

A Practical Guide To Records Scheduling And Disposal



政府檔案處

Government Records Service

Foreword

The Records Management and Administration Office (RMAO) established under the Government Records Service (GRS) is mainly responsible for advising government bureaux and departments (B/Ds) on records management issues and providing centralised and cost-effective storage services at its Records Centres (RCs) for B/Ds to temporarily store their inactive records before final disposal.

In December 1990, RMAO (formerly known as the Records Management Office) published its first records management publication, *Records Centre Users' Guide*, which introduced the operation and services of RCs. Since then, RC services have been well received by B/Ds, and many of them have transferred inactive records regularly to RCs for temporary storage before final disposal. In 2000, GRS issued the Records Management Publication No. 1 - *A Practical Guide to Records Scheduling and Disposal* to replace the *Records Centre Users' Guide*. It updated the information on the services and facilities of RCs and provided a detailed procedural guide for B/Ds on how to draw up records retention and disposal schedules and perform records disposal in a systematic manner.

To demonstrate the Government's commitment to identifying and preserving government records having archival value, the Director of Administration issued General Circular No. 2/2009 in April 2009 which sets out mandatory requirements on the management of government records for compliance by B/Ds. Amongst them, the mandatory requirements on records scheduling and disposal are of high importance in achieving effective records management in the Government.

GRS regularly conducts reviews on the government records management policies, guidelines and publications to ensure that they are comprehensive and up-to-date. The last revision of this Practical Guide was in May 2015. With the implementation of the "Storage Allocation and Records Centre Information System" (SARCIS)¹ which is a comprehensive web-based information system supporting the various business processes of RC, we take this opportunity to promulgate an updated version of this Guide for reference by B/Ds.

¹ SARCIS, first launched in March 2017, can be accessed through the Departmental Portal of individual B/Ds. User procedures manual of the system is available in the system.

We welcome comments and feedback from B/Ds to improve our records disposal services and future editions of this Guide. Any enquiries or opinions about records disposal and services of RCs should be addressed to:

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admin_rcinfo@grs.gov.hk (Internet)

Government Records Service Director
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and December 2022)

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1.1 Government Records Service

1.1.1 GRS is the government authority responsible for formulating and implementing policies and plans for effective administration and preservation of records of the Government. **B/Ds must obtain the prior agreement of the GRS Director (GRSD) before they destroy any government records.** This is to safeguard against the premature disposal of records and destruction of records having archival value.

1.2 Objectives of this Guide

1.2.1 This Guide aims to assist B/Ds in establishing an efficient and effective records disposal programme by providing guidance and procedures for:

- (a) Conducting records disposal in a systematic and consistent manner through establishing records retention and disposal schedules;
- (b) Using the services of RCs operated by RMAO to save records storage costs and enhance records management efficiency; and
- (c) Disposing of time-expired records to ensure that obsolete records with no residual value are timely destroyed and those with archival value are identified and properly preserved.

1.3 Definitions

1.3.1 Given below are definitions of some specific terms used in this Guide. Explanation of other archival or records management terminology is provided wherever necessary.

Government Record

- (a) A government record is any recorded information in any physical format or media created or received by a B/D during its course of official business and kept as evidence of policies, decisions, procedures, functions, activities and transactions. Unless otherwise specified, the word “record” mentioned in this publication refers to “government record”.
- (b) **Records generated from official business belong to the Government rather than to individuals.** They should be managed according to officially established policies and procedures.

Active Records

- (c) Active records are those records frequently used for current business and therefore should be maintained in their place of origin or receipt.

Inactive Records

- (d) Inactive records are those records which are no longer required or rarely required for the conduct of business or reference. Inactive records in physical form may be transferred to intermediate storage before disposal. The definition of inactive records may vary according to the nature of business and/or operational consideration of individual offices or organisations.

Archival Records (or Archives)

- (e) Records which are appraised to have archival value for permanent preservation by GRS.

Records Disposal

- (f) Records disposal refers to the actions taken on inactive records which have little or no retention values to B/Ds. It takes the forms of records destruction, records transfer to the Public Records Office (PRO) of GRS for permanent preservation, records migration to different storage media (such as microform or DVD) for prolonged retention and transfer of records outside government control.

Records Retention and Disposal Schedule

- (g) A records retention and disposal schedule is also known as a records disposal schedule or a disposal schedule. It is a systematic listing or description of an organisation's records which indicates the arrangements to be made for their custody, retention and final disposition. Records disposal schedules of B/Ds should be drawn up with the approval of GRS. The approved records disposal schedules will be recorded in the form of a *Records Retention and Disposal Authority* (DA).

Time-expired Records

- (h) Time-expired records mean those inactive records which have been retained for the period specified in the respective disposal schedules.

- (i) An RC is usually located in low-rent areas of a city for the housing and servicing of inactive records whose reference rate does not warrant their retention using expensive office space and equipment. RMAO currently operates two RCs in Tuen Mun which provide centralised intermediate storage services for B/Ds to store their inactive records.

1.4 Application of this Guide

1.4.1 This Guide applies to all government records irrespective of their format or media. Except for Chapter 5 which focuses on the intermediate storage services for inactive paper records provided by RCs, the procedural guidance on drawing up records retention and disposal schedules and performing records disposal in this Guide are applicable to paper records, electronic records and other non-electronic records. Unless otherwise specified, references of a “file” stated in this Guide are equally applicable to a “folder” or a “part” as appropriate in an electronic recordkeeping system.

Chapter 2

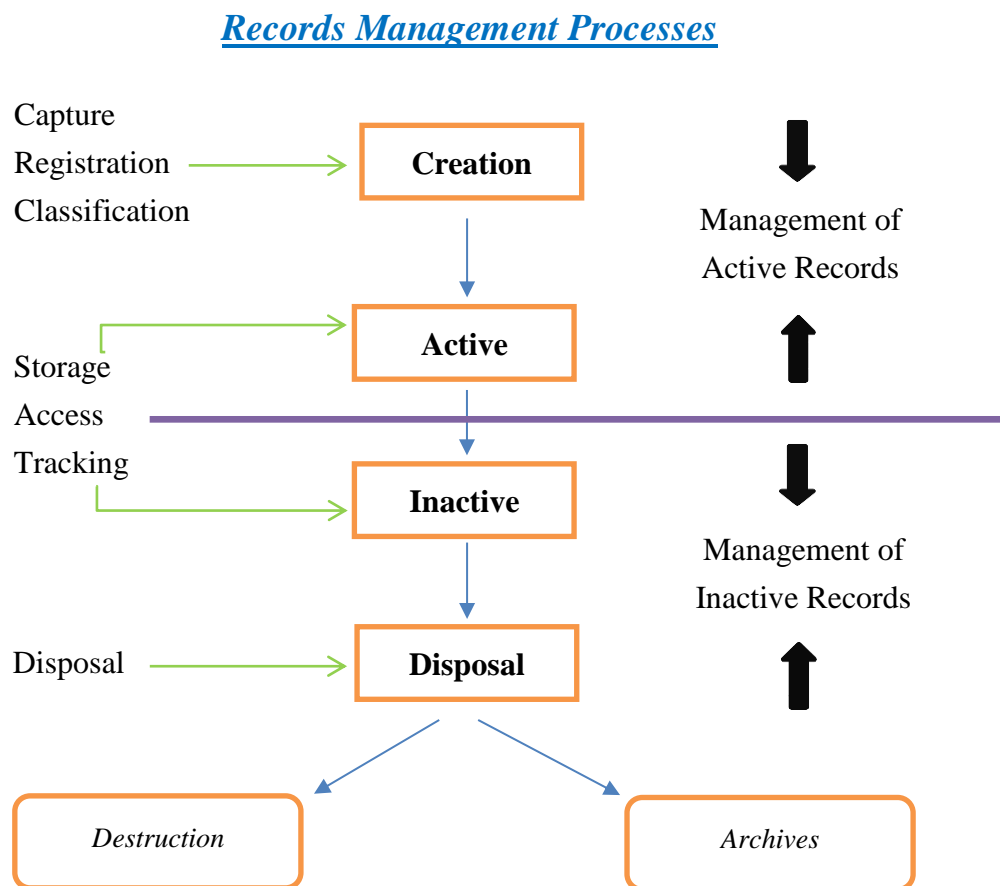
Records Scheduling and Disposal

2.1 Records Life Cycle

2.1.1 Records go through a life cycle from creation, being active, becoming inactive and disposal. When a record passes from an active stage to an inactive stage, the need to keep it at hand diminishes.

2.1.2 Records are created with some purposes in mind. During the active stage, they are frequently used to accomplish the intended task(s). Records will not be constantly required once the related actions are completed and the purposes for which they were created are fulfilled. When records reach the inactive stage, they are usually put aside until there are no further purposes for their retention. The records management processes involved in a record's life cycle is depicted in **Figure 1**.

Figure 1: Records Management Processes in a Record's Life Cycle



2.2 *Importance of Records Disposal*

2.2.1 Government records are expensive and vital resources by which the functions and activities of B/Ds are accomplished. To support business operation, accountability and cultural needs, staff should manage government records using suitable methods, equipment and facilities.

2.2.2 Records accumulate and grow in the course of business. If records are not properly and systematically disposed of, active and inactive records will mix together making daily records filing and retrieval difficult and time-consuming. Sometimes, the problem may aggravate and affect overall operational efficiency. It also poses great concern to storage and relevant costs as records continue to build up, and may even lead to loss of records. In some circumstances, records should be retained and disposed of in compliance with the relevant laws, government policies, regulations or codes. It could be a serious maladministration or even a breach of the relevant laws if a record that should have been kept was destroyed, or a record that should have been destroyed is kept in error.

2.2.3 Records disposal refers to the process by which time-expired records are destroyed, transferred or permanently retained. It is considered one of the most effective ways to achieve economy in records management. By establishing and implementing a records disposal programme, records storage requirements can be kept to a minimum through removing obsolete records from the records system regularly and consistently, and preserving only those with retention value.

2.2.4 Records disposal should be planned and implemented properly to achieve the following:

- (a) Records in all formats and media are kept for the right length of time to meet the purposes for which they were created (i.e. operational, policy, legal and/or financial purposes);
- (b) Unnecessary records accumulated are reduced, and broader and more effective use of existing information is promoted;
- (c) Records with archival value are identified and preserved through transfer to PRO; and
- (d) Timely access to government records is facilitated.

2.3 *Records Disposal*

2.3.1 Records disposal is an integral part of records management. Regular disposal of records helps meet the legal and regulatory requirements, allows timely transfer and preservation of archival records to PRO, facilitates easy retrieval of records in active use, and minimises costs for maintaining and storing inactive records.

