

## **Guidelines for Transferring Records to Public Records Office (PRO) for Permanent Retention**

### ***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 **permanent retention** according to the Retention and Disposal Authorities (i.e. Disposal Action “PP” as stated in the Retention and Disposal Authorities) approved by GRS Director. 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) **Transfer request** – B/D should submit a transfer request of programme records according to the Retention and Disposal Authorities (i.e. Disposal Action “PP” as stated in the Retention and Disposal Authorities) approved by GRS Director. After checking B/D’s transfer request, PRO will get in touch with B/D directly to confirm the transfer arrangement. Before the actual transfer, PRO may request B/D to provide some sample records for checking.
- (2) **Security Classification** - Unclassified and classified records must be packed separately.
- (3) **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.
- (4) **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.ccgo.hksarg/file/Ordering\\_Procedures\(2017\).pdf](http://grs.host.ccgo.hksarg/file/Ordering_Procedures(2017).pdf).
- (5) **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.

- (6) **Weight of the box** - The maximum weight of each box must not exceed 10 kg.
- (7) **Odd size records** - For odd size records which cannot 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.
- (8) **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 confirm the acceptance of the records for permanent retention. For example, PRO has issued a memo to a department to request the transfer of 100 files for permanent retention via a memo reference (RT0007) in 315-A-023-012. Then, the department should mark the reference “(RT0007) in 315-A-023-012” clearly on the outside surface of each packing unit.
- (9) **Ordering of the records** - The sequential order of the records inside the packing unit(s) should follow the original arrangement order.
- (10) **Listing of the records**
- (i) To facilitate PRO’s checking of the transferred records, B/Ds should prepare a preliminary Records Transfer List (RTL) showing the packing unit number(s) (PU No.) of each record.
  - (ii) The total number of records and packing units involved should be specified at the end of the list.
  - (iii) The soft copy of the list should be sent to PRO’s designated email account [RECORDS DISPOSAL PRO/GRS/HKSARG (Lotus Notes) or records\_disposal\_pro@grs.gov.hk (internet)] in advance (see (11) below) to confirm the delivery time. Meanwhile, the hard copy of the 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.

- (iv) To prepare the preliminary RTL mentioned above, B/Ds must comply with the specification in **Part C**. A sample of the list is provided in **Part D**.

**(11) Delivery of records**

- (i) The records for permanent retention by PRO 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 arrange necessary inspection, checking and accessioning. A final RTL will be provided to the transferring B/Ds in due course. If necessary, acknowledgement of receipt of the records by PRO (say, by Despatch Schedule (GF121)) will be arranged as soon as practicable. Please note that the acknowledgement only indicates that PRO has received a batch of records from the transferring B/Ds. We will check the records against the preliminary RTL and will get in touch with the transferring B/Ds as soon as possible when any discrepancy is found.

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

- (13) 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. Specifications for the Records Transfer List***

- (1) The Records Transfer List (hereafter “RTL”) should be prepared in Microsoft Excel format. Apart from the master copy, agency is highly recommended to produce a backup/security copy of the List and retain this copy on its premises for safekeeping.
- (2) The first character of each word should be entered in upper case.
- (3) Records under one deposit shall be output onto Sheet1 of an Excel file and it must be the only worksheet that contains records.
- (4) The first line (row 1) of Sheet1 is reserved for column headings for Packing Unit No., Security Classification, Records Series No., Deposit No., Serial No., Original Reference No., Description, Covering Dates as shown in the Figure below.
- (5) Required attributes (data elements) of a record item **MUST** be typed in the follow order:

<b>Column</b>	<b>Column Heading</b>	<b>Explanation</b>
<b>Column A</b>	Records Series Number	This number is to be provided by PRO. Agency could leave it blank.
<b>Column B</b>	Deposit Number	This number is to be provided by PRO. Agency could leave it blank.
<b>Column C</b>	Packing Unit Number	“Packing Unit” refers to the box or a unit of enclosed records.  The Packing Unit Number (PU No.) in the column is to show exactly the PU No. of each record when the whole batch of records is transferred to PRO.
<b>Column D</b>	Serial Number	It is a consecutive number commencing with 1.
<b>Column E</b>	Original Reference Number	The reference number allotted by the agency for each individual record.

