB Circular Memo No. 11/2010</p> <p>Note 2</p>

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(a) Cases not substantiated	(i) D 3 years after completion of investigation; or (ii) D 3 years after completion of any follow-up action; or (iii) D 1 year after the employee has left the service subject to resolution of any appeal/further complaint, whichever is the earlier, and in any case retain for not less than 24 months after completion of the recruitment exercise. <small>[Endnote 1 to Schedule 5]</small>	
(b) Cases that are substantiated	(i) D 7 years after completion of any follow-up action; or (ii) D 1 year after the employee has left the service subject to resolution of any appeal/further complaint, whichever is the earlier, and in any case retain for not less than 24 months after completion of the recruitment exercise. <small>[Endnote 1 to Schedule 5]</small>	
(7) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(8) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

Note 1: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

Note 2: Advice given by the Secretary for the Civil Service vide her e-mails of 4 November 2011 and 7 December 2011.

- P = Refer to GRS for appraisal by PRO
D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)
SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO
SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

5-80 STAFF RELATIONS - UNION

For records relating to policies, procedures and routine matters regarding relationships between management and staff unions, groups or associations, etc. Also includes records of collective agreements or contracts, negotiations, adjudication, arbitration, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 4 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Records relating to complaints and appeals	Retain for 3 years , then P	
(2) Records relating to industrial actions	Retain for 3 years , then P	
(3) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

5-85 STAFF SECURITY / INTEGRITY CHECK

For records relating to policies, procedures and routine matters regarding vetting and security clearance of staff.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 4 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Records relating to integrity checking and financial status checking	SOD ^[Endnote 4 to Schedule 5]	Paragraph 2.50 of the Guidebook on Appointments issued by CSB Note
(2) Oaths of allegiance	SOD	
(3) Records placed on individual personal files	See item (12) in Appendix A to Schedule 5	
(4) Staff statistical records	See Appendix B to Schedule 5	

Note: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

5-90 TERMINATION OF SERVICE

For records relating to policies, procedures and routine matters regarding retirement, resignation, dismissal, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 3 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Declaration on leaving the service	D 5 years after officer has left the service	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(2) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(3) Records of Service (GF 115) and testimonials/references	See items (5) and (6) in Appendix A to Schedule 5	
(4) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

5-95 TRAINING AND DEVELOPMENT

For records relating to policies, procedures and routine matters regarding the preparation and administration of staff training programmes and activities including in-house and outside courses and programmes, types and content of courses, applications, nominations and placements, brochures, attendance records, programme reviews, etc.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<i>Policy</i>	Retain for 5 years , then P	
<i>Routine</i>	Retain for 2 years , then D	
<i>Others with specific retention and disposal requirements</i>		
(1) Records relating to training courses unique to bureau/ department including programmes and brochures, training material and reviews, etc.	Retain for 4 years , then P	
(2) Training records of non-civil service contract staff / government employees other than civil servants	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/ complaint, whichever is the later. ^[Endnote 2 to Schedule 5]	Annex 10 to Encl. (1) of CSB Circular No. 13/2002
(3) Records placed on individual personal files	See items (1) and (2) in Appendix A to Schedule 5	
(4) Staff statistical records	See Appendix B to Schedule 5	

P = Refer to GRS for appraisal by PRO

D = Destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

SOP = Retain until superseded or obsolete, then refer to GRS for appraisal by PRO

SOD = Retain until superseded or obsolete, then destroy (*except those records created 40 years ago or earlier which should be referred to GRS for appraisal by PRO. Please refer to Part I for details.*)