2.3.2 Records disposal, however, does not only mean destruction. It refers to the variety of ways and means by which records can be disposed of:

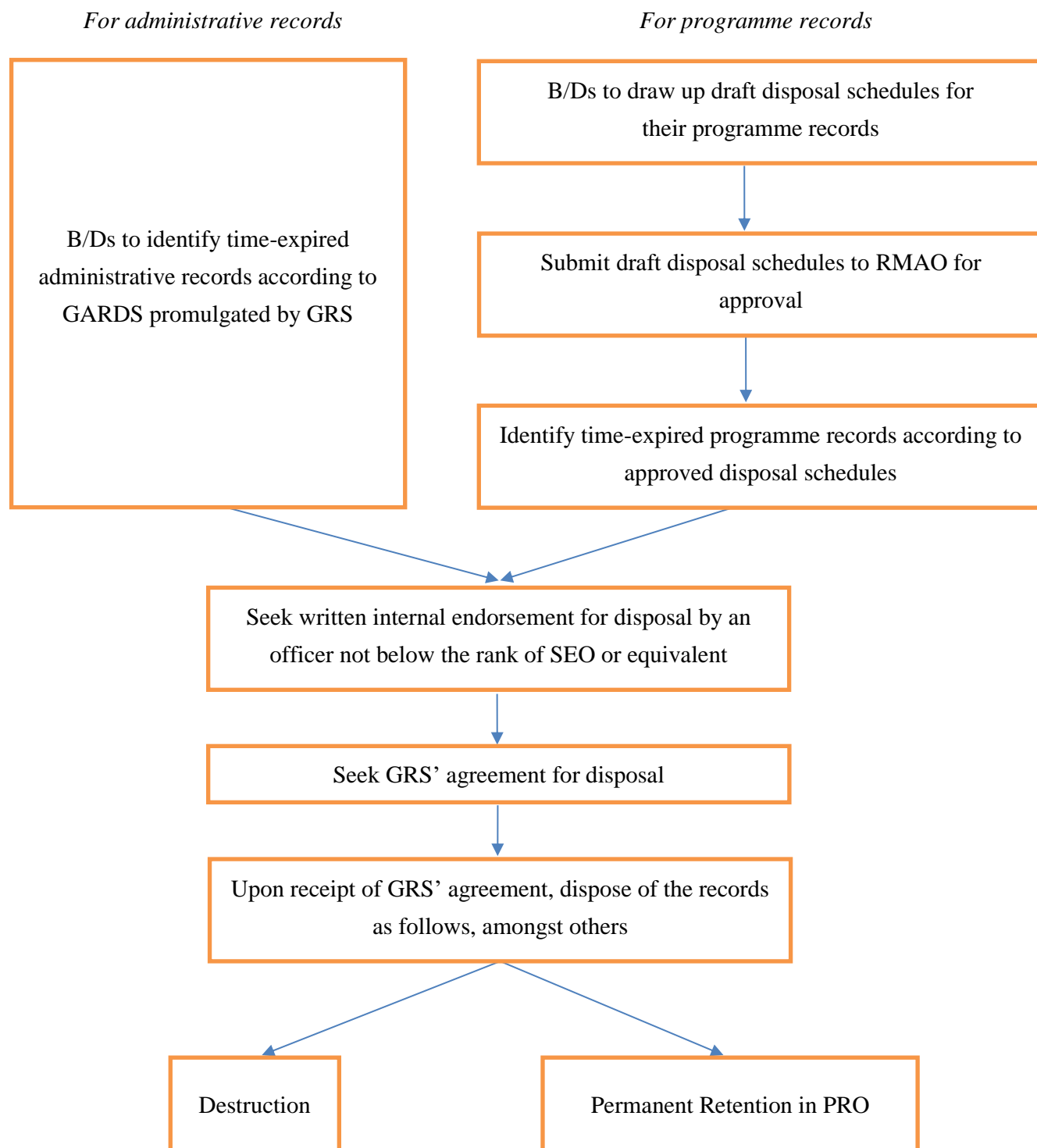
- (a) Destroy the records of no residual value;
- (b) Transfer the records, in whole or in part, to PRO for permanent retention if they are appraised to have archival value;
- (c) Migrate the content of records to a different storage medium such as microform or electronic form for prolonged retention; or
- (d) Transfer the custody/ownership of records to a party outside the Government.

2.3.3 It is the responsibility of each B/D to implement and review appropriate policies and practices for records disposal in compliance with the requirements promulgated by GRS. **In particular, B/Ds must obtain the prior agreement of GRSD before they destroy any government records.** This is to safeguard against the premature disposal of records and destruction of records having archival value.

2.3.4 Given the benefits of implementing proper disposal of records as stipulated in paragraph 2.4.1 of this Guide, B/Ds should arrange prompt disposal of time-expired records, i.e. inactive records which have been retained for the period specified in Records Management Publication No. 4 - *General Administrative Records Disposal Schedules* (GARDS) for administrative records or the approved disposal schedules for programme records. As a mandatory requirement, B/Ds should dispose of time-expired records at least once every two years for all their administrative records, which are covered by GARDS, and for all their programme records with approved disposal schedules. In the interests of proper internal control, disposal of records, including destruction of records, should be considered and endorsed in writing by a senior officer not below the rank of Senior Executive Officer or equivalent² in the B/D. The records disposal process of administrative records and programme records is summarised in the flow chart in **Figure 2**.

² An officer not below the rank of Senior Executive Officer or equivalent should be an officer the maximum pay point of whose rank is not lower than Master Pay Scale (MPS) Point 44 or equivalent.

Figure 2: Major Steps to Dispose of Records



Legend

GARDS = General Administrative Records Disposal Schedules

GRS = Government Records Service

PRO = Public Records Office

RMAO = Records Management and Administration Office

2.3.5 Furthermore, timely transfer of time-expired records having archival value to PRO is very important. Deferrals of transfer of such time-expired records to PRO are highly undesirable and will be heavily criticised as delaying tactics in preventing public access to those aged documents. As such, deferrals should be avoided unless they are absolutely necessary, e.g. due to on-going legal proceedings. B/Ds should refrain from seeking deferrals for more than two years and, where it is absolutely necessary to consider such deferrals due to operational need, obtain the written agreement of a directorate officer in the B/D concerned at the level of deputy secretary/deputy head of department and consult GRS in advance.

2.3.6 In addition to those records carrying potential archival value as specified in GARDS or approved disposal schedules, records that were created 30 years ago or earlier (i.e. the period between the earliest year in which the records of a file were created and the current year) may also possess archival value. In particular, records created before 1950 often have archival value because many earlier records were destroyed during the war. Further, they may also have intrinsic value beyond the information contained thereof. If B/Ds have pre-1950 records in their custody, they should exercise due care in managing and protecting these records, and contact GRS immediately for appraisal by PRO and for permanent preservation where appropriate.

2.4 *Benefits of Records Disposal*

2.4.1 By implementing proper records disposal, B/Ds can achieve the following benefits:

- (a) Records will be retained and disposed of in compliance with relevant laws, government policies, regulations or codes;
- (b) Only a suitable quantity of records will be maintained with those obsolete records eliminated systematically and consistently on a regular basis;
- (c) Records with genuine retention value will be maintained, thus making filing and retrieval of the required information easier and faster;
- (d) Records with archival values will be properly identified and preserved;
- (e) Operating costs in terms of records handling and storage will be reduced;
- (f) Office environment will be improved and productivity enhanced; and
- (g) Overall operational efficiency will be improved.

2.5 *Records Retention and Disposal Schedule*

2.5.1 A records retention and disposal schedule is approved in the form of *Records Retention and Disposal Authority*, also known simply as Disposal Authority (or DA³), which is a document⁴ specifying the retention requirements and disposal instructions for a group/series of records after their active use. It is an effective management tool to identify what records must be maintained and what records must be retired as well as their minimum period of retention.

2.5.2 The advantage of drawing up a records retention and disposal schedule is that it ensures systematic planning and orderly implementation of records disposal after the appropriate retention period without the need to reassess their record value as long as the recordkeeping system remains stable and the schedule covers adequately the records in question.

2.5.3 A records retention and disposal schedule should contain at least the following information:

- (a) Description (including nature, subject matter and title) of the records series;
- (b) Criteria for defining when the records will become inactive;
- (c) Records retention period in B/D and disposal arrangement after the specified retention period (e.g. destruction or transfer to PRO for permanent retention); and/or
- (d) Records retention period in RC and disposal arrangement on expiry of the retention period.

2.5.4 To ensure that records are properly maintained and disposed of after their active stage, B/Ds should, in consultation with GRS, develop records retention and disposal schedules covering all their programme records and stipulating the length of time that records should be retained and the ways of disposal (e.g. destruction; microfilming and then destruction; permanent retention, etc.) having regard to the administrative, operational, fiscal and legal requirements and archival values of the records. The draft records retention and disposal schedules should be endorsed by an officer not below the rank of Senior Executive Officer or equivalent. GRS will consider the draft records retention and disposal schedules and discuss with the B/D concerned regarding the proposed grouping of record series and disposal classes, retention period and disposal action with a view to finalising the schedules. Finalised records retention and disposal schedules should be confirmed by an officer not below the rank of Senior Executive Officer or equivalent in the B/D concerned. For any new series of programme records created, B/Ds should submit draft records

³ Disposal Authority is formerly known as RMO2 before the implementation of SARCIS.

⁴ Records retention and disposal schedules processed through SARCIS are electronic born and will be kept in the system for access and download by authorised users.

retention and disposal schedules to RMAO within a period of two years.

2.6 Two Broad Categories of Records

2.6.1 Records held in B/Ds can be broadly grouped into two main types:

(a) Administrative Records

These are records created or received during the course of day-to-day administrative activities that deal with finance, accommodation, procurement and supplies, establishment, human resources and other general administrative matters. Records of this nature are common to B/Ds.

(b) Programme Records

These are records created or received by a B/D whilst carrying out the primary functions, activities or mission for which the B/D was established. Records of this nature are unique to each B/D.

2.6.2 While B/Ds are responsible for compiling their own classification schemes for their programme records, they should adopt the standard classification scheme for all their administrative records as promulgated in Records Management Publication No. 3 - *Subject Filing*.

2.7 Two Types of Disposal Schedules

2.7.1 According to the type of records, disposal schedules are correspondingly classified into **Administrative Records Disposal Schedules** and **Programme Records Disposal Schedules**. Details of these two types of records disposal schedules are given in Chapter 3 and Chapter 4 of this Guide respectively.

2.8 Roles of RMAO and B/Ds in Records Scheduling

2.8.1 RMAO is responsible for coordinating, approving and registering departmental records retention and disposal schedules, and providing advice and assistance during the entire process from inventory taking, records appraisal to the registration of the approved records retention and disposal schedules.

