

Leipzig University of Applied Sciences

## Archive Regulations

- Archiv0 -

Last amended 14 December 2010  
based on § 14 Par. 1 SächsArchivG and § 13 Par. 5 SächsHSG

For reasons of legibility, this document does not make use of both male and female forms throughout. In these regulations, masculine forms used to refer to persons apply equally for female persons.

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### § 1 Definitions

(1) Archival material means all documents deemed worthy of preservation. Archival material also includes documentation material, which is collected additionally by the University Archive. 'Worthy of preservation' applies to documents which have a lasting value for legislation, jurisdiction, government and administration, for science and research or for the protection of the rightful concerns of affected persons and institutions or third parties.

(2) 'Intermediate archival material' refers to documents accepted by the University Archive for temporary keeping, whose retention periods have yet to expire and which have yet to be selected as archival material. In the case of intermediate archival material, the regulations of the Joint Administrative Regulation of the Saxon State Chancellery and the

State Ministries on the management of records (*Registrierungsordnung*) apply in particular, along with general data protection regulations and rules on confidentiality and privacy.

(3) In these regulations, documents are, in particular, taken to be papers, records, pictures, maps, plans, drafts, films and sound recordings as well as data stored on computer-supported data storage media, including any associated documentation.

## **§ 2 Legal Status**

The University Archive is a Chancellor-level staff department.

## **§ 3 Management**

(1) The University Archive is managed full-time by a director, who is qualified to work in archive services at an executive level or who possesses a corresponding level of professional archive training.

(2) The director bears the professional responsibility of operating the archive. He is responsible for managing the archive, introducing employees allocated to the archive and for the planning and utilization of the finances which the archive has at its disposal.

## **§ 4 Organizational Structure**

The University Archive portfolio is divided into the

1st department	(1875 - 1952),
2nd department	(1952- 1992),
3rd department	(1992 ff.),
4th department	(for assets and student records),
5th department	(collections).

The University Archive also comprises archival material from those educational establishments which the HTWK Leipzig has been commissioned to dissolve and whose responsibilities the HTWK has been commissioned to assume.

## **§ 5 Responsibility and Functions**

(1) The University Archive has the function of a public archive for the archival material and also that of an administrative archive (*Altregistratur*) for the intermediate archival material.

(2) As an administrative archive, the University Archive is responsible for the all documents of the departments of the HTWK Leipzig which are no longer constantly necessary for normal business operations. Said departments are obliged to hand over any documents which they no longer constantly require for performing their functions to the University Archive. Regardless of this, all documents must be handed over to the University Archive no later than 30 years after they come into being. They are not permitted to withhold, sell, or destroy any documents, or pass them on to be destroyed. The University Archive collects documents along with the registers prepared by the departments handing them over, taking them on as intermediate archival material (Appendix 1).

Documents which are to be kept permanently become archival material on their addition to the University Archive. Provided the time of the planned handing over falls at the same time as the expiry of the retention period and the University Archive finds that the documents are not worthy of preservation, then these shall be destroyed by the respective department or passed on to be destroyed. In the case of storage, selection, archiving and the destruction of records, the internal guidelines of the HTWK Leipzig (Appendix 2) shall apply in particular.

(3) The University Archive assesses the documents to determine whether they are worthy of preservation no later than when the retention periods expire. Documents not intended for permanent storage as archival material must be destroyed. This does not apply if this conflicts with legal regulations or interests of affected parties which are worthy of protection. When documents are destroyed, evidence of this must be provided and this must be stored permanently.

(4) The University Archive shall keep archival material and intermediate archival material safe and preserve it. It shall, in the long term, protect the archival and intermediate archival material from unauthorized use, from damage and from destruction by taking the necessary technical and organizational measures. Archival material is part of the cultural possessions of the HTWK Leipzig and thus of the Free State of Saxony. It is inalienable.

(5) The University Archive shall develop the archival material and utilize it.

(6) The University Archive may accept documents from third parties, provided these have a close connection to the HTWK Leipzig or its predecessors.

(7) The University Archive evaluates archival material and contributes to the research and conveyance of the university's history and the history of integrated teaching and research institutions.

(8) The University Archive issues official confirmation documents, in particular detailing a person's duration of study, certificates, lectures attended, examinations and diplomas, provided these are proven by documents within the archive.

## **§ 6**

### **Use and Levying of Fees**

(1) Using the archival material is set out in the use and fee regulations for the University Archive of the HTWK Leipzig from 14 December 2010. § 6 SächsArchG and §§ 17 and 18 of the Saxon Data Protection Act remain unaffected by this.