Endnotes to Schedule 5

- Endnote 1: As advised by the Secretary for the Civil Service, completion, in relation to a recruitment process that falls within the meaning of a relevant process (under section 55(2)(b) of the Personal Data (Privacy) Ordinance (PD(P)O), Cap. 486), means the making of the determination on the suitability of job applicants for employment or appointment to office. According to section 55(1) of PD(P)O, personal data of the subject of a relevant process are exempt from the provisions of data protection principle 6 and section 18(1)(b) until the completion of that process.
- Endnote 2: Paragraph 4.2.3 of the Code stipulates that an employer should **not** retain the personal data of a former employee for a period longer than 7 years from the date the former employee ceases employment with the employer unless there is a subsisting reason that obliges the employer to retain the data for a longer period or the former employee has given prescribed consent for the data to be retained beyond 7 years.
- Endnote 3: Paragraph 2.10.1 of the Code stipulates that an employer who has a general policy of retaining personal data of an unsuccessful job applicant for future recruitment purposes should **not** retain such data beyond two years unless there is a subsisting reason that obliges the employer to retain the data for a longer period or the applicant has given prescribed consent for the data to be retained beyond two years.
- Endnote 4: Please note the following advice provided by the Secretary for the Civil Service relating to integrity and financial status checking -
- (a) Regarding Integrity Checking (including Appointment Checking, Normal Checking and Extended Checking) information, B/Ds are reminded to take appropriate steps to erase personal data held where the data are no longer required for the purpose for which the data were used.
 - (b) Regarding financial status checking, forms completed by candidates and any related information of the candidates should be destroyed as soon as the recruitment exercise is completed. Please also see Endnote 1 above.

Reference should be made to the Personal Data (Privacy) Ordinance, Guidebook on Appointments, CSB Circular No. 13/2002 and other instructions issued by CSB from time to time.

Endnote 5: Paragraph 9.4.1 of Enclosure 1 of CSB Circular No. 13/2002 stipulates that Heads of Departments/Grades should retain an officer's GF 115 for only 7 years from the date of his departure unless there is a subsisting reason that obliges the Government to retain the information for a longer period or unless the officer has given prescribed consent for the data to be retained beyond 7 years. Paragraph 9.4.2 of Enclosure 1 of CSB Circular No. 13/2002 stipulates that the Government Records Service Director has also reviewed the historical value of personal data as contained in GF 115s and advised that only factual personal data (Parts A to D of the revised form (Revised 8/2001)) are of historical interest. To facilitate the Public Records Office of GRS to obtain such personal data for permanent retention and archival purpose, Heads of Departments/Grades are advised to seek prescribed consent from outgoing officers for such purposes.

Appendix A to Schedule 5**Retention and Disposal Requirements for
Personal Case Records**

Records dealing with individual staff members include personal particulars, medical reports, previous employer's references, integrity checking results, employment history, disciplinary records, declarations of investment, notifications of retirement/resignation and applications for post-retirement employment, etc. Most of these records are filed on personal files and/or staff report files as appropriate according to CSB's instructions and guidelines.

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(1) Personal files for civil servants</p> <p>(a) Files of officers who have reached the level of Head of bureau/department or hold a statutory position or are appointed by the Chief Executive</p>	<p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after the issue of pension paper, if applicable; or</p> <p>(iii) 12 months after resolution of any claim/ appeal/complaint,</p> <p>whichever is the later, subject to completion of Record of Service (GF 115) and Notification of Retirement/ Resignation (GF 539) if applicable, then P. ^[Endnote 2 to Schedule 5]</p>	<p>Annex 5 to Encl. (1) of CSB Circular No. 13/2002</p>

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(b) Files of officers other than (a) above</p> <p>(2) Personal files for non-civil service contract staff / government employees other than civil servants</p> <p>(a) Files of officers who have reached the level of Head of bureau/department or hold a statutory position or are appointed by the Chief Executive</p>	<p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after the issue of pension paper, if applicable; or</p> <p>(iii) 12 months after resolution of any claim/ appeal/complaint,</p> <p>whichever is the later, subject to completion of Record of Service (GF 115) and Notification of Retirement/ Resignation (GF 539) if applicable, then D. ^[Endnote 2 to Schedule 5]</p> <p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after resolution of any claim/ complaint,</p> <p>whichever is the later, then P. ^[Endnote 2 to Schedule 5]</p>	<p>Annex 10 to Encl. (1) of CSB Circular No. 13/2002</p>

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(b) Files of officers other than (a) above</p>	<p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after resolution of any claim/ complaint,</p> <p>whichever is the later, then D. [Endnote 2 to Schedule 5]</p>	
<p>(3) Staff report files for civil servants</p> <p>(a) Files of officers who have reached the level of Head of bureau/department or hold a statutory position or are appointed by the Chief Executive</p>	<p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after resolution of any claim/ appeal/complaint,</p> <p>whichever is the later, subject to completion of Record of Service (GF 115), then P. [Endnote 2 to Schedule 5]</p>	<p>CSR 239 (3)(a) and Annex 5 to Encl. (1) of CSB Circular No. 13/2002</p>
<p>(b) Files of officers other than (a) above</p>	<p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after resolution of any claim/ appeal/complaint,</p> <p>whichever is the later, subject to completion of Record of Service (GF 115), then D. [Endnote 2 to Schedule 5]</p>	