2.8.2 B/Ds are responsible for drawing up their records retention and disposal schedules for their programme records with the approval from GRS and registering the approved schedules with RMAO. After the disposal schedules are registered, it is the responsibility of B/Ds to retain and dispose of their records in the manner and arrangements as specified in the schedules.

2.8.3 The approved schedules may be amended to cater for changing operational and administrative needs. B/Ds are required to forward their proposed amendments to RMAO as

detailed in paragraph 4.8.1 of this Guide.

2.8.4 Each B/D is required to appoint a Departmental Records Manager (DRM) to coordinate and administer its records management programme in accordance with established policies and guidelines.

2.8.5 DRM should ensure that records in his/her B/D are inventoried and covered by records retention and disposal schedules approved by GRS. Further, he/she should monitor regular and systematic records disposal according to the provisions of the schedules, and coordinate the updating of the schedules with RMAO whenever necessary or at least once every five years.

2.8.6 Where there has been a decentralisation of records management to the point that even small sections or individuals are responsible for recordkeeping and disposal, DRM needs to implement records policies and procedures for coordinating and monitoring in compliance with the requirements of his/her B/D, as stipulated in the respective departmental records management policy, as a whole.

2.9 *Roles of PRO in Records Scheduling*

2.9.1 PRO is the Government's central archives committed to appraising and acquiring records and materials of enduring value and making them available for public access. Time-expired records submitted by B/Ds will be appraised by PRO where appropriate to determine their archival value.

2.9.2 Records appraised to have archival value are required to be transferred to PRO for permanent retention in accordance with the approved records retention and disposal schedules. B/Ds should cooperate with GRS in identifying and preserving archival records for the interests of the society. Records likely to be selected for permanent retention should possess one of the following qualities:

- (a) Document or reflect the organisation, functions and activities of government agencies;
- (b) Document the formation process, implementation and outcome of significant policies, decisions, legislation and actions of the Government;
- (c) Document the impact of the decisions, policies and programmes of the Government upon the physical environment, community, organisations and individuals;
- (d) Document the interaction between the public and the Government as well as between the physical environment and the Government;
- (e) Document the legal rights and obligations of individuals, groups, organisations and the Government; or

- (f) Contain significant or unique information or aged documents that can enrich the understanding about the history, physical environment, society, culture, economy and people of Hong Kong.

2.10 *Training on Records Management*

2.10.1 To promote quality and cost-effective records management practices amongst all government employees, and provide requisite conceptual frameworks, knowledge and practical skills for DRMs, their assistants and registry supervisors/staff to perform various records management tasks at both management and operational levels, GRS provides training courses on different records management topics for different target groups of government employees. For details of the courses, please refer to the Records Management Training Curriculum accessible at the Central Cyber Government Office (CCGO) (http://grs.host.ccgo.hksarg/service_training.html). Nominations for the courses are invited from time to time. B/Ds should submit nominations to GRS via their DRMs/course coordinators.

2.10.2 If B/Ds have any special records management training needs, DRMs may approach GRS for making arrangements. For further information, please contact Senior Executive Officer (Records Management) 1 at 2195 7789 or Executive Officer (Records Management) 2 at 2195 7798.

Chapter 3

Administrative Records Disposal Schedule

3.1 *Administrative Records*

3.1.1 Administrative records are records of housekeeping nature created or received during the course of day-to-day administrative activities that deal with finance, accommodation, procurement and supplies, establishment, human resources and other general administrative matters. Records of this nature are common to B/Ds.

3.2 *General Administrative Records Disposal Schedules*

3.2.1 Given the generic nature of administrative records, GRS has developed a common set of disposal schedules for these records in Records Management Publication No. 4 - *General Administrative Records Disposal Schedules* (GARDS). The publication provides disposal guidance and instructions on the retention periods and disposal actions for administrative records across B/Ds.

3.2.2 GARDS was compiled with in-depth research into prevailing laws and regulations, government policies and overseas experience as well as extensive consultations with relevant government authorities. To ensure the continued usefulness of GARDS, GRS conducts reviews of the publication at regular intervals. By implementing GARDS, there is no need for B/Ds to compile their own records retention and disposal schedules for administrative records except in the circumstances stated in paragraphs 3.5.1-3.5.2 and 3.6.1 below.

3.3 *Use of GARDS*

3.3.1 The use of GARDS facilitates the disposal of administrative records by B/Ds. B/Ds should refer to Part I of GARDS accessible at CCGO ([http://grs.host.ccgo.hksarg/file/2.4.4_P4\(Oct_2013\).pdf](http://grs.host.ccgo.hksarg/file/2.4.4_P4(Oct_2013).pdf)) for the explanatory notes on using the GARDS.

3.3.2 The classification system used by GARDS is the same as the standard classification scheme for administrative records set out in Records Management Publication No. 3 - *Subject Filing*. To apply GARDS, B/Ds should adopt this classification scheme in classifying their administrative records.

3.4 Application of Retention and Disposal Requirements of GARDS

3.4.1 To achieve a higher accuracy and efficiency in applying the retention and disposal requirements of GARDS, B/Ds are advised to classify and organise administrative records according to the principles set out in paragraphs 3.4.2-3.4.6 below. Procedures to implement retention and disposal requirements of GARDS are set out in paragraphs 3.4.7-3.4.22 below.

Separate Administrative Records from Programme Records

3.4.2 B/Ds should classify and organise administrative records in accordance with the standard classification scheme for administrative records and separate them from programme records which are of different nature and subject to different retention and disposal requirements.

3.4.3 For existing files where administrative and programme records have been mingled together, B/Ds should adopt the principles set out in paragraphs 3.4.5 and 3.4.6 below as appropriate to determine the proper retention periods and disposal actions of the records concerned.

Separate Administrative Records of Different Retention and Disposal Requirements

3.4.4 B/Ds should file administrative records of different retention and disposal requirements into separate files upon records creation to facilitate effective and efficient disposal of time-expired records.

3.4.5 When applying the retention and disposal requirements of GARDS to a file, B/Ds should examine whether administrative records of different retention and disposal requirements have been mingled together or whether administrative records have been mixed with programme records in the same file. If either situation occurs, B/Ds should adopt the following principles to determine the retention periods and disposal actions of the records:

- (a) Retain the file according to the longest retention period of the records contained therein; and
- (b) Where records in the file are subject to different disposal actions, disposal actions “P”⁵ and “SOP”⁶ should always take precedence over “D”⁷ and “SOD”⁸ to protect records with potential archival value from destruction. For example, a file containing records subject to both disposal actions “P” and “D” should be disposed of in accordance with “P” upon the expiry of the specified retention period.

⁵ “P” denotes disposal action “Refer to GRS for appraisal by PRO”.

⁶ “SOP” denotes disposal action “Retain until superseded or obsolete, then refer to GRS for appraisal by PRO”.

⁷ “D” denotes “Destroy”.

⁸ “SOD” denotes disposal action “Retain until superseded or obsolete, then destroy”.

3.4.6 Nevertheless, paragraph 3.4.5 above is not applicable to records that are required to be disposed of in a timely manner as stipulated by legislation or government regulations/directives. For example, the testimonial of a former civil servant should not be retained for a period longer than seven years after the officer has left the service in accordance with CSB Circular No. 13/2002 entitled “Personal Data (Privacy) Ordinance Guidelines for Users of Employment-Related Personal Data in the Civil Service”. B/Ds should arrange timely disposal of those records upon the expiry of the prescribed retention periods according to the procedures set out in paragraphs 3.4.8-3.4.22 below and document the removal of such records from the files properly⁹. In case of doubt, B/Ds should seek advice from GRS.

Procedures to Implement Retention and Disposal Requirements of GARDS

3.4.7 The procedures to implement retention and disposal requirements of GARDS are set out in three stages:

- (a) Stage 1 - Check disposal schedules;
- (b) Stage 2 - Submit disposal requests; and
- (c) Stage 3 - Execute transfer or destruction.

Stage 1 - Check disposal schedules

3.4.8 B/Ds should identify and determine the proper retention and disposal requirements for administrative records according to the procedures set out in paragraphs 3.4.9-3.4.12 below upon the creation of an administrative file. In case B/Ds have not done so in a timely manner, B/Ds should take the said actions prior to arranging disposal of administrative records as set out in Stage 2.

Step 1: Match administrative files to appropriate subject groups

3.4.9 B/Ds should relate the primary subject code/term (e.g. 3-50 PRINTING) of an administrative file to the corresponding subject code/group in GARDS direct as it resembles in structure the standard classification scheme for administrative records set out in Records Management Publication No. 3 - *Subject Filing*.

3.4.10 For exceptional cases where the standard classification scheme for administrative records is not yet adopted, such as the old files used before the issue of the mandatory records management requirements, B/Ds should check the subject of an administrative file against the Index to the Subject List, which is arranged in alphabetical order in Part II of the Appendix 1 to Records Management Publication No. 3 - *Subject Filing*, to identify the proper schedule, subject

⁹ B/Ds may consider relocating those records that should be disposed of in a timely manner into separate files to facilitate disposal of such records.

group and code number governing the retention and disposal requirements of the administrative files.

[Note: For personal case records, see Appendix A to Schedule 5 of GARDS – Retention and Disposal Requirements for Personal Case Records.]

Step 2: Identify and determine the proper retention and disposal requirements for records under subject group(s)

3.4.11 B/Ds should check the records of an administrative file against the information as set out in the records groups under the “Nature/Description” column of each of the relevant subject group(s) of GARDS carefully to determine if the records belong to the appropriate records group (i.e. **Policy**¹⁰, **Routine**¹¹, or **Others** with specific retention and disposal requirements) within a subject group, and then identify and determine the corresponding retention and disposal requirements as shown in the “**Disposal Remarks**” column. In any case, B/Ds should first check whether the records fall within the scope of those item(s) under the records group **Others** before considering the records groups **Policy** or **Routine**.

3.4.12 For a file containing administrative records which belong to more than one subject group or one records group (i.e. containing administrative records under more than one records group of **Policy**, **Routine**, or **Others**), the principles set out in paragraphs 3.4.5 and 3.4.6 above should be followed as appropriate to determine the proper retention and disposal requirements for those records.

Stage 2 - Submit disposal requests

3.4.13 To arrange disposal of time-expired administrative records, B/Ds should bring up inactive administrative files¹², including closed files for review at a regular interval¹³ so as to determine whether they should be disposed of upon the expiry of the prescribed retention periods when there are no outstanding actions according to the procedures in paragraphs 3.4.15-3.4.19 below.

¹⁰ “Policy” records contain information relating to the formulation and changes to policy on any function or activity of the B/D.

¹¹ “Routine” records contain information not relating to policy, such as internal and external communication on transactions or on general or minor matters. In the context of the GARDS, routine records exclude records explicitly mentioned in “Others with specific retention and disposal requirements”.