(2) The University Archive charges fees for the services it renders and for the use of its facilities in accordance with § 13 of the use and fee regulations for the University Archive of the HTWK Leipzig.

## **§ 7**

### **Final Provisions**

(1) These Archive Regulations were approved on 14 December 2010 by the Rector's office and come into effect on the day following their approval.

(2) At the same time, all previous regulations and rules for the University Archive cease to apply.

(3) The Archive Regulations are published on the internet portal of the HTWK Leipzig under [www.htwk-leipzig.de](http://www.htwk-leipzig.de).

### **Appendixes**

Appendix 1 Issue List

Appendix 2 Guidelines for the Storage, Segregation, Archiving and Destruction of Records

Leipzig,

**Authority handing over document(s) in question:**

\_\_\_\_\_  
 Faculty/Department (name applicable at the time of record creation)

**Issue list**

1 Seq. no. consecutive 1 - n	2 Rec. no./Serial no. if present	3 Vol. no.	4 Access no. is assigned by archive	5 Shelf no. is assigned by archive	6 Content	7 Duration	8 Comments

handed over .....

acquired .....

completed with seq. no.:

on:

page ..... of .....

## **Guidelines on the Storage, Segregation, Archiving and Destruction of Records**

### **I. General**

These guidelines establish principles for the storage and segregation, archiving and destruction of records, which are intended to contribute to keeping record storage costs low.

Records which come into being in the departments of the HTWK Leipzig are the property of the university and thus also of the Free State of Saxony. In accordance with the Archive Regulations of the HTWK Leipzig and the following rules, they must be offered to the University Archive for acquisition.

As well as for conventional records, these rules apply for stored, machine-readable information and documents. In order to enable long-term archiving, when purely electronic applications are introduced the University Archive must be involved. In the case of applications which are already in place, the possibility of archiving must be guaranteed.

### **II. Retention Periods**

A record's retention period states the period of time for which a record must be kept by the authority handling it, even after the record has been closed, before selection may be carried out. A distinction must be made between legal retention periods, over which the HTWK Leipzig can have no influence, and those which are internal and set by the university. In each case, it is the responsibility of the person in charge to know and apply the relevant retention periods for his area of responsibility.

The periods specify when the records are to be regularly selected. Shortening these periods is possible if the records are no longer required for carrying out official duties; an extension is also possible, if there are objective grounds for this.

Unless otherwise explicitly determined, retention periods begin at the end of the calendar year in which the records were closed.

The periods listed as follows apply for the storage of records. For all records not listed here, a basic retention period of five years applies. Separate legal requirements or separate orders are not affected by this, if these specify a longer period for certain records.

Retention periods in selected individual cases:

Period	Type of record
30 years	Documents and records which must permanently be maintained due to their historical, cultural or legal value or for other reasons.  Records which provide information about the organization, the development, the building and the responsibilities of the HTWK Leipzig and its institutions (these include committee protocols, founding documents of individual institutions, enrollment lists and student files, planning matters, honors and certificates).  Examination files (without examination papers)
10 years	Staff committee files  Documents from committee meetings
5 years	Examination papers, which are part of examination files (written papers, models, drawings, artistic files etc.)

### III. Selection of Records

In order to keep the number of records to be preserved as small as possible, all departments of the HTWK Leipzig must select their old records at regular intervals and offer them to the University Archive, without altering them.

When a handing over of records to the archive is planned, the authority handing over the documents should contact the director of the archive some time in advance. Three copies must be completed of an issue list which names the sequence number, record number, record title, duration and retention period of each record (see Appendix 1). The list can be downloaded from the University Archive internet pages of the HTWK Leipzig internet portal.

The lists must be signed by the person responsible from the authority handling the records. Before the records are handed over, one of the lists must be sent via email to the University Archive so that the archivist can already make a preliminary assessment decision based on the record titles which are listed. An archive worker can then, depending on the size of the records to be acquired, view the files on-site, making a decision on the premises of the authority which is giving the records up as to what can simply be destroyed immediately. Evidence of this must be recorded with a corresponding log. After the material has provisionally been processed, a copy of the issue list is then returned to the authorities handing over the material.

In order to simplify the process, the archive can provide individual departments with so-called indefinite destruction permits, which allow the automatic destruction of certain documents.

#### **IV. Destruction of Records**

Records whose acquisition has been ruled out by the University Archive from the outset, or which have been released by the University Archive for destruction, must be destroyed in accordance with legal regulations.

Independently destroying any other professional documents of any kind without the participation of the University Archive is prohibited.