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(4) Performance appraisal for non-civil service contract staff / government employees other than civil servants</p> <p>(a) Files of officers who have reached the level of Head of bureau/department or hold a statutory position or are appointed by the Chief Executive</p> <p>(b) Files of officers other than (a) above</p>	<p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after resolution of any claim/ complaint,</p> <p>whichever is the later, then P. [Endnote 2 to Schedule 5]</p> <p>Retain in bureaux/ departments for -</p> <p>(i) 12 months after officer has left the service; or</p> <p>(ii) 12 months after resolution of any claim/ complaint,</p> <p>whichever is the later, then D. [Endnote 2 to Schedule 5]</p>	<p>Annex 10 to Encl. (1) of CSB Circular No. 13/2002</p>
<p>(5) Record of Service (GF 115)</p>	<p>Retain in bureaux/ departments for 7 years after officer has left the service, then P. [Endnotes 2 and 5 to Schedule 5]</p>	<p>CSR 239 (3)(a) and Annex 5 to Encl. (1) of CSB Circular No. 13/2002</p>
<p>(6) Testimonial/reference for -</p> <p>(a) Civil servants</p> <p>(b) Non-civil service contract staff / government employees other than civil servants</p>	<p>D 7 years after officer has left the service</p> <p>D 2 years after officer has left the service</p>	<p>Annexes 5 & 10 to Encl. (1) of CSB Circular No. 13/2002</p>

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(7) Staff records cards	<p>(i) D 12 months after officer has left the service; or</p> <p>(ii) D 12 months after the issue of pension paper, if applicable; or</p> <p>(iii) D 12 months after resolution of any claim/ appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115) and Notification of Retirement/ Resignation (GF 539), if applicable. <small>[Endnote 2 to Schedule 5]</small></p>	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(8) Personal particular forms (a) Forms for civil servants	<p>(i) D 12 months after officer has left the service; or</p> <p>(ii) D 12 months after the issue of pension paper, if applicable; or</p> <p>(iii) D 12 months after resolution of any claim/ appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115) and Notification of Retirement/ Resignation (GF 539), if applicable. <small>[Endnote 2 to Schedule 5]</small></p>	Annex 5 to Encl. (1) of CSB Circular No. 13/2002

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
(b) Forms for serving non-civil service contract staff / government employees other than civil servants	(i) D 12 months after officer has left the service; or (ii) D 12 months after resolution of any claim/ complaint, whichever is the later. ^[Endnote 2 to Schedule 5]	Annex 10 to Encl. (1) of CSB Circular No. 13/2002
(9) Declaration of investment ^[Note 1]	D 5 years after officer has left the service	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(10) Declaration on leaving the service	D 5 years after officer has left the service	Annex 5 to Encl. (1) of CSB Circular No. 13/2002 Note 2
(11) Application forms for post-retirement employment	(i) D 12 months after the expiry of the period within which the former officer is required to seek permission for taking up post-retirement/ post-agreement employment; or (ii) D 12 months after resolution of any claim/ appeal/complaint, whichever is the later.	Annex 5 to Encl. (1) of CSB Circular No. 13/2002
(12) Integrity checking results	SOD ^[Endnote 4 to Schedule 5]	Note 3

NATURE/DESCRIPTION	DISPOSAL REMARKS	REFERENCE
<p>(13) Personal correspondence - work-related personal correspondence of Heads of bureaux/departments, or of those who hold a statutory position, or those appointed by the Chief Executive</p> <p>(14) Records relating to other evaluative personal data not specifically set out in Annexes 5 and 10 to Encl. (1) of CSB Circular No. 13/2002</p> <p>(a) Records of civil servants</p> <p>(b) Records of serving non-civil service contract staff / government employees other than civil servants</p> <p>(15) Records relating to other personal data not covered in (1) to (14) above, e.g. Certificates of Service (GF 7).</p>	<p>P after the officer has left the post for 4 years</p> <p>(i) D 12 months after officer has left the service; or</p> <p>(ii) D 12 months after resolution of any claim/appeal/complaint, whichever is the later, subject to completion of Record of Service (GF 115). ^[Endnote 2 to Schedule 5]</p> <p>(i) D 12 months after officer has left the service; or</p> <p>(ii) D 12 months after resolution of any claim/complaint, whichever is the later. ^[Endnote 2 to Schedule 5]</p> <p>SOD</p>	<p>Annex 5 to Encl. (1) of CSB Circular No. 13/2002</p> <p>Annex 10 to Encl. (1) of CSB Circular No. 13/2002</p>