¹² For inactive records, as a general yardstick, B/Ds should review whether actions on a file are completed if no record has been added to it or no action/reference has been recorded for the past two years; or (for paper files) the average retrieval rate of the records is lower than three references per linear metre per month.

¹³ B/Ds are required, among others, to dispose of time-expired administrative records at least once every two years. B/Ds are advised to conduct a review regularly and as and when required to determine whether actions have been completed on inactive files.

Step 3: Determine whether the administrative records should be disposed of

3.4.15 B/Ds should check whether:

- (a) the retention periods for all records specified in GARDS have been met (particularly for a file containing administrative records of different retention periods) and any governing legislation and relevant government regulations/circulars have been complied with;
- (b) there are any outstanding actions on the records, having regard to the administrative, operational, fiscal and legal requirements, including litigation and potential litigation; or the business dealt with has been superseded or has become obsolete; and

[Note: Subject officers may need to be consulted to confirm whether there are still outstanding actions required on the records.]

- (c) there are records reaching 30 years old¹⁴ contained therein. If yes, such records should be referred to PRO for appraisal (see paragraph 3.4.19 below).

3.4.16 B/Ds should then proceed to seek internal endorsement of records disposal including the referral of records reaching 30 years old to PRO for appraisal, if any, after the conditions set out at paragraph 3.4.15(a)-(b) above have been met. If not, B/Ds may bring up the files for consideration of disposal upon the relevant conditions are met or in the next records disposal review exercise.

¹⁴ B/Ds should refer administrative records reaching 30 years old (i.e. the period between the earliest year in which the records of a file were created and the current year is larger than 30 years, e.g. a file is regarded to be 30 years old if any record contained therein was created in 1980 where the request for records disposal is made in 2011) to GRS for appraisal by PRO together with their subsequent parts of the files (which may contain records not yet reaching 30 years old) proposed to be disposed of in the same exercise to facilitate appraisal work. Such requirement is not applicable to those records kept in personal case files and staff report files of officers who have not reached the level of Head of B/D; not held a statutory position; or not appointed by the Chief Executive.

Step 4: Seek internal endorsement to dispose of time-expired administrative records

3.4.17 B/Ds should seek endorsement of disposal of time-expired administrative records, including destruction of records and referral of records to PRO for appraisal, with a list of files to be disposed of and any other information deemed necessary¹⁵ (e.g. the specified retention periods and disposal actions of the records) from an officer not below the rank of Senior Executive Officer or equivalent. For the sake of efficient disposal of time-expired administrative records, B/Ds may arrange to seek endorsement for a number of files at one go.

[Note: See the requirements in paragraph 2.3.5 for seeking approval for deferring the transfer of time-expired files having archival value or potential archival value to PRO for retention or appraisal (i.e. disposal actions indicated as “P” or “SOP” in GARDS and those records reaching 30 years old) by more than two years after the expiry of the specified retention periods.]

Step 5: Seek GRS’ prior approval for disposal of time-expired administrative records

3.4.18 Regarding records for Destruction (i.e. Disposal actions indicated as “D” or “SOD” in GARDS), B/Ds should submit a disposal request through SARCIS which can be accessed through the Departmental Portal of individual B/Ds (sample of disposal request is at [Appendix B](#)) to RMAO for GRS’ agreement to destruction of administrative records under GARDS, which covers the following information:

- (a) **In compliance with items in GARDS:** to specify the code numbers of the relevant subject groups and records group(s)/item(s) of records groups specified in GARDS, e.g. 3-25 (Routine);
- (b) **Subject matter:** to indicate the scope of the subject matter of the records concerned, e.g. Clothing (which is under the purview of the quoted subject group, and records groups as per (a) above);
- (c) **Disposal remarks in GARDS:** to specify the relevant disposal remarks, e.g. 2 years D (i.e. retain for 2 years, then destroy);
- (d) **Classification of Records:** to indicate whether the records concerned are “Classified” or “Unclassified”;
- (e) **Quantity of records:** to fill in the quantity in terms of number of items/files and linear metres (lm) for records managed in a paper-based filing system, e.g. 0.06 lm. For electronic and non-electronic records managed in an electronic recordkeeping system, indicate quantity of physical records in “lm” and quantity of electronic records in “no. of parts (equivalent to no. of file parts of the same series in a paper-

¹⁵ B/Ds may consider specifying a proforma to standardise the information required to seek internal endorsement of disposal of records.

based filing system) and megabytes”, e.g. 12 parts of 2 800MB;

- (f) **Covering period:** to fill in the earliest opened date and the latest closed date amongst the files concerned, e.g. 1 April 2008 - 31 March 2010;
- (g) **Action completion date:** to fill in the latest action completion date amongst the files concerned, e.g. 30 April 2012; and
- (h) **Confirmation that the mandatory conditions** set out in [Appendix B](#) have been met.

There is no need to attach a list of files to be destroyed.

3.4.19 Regarding records for Appraisal by PRO (i.e. Disposal actions indicated as “P” or “SOP” in GARDS, or files with records reaching 30 years old and their subsequent parts to be disposed of in the same exercise), B/D should submit a disposal request through SARCIS (sample of disposal request is at [Appendix C](#)) to PRO for requesting appraisal of administrative records under GARDS (see paragraph 3.7.2), which covers a complete list of files with the following information:

- (a) The record/file title, reference number, and covering dates/years of each file/group of records items; and
- (b) Whether the records/files have reached 30 years old and whether any subsequent parts of files are to be disposed of in the same exercise.

Stage 3 - Execute transfer or destruction

Step 6: Implement disposal of time-expired administrative records

3.4.20 Upon receipt of GRS’ written approval for disposal of time-expired administrative records, B/Ds should implement disposal of those records.

3.4.21 To minimise the risks of inadvertent unauthorised destruction of records during the disposal process, B/Ds should designate an officer not below the rank of Executive Officer II or equivalent¹⁶ to ensure that the disposal process is properly supervised and the records disposal procedures are complied with; and

3.4.22 B/Ds are required to retain the disposal requests (which can be downloaded and printed from SARCIS) and other related processing records, including accurate lists of disposed records in B/Ds and GRS’ agreement, for accountability and record purposes. For the retention and disposal requirements of such documentation, please see Item (2) under “Others with specific

¹⁶ An officer not below the rank of Executive Officer II or equivalent should be an officer the maximum pay point of whose rank is not lower than MPS Point 27 or equivalent.

retention and disposal requirements” in 6-60 Information Management and Records Management in GARDS.

3.5 *Variations to GARDS Requirements*

3.5.1 There may be circumstances where B/Ds encounter difficulties in applying GARDS to situations like:

- (a) Records contain mixed documents of different disposal requirements. For example, there are enclosures documenting both policy and routine matters in the same file;
- (b) Subject matters in records are not covered by GARDS; and
- (c) B/Ds wish to change the records retention period prescribed by GARDS for various reasons such as organisational restructuring.

3.5.2 B/Ds should seek advice and assistance from RMAO if they come across any difficulties in implementing GARDS. For records not covered by GARDS, B/Ds should prepare separate records disposal schedules in the same manner as for programme records. The latter is discussed in Chapter 4 of this Guide.

3.6 *Transfer of Inactive Administrative Records to Records Centres*

3.6.1 If B/Ds choose to transfer inactive administrative records to RCs for intermediate storage, they will need to draw up a records retention and disposal schedule according to the provisions of GARDS and specify how long the records are to be kept in their offices and in RCs.

3.6.2 Procedures for preparing records retention and disposal schedules for transfer purpose are the same as those of programme records as described in Chapter 4 of this Guide.

3.6.3 Records transfer arrangement should be made directly with RMAO and the detailed procedures for transferring inactive records to RCs are discussed in Chapter 5 of this Guide.

3.7 *Transfer of Time-expired Administrative Records with Archival/Potential Archival Value to Public Records Office*

3.7.1 As stated in paragraph 2.9.1, PRO is the central archives responsible for the custody, management and preservation of archival records of the Government. B/Ds should work closely with PRO so that records of archival value are properly identified, transferred and preserved for the collective use of the Government and the community.

3.7.2 B/Ds are required to submit their disposal requests of administrative records regularly. In particular, B/Ds should send a disposal request through SARCIS to PRO for requesting appraisal of administrative records under GARDS (see paragraph 3.4.19). Upon receiving B/Ds’

requests, PRO will appraise the records and may require B/Ds to transfer selected records for physical appraisal. When records are appraised to have archival value, they should be transferred to PRO for permanent retention. The guidelines for transferring records to PRO for appraisal and permanent retention are given at [Appendix D\(i\)-\(ii\)](#). Enquiries concerning archival records should be addressed to:

Senior Assistant Archivist (Public Records) 3

Public Records Office

3/F, Hong Kong Public Records Building

13 Tsui Ping Road, Kwun Tong

Kowloon

Tel: 2195 7735 / 2195 7729

Fax: 2142 5756

Email: RECORDS DISPOSAL PRO/GRS/HKSARG (Lotus Notes) or
records_disposal_pro@grs.gov.hk (internet)

3.7.3 When the records transferring B/Ds need to inspect the archival records already transferred to PRO, they may refer to paragraph 6.3.7 for the necessary procedures.

3.8 *Records Transfer Outside Government Control*

3.8.1 No government records should be transferred outside the Government unless with the prior agreement of the GRSD. If a B/D needs to transfer its records to non-government bodies due to such reasons as corporatisation, privatisation or outsourcing, the transferring B/D should:

- (a) Draw up an agreement of such changes in relation to records, which specify the custody¹⁷, ownership¹⁸ and use of records as well as the types of records that are to remain as government records, and their final disposal arrangement;
- (b) Obtain prior agreement of GRS. A list of records pending transfer should be sent to GRSD for prior agreement so that appropriate arrangements can be made for records having archival value. The list should group the records by disposal schedule and include file title, file reference number, date opened and date closed;
- (c) Make a documented agreement between the transferring B/D and the new

¹⁷ A transfer of records custody means that the day-to-day management responsibility of records will be transferred from the Government to the non-government body without changing the Government's legal ownership of these records.

¹⁸ A transfer of records ownership means that the Government will relinquish all legal, physical and intellectual rights over the records which will no longer be subject to the in-house regulatory or administrative requirements of the Government.

custodian/owner to enable the responsible B/D and GRS to account for their disposal and to enable particular records to be located if required for administrative purposes or public access. Records concerned should be described in sufficient detail as to the origin, physical form, system of control, content, date coverage, location and quantity to enable them to be readily identified. Such documented agreement should be endorsed by GRSD; and

- (d) Ensure that records not required by the new custodian/owner are removed before the new custodian/owners take over the activities, and appropriate disposal action should be taken in conjunction with GRS.

Detailed requirements concerning the transfer of custody and ownership of records to non-government agencies are discussed in Chapter 19 of the Records Management Publication No. 2 - *Managing Active Records: File Management*.