<b>Column F</b>	Description	The title assigned by the agency for each individual record.
<b>Column G</b>	Covering Dates (Date Opened)	The creation date and closing date of each individual record. Year range should be in <b>YYYY</b> format. For complete entry of covering dates, attributes should be in <b>DD.MM.YYYY</b> format and <b>space-dash-space</b> ( - ) should be used as the separator. For example, for a record which was created on 9 Jul 1978 and closed on 12 Feb 1998, its covering dates should be input as follows: 09.07.1978 – 12.02.1998
<b>Column G</b>	Covering Dates (Date Closed)	The creation date and closing date of each individual record. Year range should be in <b>YYYY</b> format. For complete entry of covering dates, attributes should be in <b>DD.MM.YYYY</b> format and <b>space-dash-space</b> ( - ) should be used as the separator. For example, for a record which was created on 9 Jul 1978 and closed on 12 Feb 1998, its covering dates should be input as follows: 09.07.1978 – 12.02.1998

- (6) Attributes of a record item should be in one line (row) and which should not carry special characters \* and !
- (7) Do not leave blank line (row) between records.
- (8) Indicate total number of records and packing at the end of the RTL.

## D. An example of the Records Transfer List

(1) A screen dump showing the required format of the RTL is as below:

The screenshot shows a Microsoft Excel spreadsheet titled "ERTL (July 2012) - example.xls". The spreadsheet contains a table with the following data:

Records Series No.	Deposit No.	Packing Unit No.	Serial No.	Original Reference No.	Description	Covering Period (Date Opened)	Covering Period (Date Closed)
1		1	1	ETC 95/12 I	HONG KONG FESTIVAL - 1975	15.10.1974	31.03.1975
2		1	2	ETC 95/12 II	HONG KONG FESTIVAL - 1975	01.04.1975	28.07.1975
3		1	3	ETC 95/12 III	HONG KONG FESTIVAL - 1975	01.09.1975	15.12.1975
4		1	4	ETC 95/13 I	HONG KONG FESTIVAL - 1976	25.09.1975	28.02.1976
5		2	5	ETC 95/13 II	HONG KONG FESTIVAL - 1976	02.03.1976	04.08.1976
6		2	6	ETC 95/13 III	HONG KONG FESTIVAL - 1976	06.08.1976	29.12.1976
7		2	7	ETC 95/14 I	HONG KONG FESTIVAL - 1977	01.10.1976	03.03.1977
8		2	8	ETC 95/14 II	HONG KONG FESTIVAL - 1977	05.03.1977	06.07.1977
9		2	9	ETC 95/14 III	HONG KONG FESTIVAL - 1977	08.07.1977	20.12.1977
10							
11							
12							

(2) A sample of finalized RTL provided by PRO to transferring agency

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**PUBLIC RECORDS OFFICE**  
**Record Transfer List**

Home Affairs Department

Headquarters

Division II

Development Section

Deposit HKRS947-1      Series: HKRS947      (Series Title: FILES RELATING TO LANDS AND TOWN  
PLANNING)

<u>Reference No.</u>	<u>Original Ref No.</u>	<u>Title</u>	<u>Covering Years</u>
HKRS947-1-1	S.H.A. 502/57 II	TERMS & CONDITIONS OF CROWN LEASES	18.12.1971 - 19.10.1972
HKRS947-1-2	H.A.D. 502/57 III	TERMS & CONDITIONS OF CROWN LEASES	25.10.1972 - 18.03.1975
HKRS947-1-3	H.A.D. 502/60	CROWN LAND PERMITS. (POLICY)	16.05.1960 - 11.06.1971
HKRS947-1-4	CNTA(L) 502/60 II	CROWN LAND BILL (POLICY)	15.03.1971 - 24.10.1984
HKRS947-1-5	H.A.D. 4/502/68	LAND ADMINISTRATION POLICY	24.02.1968 - 04.05.1987
HKRS947-1-6	CNTA(L) 4/502/68 II	LAND ADMINISTRATION POLICY	25.05.1982 - 18.01.1985
HKRS947-1-7	H.A.D. 502/72	LEASE ENFORCEMENT POLICY	24.04.1972 - 23.03.1976
HKRS947-1-8	CNTA(L) 502es/72 II	LEASE ENFORCEMENT POLICY	20.12.1976 - 02.02.1983

Total Number of Records: 8

\*\* END OF REPORT \*\*