Note 1: As advised by the Secretary for the Civil Service, paragraph 6 of CSB Circular No. 8/2006 sets out that all references to posts mentioned in the Circular refer to civil service posts or positions held by staff on non-civil service terms. Hence, the retention and disposal of records on declaration of investment filed by the designated civil servants (e.g. civil servants holding Tiers I & II posts as defined in CSB Circular No. 8/2006) and officers on non-civil service terms are the same.

Note 2: Advice given by the Secretary for the Civil Service vide her e-mail of 21 November 2011.

Note 3: Advice given by the Secretary for the Civil Service vide her e-mail of 4 November 2011.

Appendix B to Schedule 5**Retention and Disposal Requirements for
Staff Statistical Records Common to Different Subject Groups in Schedule 5**

Staff statistical records include consolidated survey results or statistics relating to staff or those records received from other bureaux and departments.

NATURE/DESCRIPTION	DISPOSAL REMARKS
<i>Policy</i>	Retain for 5 years , then P
<i>Routine</i>	Retain for 3 years , then P

Appendix C to Schedule 5

**Cross-references of Types of Employment-related Personal Data of
Civil Servants and NCSC Staff set out in Annexes 5 and 10 respectively to
Enclosure 1 of CSB Circular No. 13/2002 to
Subject/Records Groups of Schedule 5 of the GARDS**

Note: The following tables provide cross-references of the specific types of employment-related personal data set out in Annexes 5 and 10 respectively to Enclosure 1 of CSB Circular No. 13/2002 to the subject/records groups of Schedule 5 of the GARDS. Other specified retention and disposal requirements of human resources records as advised by CSB for the purpose of updating Schedule 5 have not been cross referenced to in the tables.

(A) Employment-related Personal Data of Civil Servants

(based on Annex 5 to Enclosure 1 of CSB Circular No. 13/2002)

* *“Others” denotes the records group “Others with specific retention and disposal requirements”*

Data Subject	Types of Personal Data	Subject Groups/Appendix in the GARDS		Item No. in Records Group “Others”*/ Appendix
Applicant for appointment	Factual Data			
	Application forms	5-25	Recruitment	(3) (a) - (c)
	Evaluative Data			
	Examination score sheets	5-25	Recruitment	(3) (a) - (c)
	Employer’s reference	5-25	Recruitment	(3) (a) - (c)
	Personal reference	5-25	Recruitment	(3) (a) - (c)
	Medical examination reports	5-25	Recruitment	(3) (a) - (c)
	Recruitment board assessment sheets	5-25	Recruitment	(3) (a) - (c)
	Recruitment board reports	5-25	Recruitment	(2)

Data Subject	Types of Personal Data	Subject Groups/Appendix in the GARDS		Item No. in Records Group "Others"*/ Appendix
Serving officer and former civil servant	Factual Data			
	Personal files	Appendix A to Schedule 5		(1) (a) - (b)
	Leave records	5-50	Leave and Authorised Absence	(1) (a)
	Staff record cards	Appendix A to Schedule 5		(7)
	Personal particular forms	Appendix A to Schedule 5		(8) (a)
	Mandatory Provident Fund (MPF) employment records	4-75	Pension	(1)
	Records on payment of MPF relevant income	4-75	Pension	(1)
	Declaration of investment	Appendix A to Schedule 5		(9)
	Declaration on leaving the service	5-90	Termination of Service	(1)
		Appendix A to Schedule 5		(10)
	Application forms for post-retirement employment	Appendix A to Schedule 5		(11)
	Records of information included in the MPF remittance statement	4-75	Pension	(4)
	Documents relating to claims for employees' compensation	5-5	Accidents and Injuries	(1)
5-35		Health and Safety	(2)	