3.8.2 If a DA was previously granted to cover the records concerned, the DA must be amended with the consent of GRS to reflect the changes (see paragraph 4.8.1).

Chapter 4

Programme Records Disposal Schedule

4.1 Programme Records

4.1.1 Programme records are records created or received by a B/D whilst carrying out the primary functions, activities or mission for which the B/D was established. They are characterised by their unique nature with regard to the programme activities of the creating B/D. Some examples are given below:

- (a) Adoption Case Files of the Social Welfare Department;
- (b) Buildings Ordinance Case Files of the Buildings Department;
- (c) Weather Forecast Reports of the Hong Kong Observatory; and
- (d) Trademarks Case Files of the Intellectual Property Department.

4.1.2 B/Ds should draw up Programme Records Disposal Schedules to ensure the systematic and consistent disposal of their programme records.

4.1.3 The preparation of Programme Records Disposal Schedules should start with the appointment of a responsible officer. The appointed officer should have a good understanding of the organisation, function and information flow of the B/D and be able to liaise with the related divisions and sections where the records are generated and used.

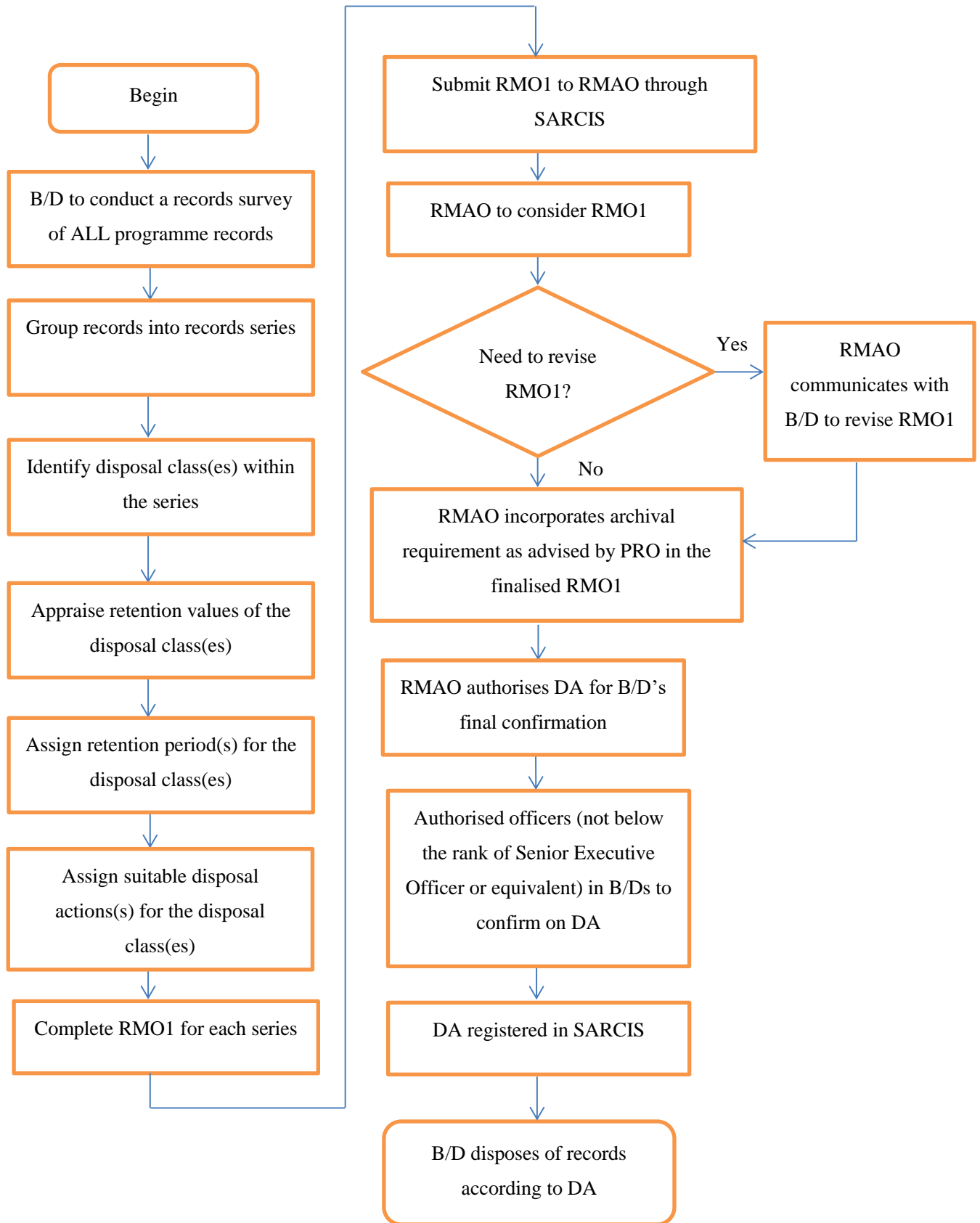
4.1.4 **Figure 3** illustrates the basic steps involved in drawing up Programme Records Disposal Schedules. Details are discussed in the following paragraphs.

4.2 Steps in Drawing up Programme Records Disposal Schedule

4.2.1 There are seven steps involved in the following sequence:

- (a) Conduct a records survey;
- (b) Group records into records series;
- (c) Identify disposal class(es) within the series;
- (d) Appraise retention values of the disposal class(es);
- (e) Assign retention period(s);
- (f) Assign suitable disposal action(s); and
- (g) Complete documentation.

Figure 3: Basic Scheduling Steps



Legend

DA = Records Retention and Disposal Authority

RMAO = Records Management and Administration Office

RMO1 = Records Inventory Form

4.2.2 As the above steps will involve substantial coordination work, DRMs may wish to appoint Assistant Departmental Records Manager(s) (ADRM(s)) and other responsible staff to assist in the task.

Step 1: Conduct a Records Survey

4.2.3 A comprehensive records survey should be conducted to take inventory of all the programme records in a B/D. Besides paper files, B/Ds are reminded to take inventory of all electronic records as well as records in any other physical formats (such as attendance books, microfilms and maps) in the survey. If resources are limited, the scale of the survey may be adjusted to a divisional basis. The records survey is to gather information about:

- (a) What records are maintained (type and nature, subject, format, security grading, stage of life cycle, etc.)?
- (b) How many records are kept (quantity, growth rate, frequency of use)?
- (c) How are they stored (in racks, cabinets, computer servers etc.)?
- (d) Where are they located?

4.2.4 B/Ds are advised to make reference to the *Records Inventory Form* (RMO1) at SARCIS (sample at [Appendix E\(i\)](#)) to conduct the records survey.

Step 2: Group Records into Records Series

4.2.5 A records series is a group of records created, received and maintained for a specific function or activity of the B/Ds. B/Ds may also refer to the following in grouping records series:

- (a) Arranged according to a particular filing system (alphabetical, numerical, alphanumerical, chronological, geographical, etc.); and
- (b) Sharing a particular physical form (files, maps, microforms, photographs, cards, etc.).

4.2.6 Based on the information on the nature, functions and organisation of the records gathered in the survey, records can be grouped to form different records series.

Step 3: Identify Disposal Class(es) in a Records Series

4.2.7 A disposal class is a group of records in a records series with similar subject matter, content and retention value, and hence merits the same disposal treatment.

4.2.8 In some cases, records from the same records series, though sharing similarity in function or activity, may differ in subject matter, nature, physical form, retention values or even archival values. As a result, the series may need to be divided into two or more disposal classes in order

to satisfy the different retention requirements and disposal actions the records warrant.

Step 4: Appraise Retention Values of the Disposal Class(es)

4.2.9 The next step is to assess the retention values of the records in each of the disposal class(es) identified. There are generally four types of values to be considered:

- (a) Administrative value;
- (b) Operational value;
- (c) Legal value; and
- (d) Fiscal value.

4.2.10 Regarding the archival or historical value of records, PRO will examine the records series in the context of evidential, informational and historical domains.

Administrative Value

4.2.11 Records with administrative value are those required for determining the policies and procedures necessary to carry out the functions or activities of a B/D.

4.2.12 These records may include ordinances, policy documents, reports, minutes of councils and committees, budgets, organisation reports and charts, procedure directives, rules and regulations.

Operational Value

4.2.13 The operational or functional value of records is based on the importance of the records in carrying out the business or work of a B/D at a specific moment. Depending on the functions and activities of the B/D, these records may greatly vary, and may exist in the form of correspondence, memoranda, forms, technical data and case files.

4.2.14 In appraising the operational value of records, the following questions are relevant:

- (a) Has the record ceased to contribute to the operational performance of the function or activity that it supports?
- (b) Has the original purpose of the record been fulfilled?
- (c) Is the record being retained only for convenience or because it has always been the practice to keep it?
- (d) Has the transaction(s) within each individual record been completed?

4.2.15 If the answers to these are all “yes”, the records are unlikely to have further operational value.

Legal Value

4.2.16 Records with legal value are those required to define the rights and obligations of the B/D, its staff and stakeholders under relevant laws and/or any statutory requirements. Such records may include agreements, certificates, contracts, deeds, leases, patents, titles and trademarks.

4.2.17 Legal value is normally determined by the following circumstances:

- (a) The specific period of retention as stipulated in related ordinances and regulations;
- (b) Where ordinances and regulations require records to be kept but no specific retention period is stated, legal advice should be sought; and
- (c) Where records relating to pending or imminent litigation, these records must be retained until the matter is resolved or permission is granted by the appropriate legal authority to destroy them.

4.2.18 To help determine whether there is any residual legal value, the following questions could be asked:

- (a) Has the record ceased to execute or protect the rights or obligations of an individual, organisation or the B/D?
- (b) Has the specific legal action been completed?
- (c) Has the legal evidence ceased to serve its original purpose?
- (d) Have the legal and regulatory requirements for maintaining the records been fulfilled?

4.2.19 Again, if the answers to all these questions are “yes”, the record is not likely to retain any legal value.

4.2.20 When determining legal values, B/Ds are reminded to seek legal advice whenever in doubt.

Fiscal Value

4.2.21 Records of fiscal value are those that relate to the financial transactions of an organisation and especially those required for audit purpose. These records may include contracts, guarantees, bonds, documents related to settlement of claims and loans, repayment undertakings, deeds of indemnity, scholarship awards and trustee reports.

4.2.22 In appraising records for residual fiscal value, the following questions may be asked:

- (a) Has the original purpose of the record been served?
- (b) Has the specific financial transaction been completed?
- (c) Has the record ceased to execute or protect the financial rights and obligations of the B/D, its staff and stakeholders?
- (d) Have the legal, audit and regulatory requirements for maintaining the records been fulfilled?

