

Guidelines for Transferring Records to Public Records Office (PRO) for Appraisal (Physical Appraisal)

A. Purposes:

These guidelines set out the requirements for bureaux/departments (B/Ds) in preparing the records to be transferred to PRO of GRS for appraisal according to the General Administrative Records Disposal Schedules (GARDS) or the Retention and Disposal Authorities (e.g. Disposal Action “RP” as stated in the Retention and Disposal Authorities) approved by GRS Director. Specifically, these guidelines are related to transferring records for **physical appraisal** as requested by PRO subsequent to receiving the disposal requests from B/Ds. In order to provide PRO with sufficient information about the records, to better protect the records and to ensure compliance with the related regulations of the Government, B/Ds are required to strictly follow these guidelines. **GRS may refuse to accept the records and return the records to the B/D concerned for repacking if the B/D fails to follow these guidelines in transferring the records.**

B. Points to note:

- (1) **Security Classification** - Unclassified and classified records must be packed separately.
- (2) **Enclosure** - All records must be enclosed by envelope(s) or wrapping paper(s). The enclosed records should be further tied in bundle(s) if necessary.
- (3) **Carton box** - If the records to be transferred are over 30 cm in total thickness, they must be contained in carton box(es). The size of each box must not be larger than 38 cm (L) X 30 cm (W) x 25 cm (H). Please note that no carton boxes or packing materials will be provided by GRS. B/Ds may order standard carton boxes through the contracted supplier of the Records Centres of GRS. For supply of carton boxes and ordering details/procedures, please see [http://grs.host.ccg.hksarg/file/Ordering_Procedures\(2017\).pdf](http://grs.host.ccg.hksarg/file/Ordering_Procedures(2017).pdf).
- (4) **Spacing inside the box** - The boxes should be filled about 80% leaving a free space of 1 to 2 cm for retrieving the records in the box.
- (5) **Weight of the box** - The maximum weight of each box must not exceed 10 kg.

- (6) **Odd size records** - For odd size records which cannot be fit in the box mentioned above, please enclose them individually with wrapping paper(s). If the records are fragile or deteriorated, B/Ds are required to consult PRO before packing.
- (7) **Necessary markings on each “packing unit”** – Each envelope/bundle/box (referred as “packing unit” hereafter) must have the following two markings on the outside surface of each packing unit:
- (i) **Number of “packing unit”** - Each packing unit must be numbered against the total number of the packing unit(s). For example, if totally there are 3 boxes, the numbers of the three boxes are: PU No. 1/3, PU No. 2/3 and PU No. 3/3 respectively.
 - (ii) **PRO’s memo reference** – This refers to the memo from PRO to call records for appraisal. For example, PRO has issued a memo to a department to request the transfer of 100 files for appraisal via a memo reference (1234-1) in 315-A-023-012. Then, the department should mark the reference “(1234-1) in 315-A-023-012” clearly on the outside surface of each packing unit.
- (8) **Ordering of the records** - The sequential order of the records inside the packing unit(s) should follow the order in the “List of Records to be Forwarded for Examination” which will be attached to the memo from PRO to call records for appraisal if appropriate.
- (9) **Listing of the records**
- (i) To facilitate PRO’s checking of the transferred records, B/Ds should prepare a “List of Records Forwarded for Examination” showing the packing unit number(s) (PU No.) of each record. The soft copy of the list should be sent to PRO’s designated email account [i.e. RECORDS DISPOSAL PRO/GRS/HKSARG (Lotus Notes) or records_disposal_pro@grs.gov.hk (internet)] in advance to confirm the delivery time (see (10) below). Meanwhile, the hardcopy of this list should be attached to a covering memo which is to be provided together with the records in question when the records are transferred to PRO. Please refer to **Part C** for the sample of the list.
 - (ii) To prepare the list mentioned above, B/Ds may simply copy the list of records attached to the memo from PRO to call records for appraisal (and mark the additional information) or use the soft copy of the original disposal list (attached to

the disposal request from B/Ds via memo or SARCIS) for editing.

(10) Delivery of records

- (i) The records requested by PRO for appraisal should be delivered to the following address:

Public Records Office,
3/F, Hong Kong Public Records Building,
13 Tsui Ping Road,
Kwun Tong,
Kowloon.

- (ii) If the records in question are over 10 LM, B/Ds should make prior appointment with PRO two weeks in advance for a mutually convenient date for delivery.
- (iii) B/Ds are responsible for providing menial labour to place the records in question onto appropriate racks assigned by PRO staff.
- (iv) Upon delivery, PRO will check the records in each packing unit against the “List of Records Forwarded for Examination” (mentioned in (9)(i)) after all the records are inspected as having no active pest infestation. If necessary, acknowledgement of receipt by PRO (say, by Despatch Schedule (GF121)) will be arranged as soon as practicable.

- (11) Security requirements** - Relevant requirements as set out in the Security Regulations should be observed in packing and delivering classified records to PRO.

- (12) Enquiries** - If B/Ds have any queries about the above guidelines, please call 2195-7828 or 2195-7777; or send an email to RECORDS DISPOSAL PRO/GRS/HKSARG.

C. Sample lists of records forwarded to PRO for examination

Explanatory Notes:

- (1) The original list of records attached to PRO's memo calling records for appraisal consists of three columns: (i) Reference No., (ii) Record or File Title, and (iii) Covering Period. When B/Ds dispatch the requested records to PRO, they should prepare a covering memo and attach a list of records for PRO's appraisal. The column (i.e. "PU No." [stands for Packing Unit No.]) added to the original list of records from PRO is shown in grey in the sample below.
- (2) In the "PU No." column, the numbers must match the actual "PU No.(s)" marked outside each packing unit.

PU No.	Reference No.	Record or File Title	Covering Period (Date Opened)	Covering Period (Date Closed)
1	KE 22/5 Pt.7	Welfare Meeting	16.02.2000	13.09.2008
1	KE 22/6/12 Pt.3	Sai Kung Area Committee	18.05.1998	30.09.2007
1	KE 22/10/10 Pt.18	Sai Kung District - DMC	28.11.2002	30.04.2008
1	KE 22/10/27 Pt.3	Community Building & Social Services	29.01.1993	25.09.2007
2	KE 87/1 Pt.3	Building Security - Policy	21.07.1998	25.05.2004
2	KE 176/3 Pt.3	Occupational Health - Policy	04.01.1999	29.10.2003
3	MB/23/MTG	Meetings of the Core Team – MTG	01.07.1999	01.05.2000
2	MB/1/NAC/TP D	Training requirements – Policy	01.07.1997	01.07.1998
2	MB/1/ERS/TPD	Correspondence with ERS	01.02.1999	01.02.1999
2	MB/1/FORUM/ TPD	Electronic forum	01.02.1998	01.09.1998
3	MB/2/TE	Meeting with the Core Team - TE	05.07.1997	12.05.2000