Data Subject	Types of Personal Data	Subject Groups/Appendix in the GARDS		Item No. in Records Group "Others"*/ Appendix
Serving officer and former civil servant	Evaluative Data			
	Staff report files	Appendix A to Schedule 5		(3) (a) - (b)
	Promotion board assessment sheets	5-60	Promotions and Examinations	(2)
	In-service appointment board assessment sheets	5-10	Appointments and Postings	(2)
	Career development interview records	5-45	Human Resources Planning	(2)
	Disciplinary records	5-20	Conduct and Discipline	(1)
	Documents relating to renewal of agreement, extension of service/agreement or revision of terms	5-10	Appointments and Postings	(4)
	Other evaluative personal data	Appendix A to Schedule 5		(14) (a)
	Staff Complaints - (a) cases not substantiated (b) case that are substantiated	5-75	Staff Relations - Appeals and Grievances	(1) (a) - (b) (5) (a) - (b)

Data Subject	Types of Personal Data	Subject Groups/Appendix in the GARDS		Item No. in Records Group "Others"*/ Appendix
Serving officer and former civil servant	Sexual Harassment Complaints - (a) complaints not upheld (b) complaints upheld but there are insufficient grounds to take formal disciplinary action	5-75	Staff Relations - Appeals and Grievances	(3) (a) - (c)
	Promotion board reports	5-60	Promotions and Examinations	(1)
	In-service appointment board reports	5-10	Appointments and Posting	(1)
	Testimonial	Appendix A to Schedule 5		(6) (a)
	Record of Service (GF 115)	Appendix A to Schedule 5		(5)

(B) Employment-related Personal Data of Non-Civil Service Contract Staff / Government Employees other than Civil Servants

(based on Annex 10 to Enclosure 1 of CSB Circular No. 13/2002)

**“Others” denotes the records group “Others with specific retention and disposal requirements”*

Data Subject	Types of Personal Data	Subject Group/Appendix in the GARDS		Item No. in Records Group “Others”*/ Appendix
Applicant for appointment	Factual Data			
	Application forms/ application letter for employment (e.g. GF 340)	5-25	Recruitment	(3) (a) - (c)
	Evaluative Data			
	Examination score sheets	5-25	Recruitment	(3) (a) - (c)
	Employer’s reference	5-25	Recruitment	(3) (a) - (c)
	Personal reference	5-25	Recruitment	(3) (a) - (c)
	Recruitment board assessment sheets	5-25	Recruitment	(3) (a) - (c)
	Medical examination reports	5-25	Recruitment	(3) (a) - (c)

Data Subject	Types of Personal Data	Subject Group/Appendix in the GARDS		Item No. in Records Group "Others"*/Appendix
Serving employee	Factual Data			
	Leave records	5-50	Leave and Authorised Absence	(1) (b)
	Personal particular forms	Appendix A to Schedule 5		(8) (b)
	Mandatory Provident Fund (MPF) employment records	4-75	Pension	(2)
	Records on payment of MPF relevant income	4-75	Pension	(2)
	Long service payment/severance payment records	4-75	Pension	(3)
	Training records	5-95	Training and Development	(2)
	Personal files	Appendix A to Schedule 5		(2) (a) - (b)
	Records of information included in the MPF remittance statement	4-75	Pension	(4)
	Documents relating to claims for employees' compensation	5-5	Accidents and Injuries	(1)
5-35		Health and Safety	(2)	

Data Subject	Types of Personal Data	Subject Group/Appendix in the GARDS		Item No. in Records Group "Others"*/ Appendix
Serving employee	Evaluative Data			
	Staff Complaints - (a) cases not substantiated (b) case that are substantiated	5-75	Staff Relations - Appeals and Grievances	(2) (a) - (b) (6) (a) - (b)
	Sexual Harassment Complaints - (a) complaints not upheld (b) complaints upheld but there are insufficient grounds to take formal disciplinary action	5-75	Staff Relations - Appeals and Grievances	(4) (a) - (b)
	Performance appraisal	Appendix A to Schedule 5		(4) (a) - (b)
	Other evaluative personal data	Appendix A to Schedule 5		(14) (b)
Former employee	Evaluative Data			
	Testimonial/reference	Appendix A to Schedule 5		(6) (b)

Summary of Major Amendments to Schedule 5 - Human Resources

1. Updating records retention and disposal requirements according to prevailing government regulations, circulars, directives, etc.