4.2.23 A “yes” answer to all these questions indicates that the record is unlikely to retain any fiscal value.

4.2.24 To determine fiscal values, advice may be sought from the officers in charge of financial matters in B/Ds and where necessary, from the Director of Accounting Services and the Director of Audit.

Determining Retention Requirements

4.2.25 Based on the value of the records as explained above, B/Ds can determine retention requirement in terms of the retention period for each records series after the records become inactive (see paragraphs 4.2.27-4.2.30) as well as the disposal action after the prescribed period (see paragraphs 4.2.33 and 4.2.34).

4.2.26 B/Ds also need to examine the records carefully to see whether records of different retention requirements in the same records series should be separated into different disposal classes.

Step 5: Assign Retention Period(s)

4.2.27 **Retention period** means the time the records are to be kept after the records become inactive but before their final disposal.

4.2.28 In assigning the retention period, B/Ds should demarcate when the records are considered inactive by specifying a clear “**Criterion for Defining Inactive Records**” such as:

- After completion (of a study, programme, project, audit)
- After acceptance/rejection/withdrawal (of an application)
- After sale/transfer (of property)
- After revision/cancellation/obsolescence (of a directive, a form, policy)
- After settlement (of accounts, claims)
- After conversion to microfilm/digitised images
- After termination (of a contract)
- After retirement/resignation/transfer (of an employee)

4.2.29 The nature and value of records are often closely related to the length of their retention. The following are examples to illustrate specific requirements:

- (a) Records related to contracts under seal should be retained for 13 years after settlement of payment;
- (b) Submissions from unsuccessful tenderers (except those under the Agreement on Government Procurement of the World Trade Organization) should be retained for 3 months after execution of contract; and
- (c) Primary accounting documents should be kept for 7 years after audit.

4.2.30 Notwithstanding the records retention requirements specified in prevailing legislation, regulations and codes, it is not advisable to keep inactive records for more than 7 years.

4.2.31 Besides the retention period, the custody venue should also be specified.

4.2.32 **Custody venue** refers to the place where the records are to be kept. For paper records, B/Ds may decide whether they should be stored in their office premises or transferred to RCs for intermediate storage.

Step 6: Assign Suitable Disposal Action(s)

4.2.33 The next thing is to consider suitable disposal action for the disposal class(es) of each identified records series upon the lapse of specified retention period. In determining the disposal action, B/Ds should consider the residual value(s) of the records series. Disposal action usually comprises one or more of the following:

- (a) **Transfer to PRO** (“PP”) - records that are to be transferred to PRO for permanent preservation (see paragraph 2.9.2);
- (b) **Destruction** (“D”) - records that can be destroyed on expiry of the retention period;

- (c) **Permanent Retention in Agency** (“PA”) - records that have permanent legal, fiscal, administrative and/or operational value and must be retained in the B/D concerned permanently. B/Ds should recognise that apart from archival purpose, very few records should be maintained permanently owing to legal, fiscal, administrative and/or operational reasons; and
- (d) **Microfilm** (“M”) - records that are to be microfilmed by the Government Microfilm Centre (GMC) of GRS, in-house resources of B/D or outside service providers, after which the microfilmed source documents will be subject to further disposal as specified in the disposal schedules (such as “D” or “PP”).

4.2.34 There are existing DAs with disposal actions “Review by PRO” (“RP”) and “Review by Agency and PRO” (“RAP”). Current practice requires a second review by PRO for such records when they become time-expired to determine whether they possess sufficient archival value warranting permanent retention. To ensure timely transfer of archival records to PRO as archives and to cater for substantial growth of electronic records with the characteristics of rapid obsolescence, “RP” and “RAP” will normally no longer be a choice of disposal action starting from 2019.

Step 7: Complete the Necessary Documentation

4.2.35 The next and most important step is to consolidate the information gathered and decisions made, and input them in a *Records Inventory Form* (RMO1) (see paragraph 4.2.4). Each RMO1 should cover one records series only. The completed RMO1 should be submitted to RMAO through SARCIS for checking, approval and registration. B/Ds should read through the *Explanatory Notes* at **Appendix E(ii)** before completing RMO1.

4.2.36 In processing RMO1, RMAO will liaise with the responsible officers of B/Ds where necessary to verify the information recorded, seek supplementary information and advise on the appropriate disposal actions. RMAO will also consult PRO in respect of the archival value of the records and incorporate the requirements of PRO into the final records disposal.

4.2.37 To determine the archival value of the records series, PRO may contact the responsible officers of B/Ds for further clarification. B/Ds may be required to provide supplementary information (such as file list) and/or to deliver record samples to PRO for records appraisal. B/Ds may also be approached by PRO to consolidate RMO1s, refine their delineation of disposal classes, and revise and update the information provided on the RMO1s, including but not limited to the subject matters, records series titles, disposal class names and the criterion for defining inactive records, for the purpose of timely identification and preservation of records with archival value.

4.2.38 RMAO will authorise a DA which documents the agreed disposal decisions (sample DA at [Appendix F](#)) and forward it to B/Ds through SARCIS for final confirmation. If the disposal decisions are checked to be in order, B/Ds should confirm on the DA through SARCIS.

4.2.39 As soon as the DA is finalised and registered in SARCIS, B/Ds can take disposal action of their records accordingly.

4.3 Transfer of Inactive Programme Records to Records Centres

4.3.1 If the records are to be transferred to RCs for storage prior to their final disposal, responsible officers of B/Ds should make transfer arrangements with RMAO directly. Detailed transfer procedures are described in Chapter 5 of this Guide.

4.4 Transfer of Time-expired Programme Records with Archival/Potential Archival Value to Public Records Office

4.4.1 If any time-expired programme records are identified to have archival value, B/Ds are required to transfer them to PRO for appraisal or permanent retention. Transfer of archival records should be carried out systematically and regularly according to the disposal schedule. Please see paragraphs 6.3.1 and 6.3.5-6.3.7 for details.

4.5 Destruction of Programme Records with No Archival Value

4.5.1 Detailed procedures in destruction of programme records with no archival value are described in paragraphs 6.3.1, 6.3.3-6.3.4 and 6.3.8-6.3.9.

4.6 Records Transfer Outside Government Control

4.6.1 Steps in documenting the above are discussed in paragraphs 3.8.1 and 3.8.2.

4.7 Review and Update of Records Retention and Disposal Schedule

4.7.1 All records retention and disposal schedules should be reviewed at least once every five years to determine whether amendments are required. The purpose is to ensure the continued usefulness of the approved disposal schedules having regard to current recordkeeping requirements, legislations and regulations, etc. B/Ds can review their schedules more often if considered necessary.

4.7.2 B/Ds should review their records retention and disposal schedules to see if amendments are required, such as under the following circumstances:

- (a) Changes in legislation, regulations or codes that relate to their operation;
- (b) Changes in programme priorities, policies, or procedures;
- (c) Addition, modification and deletion of programmes and responsibilities;

- (d) Internal re-organisation affecting the nature, content and importance of existing records; and
- (e) Adoption and migration of new technology in records, document or information management.

4.7.3 To reduce B/Ds' burden of managing numerous DAs, B/Ds should consolidate the existing DAs during their review if the records covered are created due to the same function or activity. For example, B/Ds are advised to consolidate one set of DAs for all district offices and sub-offices which share the same functions and activities instead of each district office/sub-office having its own set of DAs. In such cases, DRMs and ADRMs should coordinate the review.

4.7.4 To facilitate B/Ds to review their records retention and disposal schedules, GRS has promulgated a "Guideline cum Checklist for Review of Records Retention and Disposal Authority (DA)" accessible at CCGO ([http://grs.host.ccgo.hksarg/file/Guideline_cum_Checklist_for_Review_of_RMO2_\(Ver.2017_04\).doc](http://grs.host.ccgo.hksarg/file/Guideline_cum_Checklist_for_Review_of_RMO2_(Ver.2017_04).doc)) for B/Ds' reference.

4.8 *Amendment to Records Retention and Disposal Authority*

4.8.1 To effect an amendment to the approved records retention and disposal schedules, B/Ds should complete the Checklist mentioned in paragraph 4.7.4 and submit a request to amend the DA through SARCIS to RMAO. RMAO will consult PRO on the proposed amendment if necessary and register the amendment in SARCIS.

Chapter 5

Intermediate Storage of Inactive Records in Records Centres

5.1 Functions of Records Centres

5.1.1 RMAO operates two RCs which offer centralised and cost-effective intermediate storage services for inactive records, saving B/Ds from using expensive office space and equipment in maintaining records. RCs are located in Tuen Mun at two separate sites, namely Tuen Mun Records Centre (in Tuen Mun Government Storage Centre) and YKK Records Centre (in YKK Commercial Building) with a total floor area of 15 300 square metres and a storage capacity of 116 000 linear metres.

5.1.2 RCs perform the following functions/activities:

- (a) Receive and process transfers of inactive records from B/Ds,
- (b) Store, maintain and safeguard the deposited inactive records economically and efficiently;
- (c) Assist in preparing inventory data and indexes for easy retrieval by records transferring B/Ds;
- (d) Provide reference and retrieval services for client B/Ds; and
- (e) Arrange disposal of records according to the approved records retention and disposal schedules.

5.2 Advantages of Using Records Centre Services

5.2.1 By utilising RC services, B/Ds can reap the following benefits:

- (a) Storage and maintenance costs for inactive records are reduced and valuable office space can be released for other purposes;
- (b) Offices are kept more neatly with the removal of rarely used records;
- (c) Unwanted papers are regularly and systematically destroyed; and
- (d) Inactive records are maintained more orderly in RC than they generally are in departmental records storage, which leads to rapid retrieval of information as and when required.

5.3 *Charges of Records Centre Services*

5.3.1 RC services are free of charge for all B/Ds. Charges, however, will be levied on financially autonomous agencies including Trading Funds Departments on a full cost recovery basis. Such charges are revised from time to time with the approval of the Secretary for Financial Services and the Treasury.

5.4 *Records Transferring Procedures*

5.4.1 In normal circumstances, inactive records with a retention period of over a year will be accepted for transfer to RCs subject to the availability of storage space. Special arrangement for records transfer can be made with RMAO if the situation warrants.

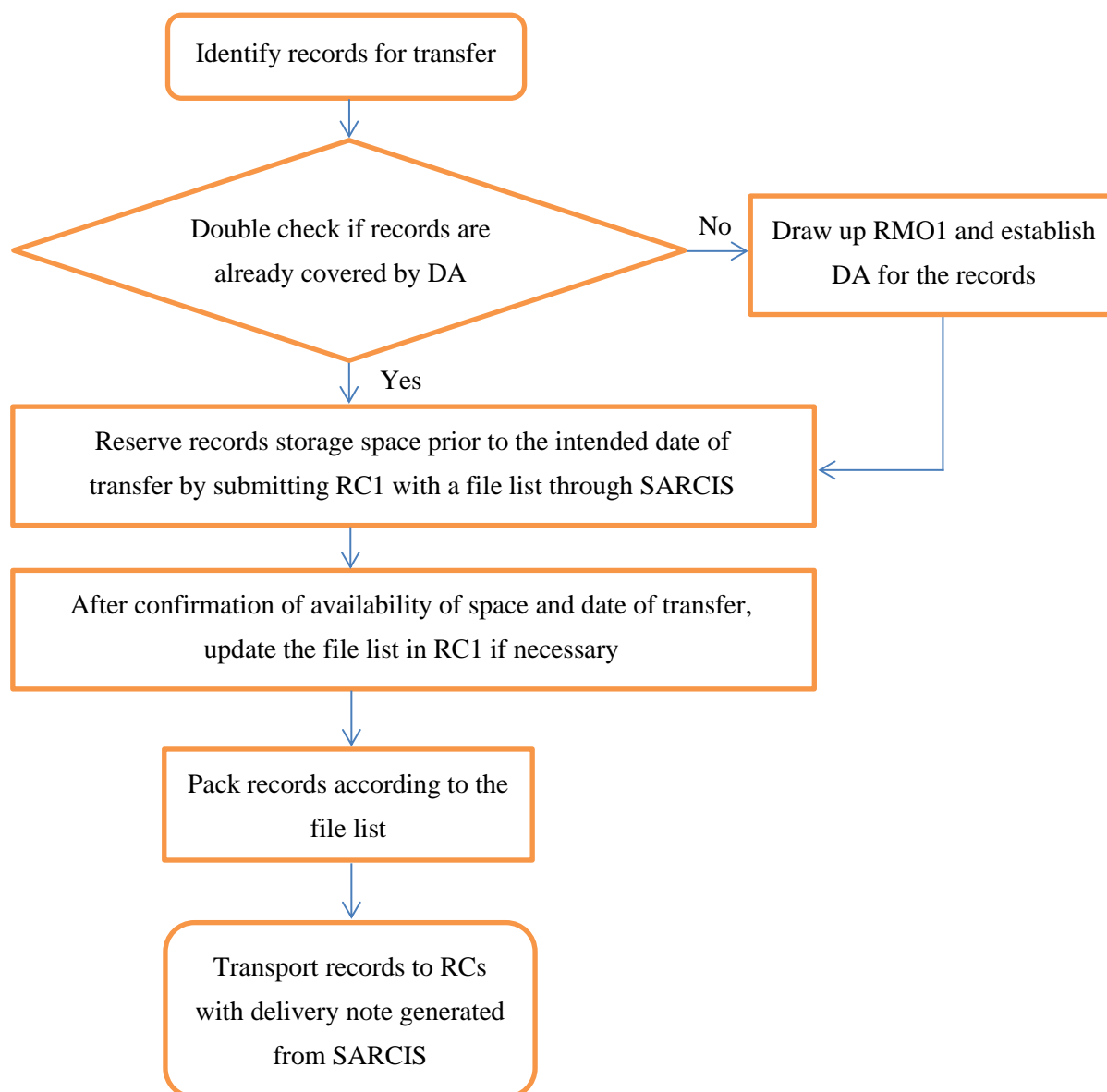
5.4.2 As a prerequisite for transferring inactive records to RCs, B/Ds must draw up records retention and disposal schedules for the records concerned. In the disposal schedules, the proposed period of time that the records are to be stored in RCs should be clearly stated. Transfer requests covering records without any disposal schedules will not be considered.

5.4.3 Preparation of records retention and disposal schedules is discussed in Chapter 4 of this Guide.

5.4.4 To arrange transfer of records to RCs, B/Ds should follow the procedures below (see **Figure 4**):

- (a) Reserve storage space by submitting the *Records Transfer Request Form* (RC1) with a file list to RMAO through SARCIS (sample RC1 at **Appendix G(i)-(ii)**);
- (b) After confirmation of availability of storage space and date of transfer, update the file list in RC1 if necessary (see paragraph 5.4.11);
- (c) Pack records for transfer; and
- (d) Transport records to RCs with delivery note generated from SARCIS which contains the file list (sample delivery note at **Appendix H(i)-(ii)**).

Figure 4: Basic Steps in Transferring Records to Records Centres



Legend

DA = Records Retention and Disposal Authority

RMAO = Records Management and Administration Office

RMO1 = Records Inventory Form

RC1 = Records Transfer Request Form

SARCIS = Storage Allocation and Records Centre Information System

Step 1: Reservation of Storage Space with RMAO and Completion of File List

5.4.5 B/Ds should reserve sufficient records storage space prior to the intended dates of transfer by submitting RC1 with a file list (see paragraph 5.4.4(a)) to RMAO through SARCIS. If the quantity of records to be transferred in one batch is less than 200 linear metres of records (equivalent to 600 RMAO standard carton boxes), advance notice of **three months** is required. For transferring 200 linear metres of records or more at one time, B/Ds should make advance booking with RMAO **at least six months ahead** of the intended date of transfer.

5.4.6 To effect the records transfer, B/Ds are required to provide a file list (template available for downloading in SARCIS) which keeps details of the records for future retrieval and disposal.

5.4.7 Subject to retrieval requirements and availability of resources, B/Ds may choose to list their records by file/item (serial) or by box as a unit in the file list (see paragraph 5.4.11).

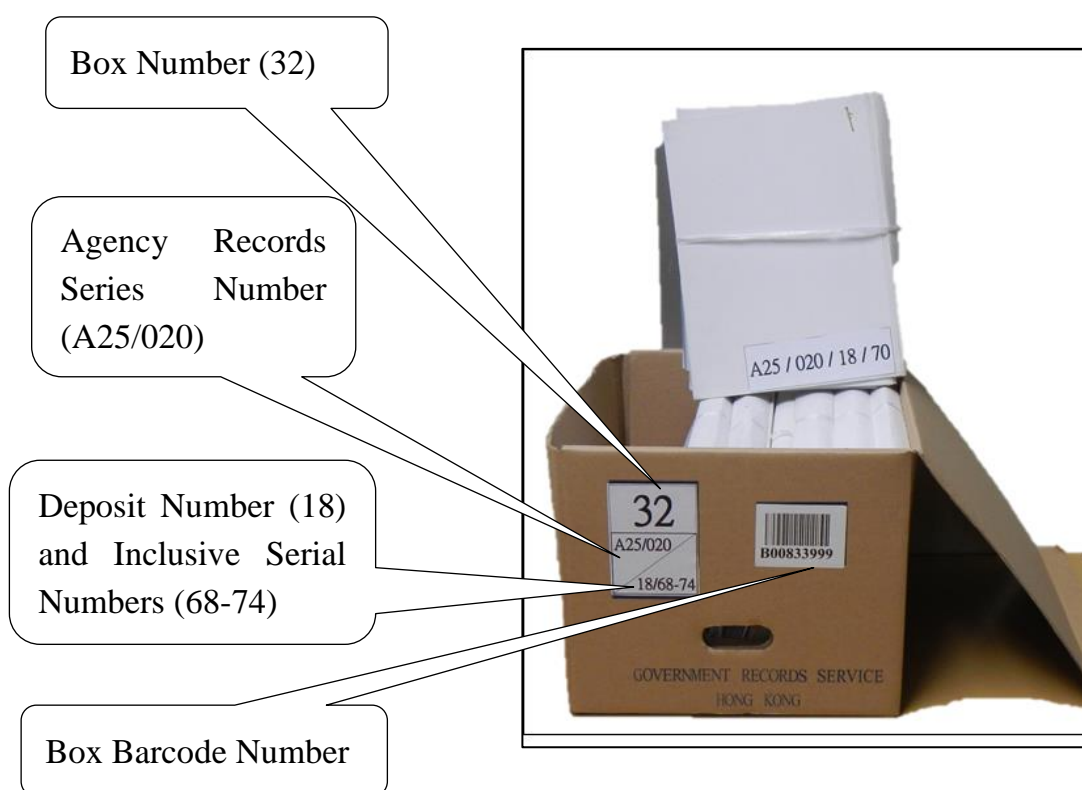
5.4.8 Listing the records by file/item involves more clerical work but will enable prompt retrieval of individual files/items in the future. On the other hand, listing records by box simplifies the preparation but records will be retrieved and delivered to B/Ds on a whole box basis when they are requisitioned for reference. In deciding on the listing method, retrieval rate and the availability of manpower are the major consideration. For records having archival value/potential archival value, the listing of records should be done by file/item.

Records Listed by File/Item

5.4.9 If records are to be listed by file/item, the records transferring B/Ds should:

- (a) Contact the service contractor to purchase RMAO standard carton boxes (see paragraphs 5.4.12-5.4.14 for details);
- (b) Assign a Serial Number (running number) to each file/item according to logical arrangement or order;
- (c) Mark both the Serial Number and the Deposit Number (assigned by RMAO) in the bottom right-hand corner of the back cover of the file/item by pencil; and
- (d) Pack the records in standard carton boxes purchased from the service contractor (which is engaged by RMAO). Each box should bear the Box Number, Agency Records Series Number (i.e. ARS No., which is shown in the *Records Retention and Disposal Authority*), Deposit Number (assigned by RMAO) and the inclusive Serial Numbers. For details of the standard carton boxes, see paragraphs 5.4.13 and 5.4.14 below. An example is also given in **Figure 5**.