The retention and disposal requirements stipulated in Schedule 5 have been reviewed and updated as appropriate in accordance with the prevailing relevant legislations, government regulations, directives, etc. as far as possible. They include the following -

- (a) *Code of Practice on Human Resource Management* issued by the Privacy Commissioner for Personal Data pursuant to the Personal Data (Privacy) Ordinance (Cap. 486);
- (b) Annexes 5 and 10 to Enclosure 1 of Civil Service Bureau (CSB) Circular No. 13/2002 entitled “*Personal Data (Privacy) Ordinance - Guidelines for Users of Employment-Related Personal Data in the Civil Service*”; and
- (c) CSB Circular Memorandum No. 11/2010 entitled “*Race Discrimination Ordinance in the Area of Employment in the Civil Service*”.

A new column “Reference” has been added to list the sources of government regulations, circulars, directives, etc. that govern the retention and disposal requirements of specific record types.

2. Updating records disposal actions to incorporate prevailing archival requirements

After reviewing the types of records covered by Schedule 5, GRS opines that case records relating to major investigations and reports on health and safety (Item (3) under “Others with specific retention and disposal requirements” in 5-35 HEALTH AND SAFETY) may have potential archival value therefore they should be referred to the Public Records Office of GRS for appraisal before final disposal.

3. Re-titling subject groups

The titles of subject groups EMPLOYMENT AND RECRUITMENT (5-25) and LEAVE AND PASSAGE (5-50) have been renamed to RECRUITMENT and LEAVE AND AUTHORISED ABSENCE respectively to better reflect their coverage of records.

4. Updating scope notes

The scope notes of some subject groups, e.g. 5-10 APPOINTMENTS AND POSTING have been revised and updated to enhance consistency among different subject groups and better reflect the coverage of the subject groups. Moreover, we have elaborated on the coverage of a number of items under the records group “Others with specific retention and disposal requirements” to facilitate B/Ds’ identification of the relevant records for disposal.

5. Adding new appendices on retention and disposal requirements of common record types

New appendices, namely Appendix A and Appendix B have been added to Schedule 5 setting out the retention and disposal requirements for common types of personal case records, e.g. personal particulars, leave records and performance appraisals, and staff statistical records across different subject groups in the Schedule. The appendices replace the existing subject groups 5-58 PERSONAL CASE RECORDS and 5-87 STAFF STATISTICAL RECORDS.

6. Adding cross-reference tables to map types of employment-related personal data to subject/records groups

Two tables cross-referencing the types of employment-related personal data of civil servants and non-civil service contract staff (NCSC staff) (as set out in Annexes 5 and 10 respectively to Enclosure 1 of CSB Circular No. 13/2002) to specific subject and records groups of Schedule 5 of the GARDS are provided at Appendix C of the updated Schedule 5 for easy reference by B/Ds.

7. Removing the extract of user procedural manual of Leave Records and Leave Calculation System

The list of “*Extract of User Operation/Procedural Manual of Leave Records and Leave Calculation System*” has been removed from the updated Schedule 5 given that the Leave Records and Leave Calculation System has been replaced.

**Updated Cross-References of “Disposal Remarks” in yet-to-be-updated Schedules 1, 2 and 6
to the Updated Schedules 3, 4 and 5 of the GARDS**

This appendix provides updated cross-references of relevant items in yet-to-be-updated Schedules 1, 2 and 6 to the updated Schedules 3, 4 and 5.

SCHEDULE 1 - ADMINISTRATION

* “Others” denote records group “*Others with specific retention and disposal requirements*” in the GARDS.

Subject Group/Code	Records Group/Item No.	Cross-references Stated in Existing Disposal Remarks	Revised Cross-references to the Updated Schedules 3, 4, 5 and their Appendices ^{Note}
1-5 ACCIDENTS	Others* (3) (a) - Records involving personal injuries of Government employees	See 5-5 ACCIDENTS AND INJURIES	See item (1) in Others of 5-5 ACCIDENTS AND INJURIES in updated Schedule 5
	Others (4) - Financial records relating to damage and injuries	See 4-15 ACCOUNTS PAYABLE; and 4-20 ACCOUNTS RECEIVABLE	See items (1) - (3) in Appendix to updated Schedule 4

Subject Group/Code	Records Group/Item No.	Cross-references Stated in Existing Disposal Remarks	Revised Cross-references to the Updated Schedules 3, 4, 5 and their Appendices^{Note}
1-30 CAFETERIAS AND EATING FACILITIES	Others (3) - Purchase of equipment and supplies	See 3-15 CANTEEN AND PANTRY EQUIPMENT AND SUPPLIES	See 3-15 CANTEEN AND PANTRY EQUIPMENT AND SUPPLIES in updated Schedule 3
1-70 COMPLAINTS	Others (2) - Equipment related	See 3-5 EQUIPMENT, SUPPLIES AND SERVICES	See item (10) in Appendix to updated Schedule 3
	Others (3) - Staff complaints	See 5-75 STAFF RELATIONS - APPEALS AND GRIEVANCES	See 5-75 STAFF RELATIONS - APPEALS AND GRIEVANCES in updated Schedule 5
1-75 CONFERENCES AND SEMINARS	Others (2) - Travel allowance	See 4-30 ALLOWANCES	See 4-30 ALLOWANCES in updated Schedule 4
	Others (3) - Travel expense claims	See 4-50 CLAIMS	See item (2) in Others of 4-50 CLAIMS in updated Schedule 4
1-100 GIFTS AND DONATIONS	Others (1) - Financial records	See 4-65 GRANTS AND FUNDS	See 4-65 GRANTS AND FUNDS in updated Schedule 4

Subject Group/Code	Records Group/Item No.	Cross-references Stated in Existing Disposal Remarks	Revised Cross-references to the Updated Schedules 3, 4, 5 and their Appendices^{Note}
1-140 OFFICIAL LANGUAGES	Others (2) - Training related	See 5-95 TRAINING AND DEVELOPMENT	See 5-95 TRAINING AND DEVELOPMENT in updated Schedule 5
1-160 REPORTS AND STATISTICS	Others - Staff Statistics	See 5-87 STAFF STATISTICAL RECORDS	See Appendix B to updated Schedule 5
1-190 SECURITY	Others (3) - Clearance and reliability checks of staff	See 5-85 STAFF SECURITY	See item (1) in Others of 5-85 STAFF SECURITY / INTEGRITY CHECK in updated Schedule 5
1-200 VISITS AND TOURS	Others (3) - Travel allowance	See 4-30 ALLOWANCES	See 4-30 ALLOWANCES in updated Schedule 4
	Others (4) - Travel expenses claims	See 4-50 CLAIMS	See item (2) in Others of 4-50 CLAIMS in updated Schedule 4

SCHEDULE 2 - ACCOMODATION AND FACILITIES

Subject Group/Code	Records Group/Item No.	Cross-references stated in Existing Disposal Remarks	Revised Cross-references to the Updated Schedules 3, 4, 5 and their Appendices^{Note}
2-5 ACCOMMODATION	Others (2) - Staff housing application files	See 4-30 ALLOWANCES	See 4-30 ALLOWANCES in updated Schedule 4
	Others (3) - Financial records relating to Housing Allowance/ Home Purchase Scheme	See 4-30 ALLOWANCES	See 4-30 ALLOWANCES in updated Schedule 4
2-20 ACCOMMODATION - DAMAGE	Others (3) - Financial records relating to damage	See 4-15 ACCOUNTS PAYABLE; and 4-20 ACCOUNTS RECEIVABLE	See items (1) - (3) in Appendix to Updated Schedule 4
2-25 ACCOMMODATION - FITTING OUT	Others (3) - Furnishing items	See 3-35 FURNITURE AND FURNISHINGS	See 3-35 FURNITURE AND FURNISHINGS in updated Schedule 3

Subject Group/Code	Records Group/Item No.	Cross-references stated in Existing Disposal Remarks	Revised Cross-references to the Updated Schedules 3, 4, 5 and their Appendices ^{Note}
2-30 ACCOMMODATION - SECURITY	Others (4) - Security related equipment and Supplies	See 3-60 SECURITY EQUIPMENT AND SUPPLIES	See 3-60 SECURITY EQUIPMENT AND SUPPLIES in updated Schedule 3
2-40 COMMUNICATION SYSTEMS - INSTALLATION AND DISPOSAL	Others (2) - Standard forms used in procurement and supply, etc.	See 3-5 EQUIPMENT, SUPPLIES AND SERVICES	See item (1) in Appendix to updated Schedule 3
2-50 UTILITIES	Others - Related financial records	See 4-15 ACCOUNTS PAYABLE	See items (1) - (3) in Appendix to updated Schedule 4
2-55 UTILITIES - INSTALLATION AND DISPOSAL	Others (3) - Standard forms used in procurement and supply, etc.	See 3-5 EQUIPMENT, SUPPLIES AND SERVICES	See item (1) in Appendix to updated Schedule 3

SCHEDULE 6 - INFORMATION SYSTEMS AND SERVICES

Subject Group/Code	Records Group/Item No.	Cross-references stated in Existing Disposal Remarks	Revised Cross-references to the Updated Schedules 3, 4, 5 and their Appendices^{Note}
6-15 ELECTRONIC DATA PROCESSING MANAGEMENT	Others (4) - Purchase, services and maintenance	See 3-30 COMPUTER EQUIPMENT AND SUPPLIES	See 3-30 COMPUTER EQUIPMENT AND SUPPLIES in updated Schedule 3
6-35 INFORMATION SERVICES - BOOKS AND PUBLICATIONS	Others (7) - Printing Orders (GF 3 and GF 3A)	See 3-5 EQUIPMENT, SUPPLIES AND SERVICES	See item (1) in Others of 3-50 PRINTING in updated Schedule 3
6-55 LIBRARY SERVICES	Others (1) - Accession Register (GF 39) [#]	See 3-5 EQUIPMENT, SUPPLIES AND SERVICES	See item (1) in Appendix to updated Schedule 3

GF 39 is one of the control-numbered forms covered by SPR 675.

Subject Group/Code	Records Group/Item No.	Cross-references stated in Existing Disposal Remarks	Revised Cross-references to the Updated Schedules 3, 4, 5 and their Appendices ^{Note}
6-55 LIBRARY SERVICES	Others (3) - Financial records	See 4-15 ACCOUNTS PAYABLE; and 4-20 ACCOUNTS RECEIVABLE	See items (1) - (3) in Appendix to updated Schedule 4

Note

For records common to different subject groups in updated **Schedules 3, 4 and 5**, their retention and disposal requirements are detailed in the respective appendices to the schedules (i.e. **Appendix to Schedule 3, Appendix to Schedule 4** and **Appendices A and B to Schedule 5**) unless otherwise specified in individual subject groups.

Major Steps for Implementing Disposal of Time-expired Administrative Records

(a) Conduct a disposal exercise at a regular interval

Bureaux and departments (B/Ds) should bring up inactive files (e.g. closed files and files created for over 30 years but remain unclosed) for review at a regular interval, at least once every two years, to determine whether they should be disposed of upon the expiry of the retention periods as prescribed in the “General Administrative Records Disposal Schedules (GARDS)” when there are no outstanding actions relating to the files.

(b) Seek internal endorsement for disposal of time-expired administrative records

Internal endorsement to dispose of time-expired records should be obtained from **an officer not below the rank of Senior Executive Officer or equivalent** in B/Ds.

(c) Seek Government Records Service (GRS) Director’s approval for disposal of time-expired administrative records

B/Ds should seek the **prior approval of GRS Director** for disposal of time-expired records in writing, providing information on records to be disposed of and confirmation on meeting the mandatory conditions. Memo templates are available at http://grs.host.ccgo.hksarg/sch_disp.htm.

To ensure accurate application of the GARDS, notably correct mapping of the records concerned to the respective subject groups/records groups of GARDS and no premature destruction of records, GRS will request B/Ds to forward sample files to be disposed of and, if necessary, a list of the files concerned for examination. GRS will not further process a B/D’s disposal request if it fails to provide the sample files as required.

(d) Implement disposal of time-expired administrative records

Upon receipt of GRS’ written approval for disposal of time-expired records, B/Ds should designate **an officer not below the rank of Executive Officer II or equivalent** to properly supervise the disposal process in accordance with the procedures set out in paragraph 19 of and Appendix IV to General Circular No. 2/2009. Records having archival value or potential archival value should be transferred to the Public Records Office of GRS for retention or appraisal.

Please refer to the “Guidelines on Using the General Administrative Records Disposal Schedules to Dispose of Administrative Records” which is obtainable from http://grs.host.ccgo.hksarg/guide_admin_sch_disp.htm for detailed procedures.