Figure 5: How to Mark the Standard Carton Box – Records Listed by File/Item

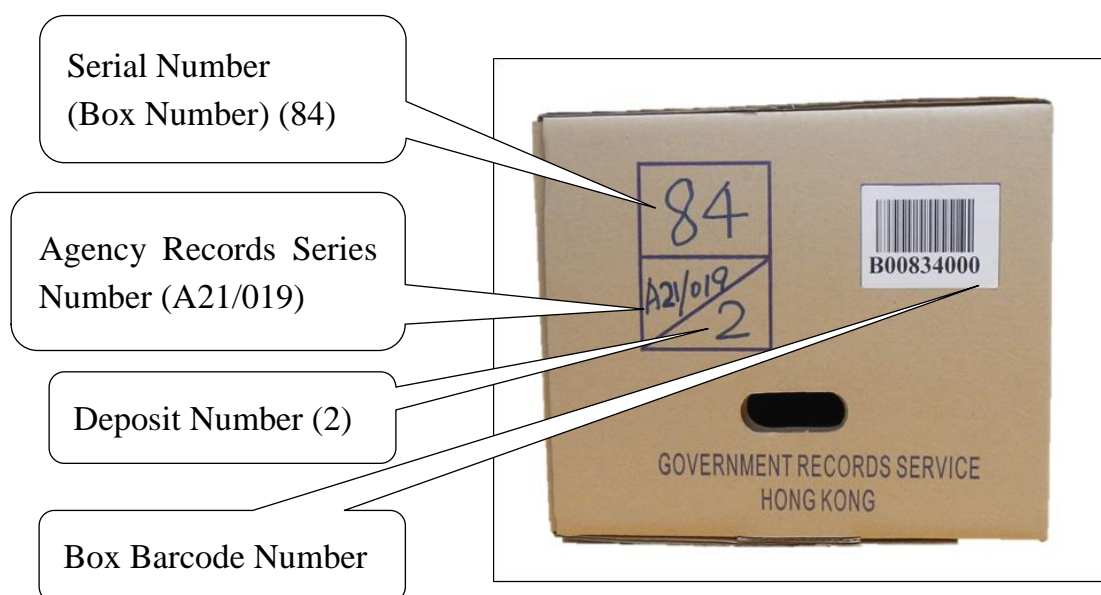


Records Listed by Box

5.4.10 If records are to be listed by box, the records transferring B/Ds should:

- (a) Contact the service contractor to purchase RMAO standard carton boxes (see paragraphs 5.4.12-5.4.14 for details);
- (b) Assign a Box Number (running number) to each box according to the logical order of the records; and
- (c) Mark the Box Number, Agency Records Series Number (i.e. ARS No., which is shown in the *Records Retention and Disposal Authority*) and the Deposit Number (assigned by RMAO) on the blue rectangle on the box. An example is given in **Figure 6**.

Figure 6: How to Mark the Standard Carton Box – Records Listed by Box



Step 2: Updating File List

5.4.11 The file list is to be completed by B/Ds when submitting RC1. Before transfer, B/Ds are required to update the file list in RC1 through SARCIS if necessary. At the time of physical transfer, B/Ds are required to bring along the hardcopy of the delivery note generated from SARCIS which contains the file list to RMAO for checking the quantity of records transferred. Sample delivery notes listed by file/item and by box are at [Appendices H\(i\) and H\(ii\)](#) respectively.

Step 3: Packing Records for Transfer

5.4.12 After the file lists have been updated, B/Ds should arrange the transfer of the records according to the order as listed.

5.4.13 B/Ds are required to pack their records in standard carton boxes for better records protection and easy handling. At present, a service contractor is engaged for provision of standard carton boxes (with dimension of 38cm (L) x 30cm (W) x 25cm (H)) and B/Ds can contact the service contractor to purchase the standard carton boxes for use by referring to the website of GRS (at http://grs.host.ccgo.hksarg/service_storage.html).

5.4.14 There is no fixed number of records to be put in a standard carton box. As a rule of thumb, the boxes should be filled about 80% leaving a free space of 1 to 2 cm for records handling. The maximum weight of each box **should not exceed 10 kg**. B/Ds should note that only records packed in standard carton boxes will be accepted for transfer to RCs for intermediate storage.

Step 4: Transporting Records to RC

5.4.15 B/Ds should transport the records to RCs on the date as confirmed with RMAO.

5.4.16 B/Ds are responsible for the following arrangement and expenses incurred:

- (a) Hire transportation to deliver the records to RCs;
- (b) Provide labour to place the boxes onto racks assigned by RC staff; and
- (c) Deploy at least two staff to supervise the transfer process.

5.4.17 Upon delivery, B/Ds should bring along a hardcopy of the delivery note generated from SARCIS which contains the file list for RMAO to check against the quantity and make sure all boxes have been transferred.

5.5 Records Retrieval

5.5.1 B/Ds may request retrieval of their transferred records from RCs for reference, in which case B/Ds should submit their records retrieval request, using the *Request for Retrieval of Records Kept in Records Centres* (RC3) (sample at [Appendix I](#)) to RMAO through SARCIS. The following details of the records must be provided:

- (a) Box Number;
- (b) Agency Records Series Number;
- (c) Deposit Number; and
- (d) Serial Number.

5.5.2 In case of urgency, B/Ds may contact RC staff by telephone to make retrieval request before sending the RC3 through SARCIS.

5.5.3 To facilitate records retrieval and prevent unauthorised records access, B/Ds should designate responsible staff for the task. Their names and particulars should be provided to RMAO through SARCIS when submitting RC1. Any changes in authorisation should also be updated through SARCIS.

Emergency Retrieval of Records

5.5.4 RMAO also caters for records retrieval during emergency outside office hours. B/Ds should alert RMAO of such possibilities before records transfer and arrange with RMAO to obtain emergency contact telephone numbers of RC staff.

5.6 Collection of Requisitioned Records

5.6.1 Requisitioned records will be collected by the requesting B/Ds upon presentation of a hardcopy of the file list generated from SARCIS which shows details of the records to be retrieved

and contains a unique QR code (sample of the file list at [Appendix J](#)), and record of the identity of the collecting person by RMAO.

5.6.2 Alternatively, B/Ds may inspect the records at the Search Room of RCs (see paragraph 5.9.1) on presentation of a hardcopy of the file list mentioned in paragraph 5.6.1 above and record of the identity of the inspecting person by RMAO. In normal circumstances, the required records will be ready for retrieval within three working days upon receipt of a request.

5.6.3 For any special arrangements of records delivery and pick-up service, B/Ds should contact RMAO in advance.

5.7 *Security Graded Records*

5.7.1 The highest security graded records acceptable for intermediate storage in RCs is “Confidential”. To retrieve security graded records from RCs, B/Ds should follow the procedures set out in the [Security Regulations](#).

5.8 *Access Policy*

5.8.1 Inactive records deposited in RCs remain the property of the records transferring B/Ds. These records will **NOT** be made available to any other parties unless with the written authorisation of the transferring B/Ds.

5.8.2 Access by the public to records kept in RCs should be dealt with by the records transferring B/Ds in the same manner as records kept in their own custody. If a request for access is received, RCs will forward the request to the transferring B/Ds for consideration and follow-up action.

5.9 *Use of Research Facilities*

5.9.1 RCs are equipped with search room facilities where authorised personnel may view the transferred records.

6.1 Arrangement of Records Disposal

6.1.1 To ensure that no government records of permanent value are destroyed, or prematurely or inappropriately disposed of, B/Ds are required to obtain the prior agreement from GRSD before they destroy any government records.

6.1.2 In arranging and performing destruction of classified government records, B/Ds must strictly follow the requirements set out in the relevant *Security Regulations*.

6.2 Disposal of Records Deposited in Records Centres

6.2.1 Disposal of records deposited in RCs is coordinated and arranged by RMAO on behalf of the records transferring B/Ds.

6.2.2 Around one month prior to the expiry of the prescribed retention period, RMAO will send an email notice to the B/D concerned. There are two types of email notices, namely one for records to be destroyed (i.e. having “D” as the disposal action on the DA) and one for records to be reviewed or permanently retained by PRO (i.e. having “RP” or “PP” as the disposal action on the DA). Sample email notices are at [Appendices K and L](#). The two notices list out those records eligible for disposal with the scheduled date of disposal specified. On receiving RMAO’s email notice, the B/D concerned should check with the records users and subject officers, and confirm with RMAO if such records can be disposed of as scheduled through SARCIS within one month.

6.2.3 Upon receipt of the confirmation of the B/D concerned in SARCIS, RMAO will take records disposal action accordingly.

6.2.4 If B/Ds do not respond in three months after their records deposited in RCs are due for disposal, GRS reserves the right to destroy such records.

6.3 Disposal of Records Kept in B/Ds Covered by Disposal Schedule

6.3.1 Regular disposal of records facilitates easy retrieval of records in active use, and minimises costs for maintenance and storing records. B/Ds should dispose of time-expired records at least once every two years for all their administrative records, which are covered by GARDS, and for all their programme records in accordance with approved records retention and disposal schedules (see paragraph 2.3.4).

Disposal of Administrative Records

6.3.2 For administrative records, the detailed disposal procedures are given in Chapter 3 of this Guide.

Disposal of Programme Records

6.3.3 During the disposal exercise, the responsible officers should bring up the list of records and review whether any records have been time-expired according to the DAs. They should then seek agreement from the relevant records users or subject officers. In the interests of proper internal control, disposal of records should be considered and endorsed in writing by a senior officer not below the rank of Senior Executive Officer or equivalent¹⁹ in the B/D.

6.3.4 In submitting the disposal requests of programme records, B/Ds should seek GRS' authorisation through SARCIS, giving the relevant DA Number, the Agency Records Series (ARS) Number, the records quantity (in terms of number of records and linear metres/megabytes) and the covering period of the records to be destroyed, among other information. Furthermore, the responsible officers should confirm that:

- (a) the retention and disposal requirements specified in the records retention and disposal schedule and any governing legislation and relevant government regulations/circulars have been complied with;
- (b) there is no outstanding action on any of the records to be disposed of; and
- (c) the disposal of records has been considered and endorsed by an officer not below the rank of Senior Executive Officer or equivalent (see paragraph 6.3.3).

6.3.5 For programme records to be preserved or appraised by PRO (i.e. programme records with archival/potential archival value), B/Ds are required to submit their disposal requests through SARCIS (sample disposal request at [Appendix M](#)) to PRO according to the disposal actions as stated in the relevant DA agreed by GRS. B/Ds are advised to submit separate requests for records to be permanently retained by PRO (i.e. with disposal action as "PP") and for records to be appraised by PRO (i.e. with disposal action as "RP").

6.3.6 For time-expired records involving disposal actions of "PP", PRO may conduct screening of the files/file lists prior to the actual transfer. After screening, PRO will inform B/Ds of the transfer arrangement. For time-expired records involving appraisal by PRO, PRO will proceed to appraise the records upon receiving such requests from B/Ds through SARCIS. The

¹⁹ In the current context, an officer not below the rank of Senior Executive Officer or equivalent should be an officer the maximum pay point of whose rank is not lower than MPS Point 44 or equivalent.

guidelines for transferring records to PRO for appraisal and permanent retention are given at [Appendix D\(i\)-\(ii\)](#).

6.3.7 Records transferred to PRO become the documentary heritage of the community, and their primary use is for access by members of the public in accordance with the Public Records (Access) Rules 1996. While the records transferring B/D may at times need to refer to the archival records, no special arrangement is necessary if the B/D wishes to inspect archival records already opened for public inspection (e.g. records which have been in existence for 30 years or more) at the Search Room of the Hong Kong Public Records Building. Separately, the records transferring B/Ds may make special arrangement with PRO for requisition of the archival records. “Procedures of Requisitioning of Archival Records from the Public Records Office of the Government Records Service” and “Request Form” are accessible at CCGO (http://grs.host.ccgo.hksarg/service_requisition.html).

6.3.8 For programme records to be destroyed (i.e. programme records with no archival value and disposal action as “D” in the DA), B/Ds are required to submit their disposal requests through SARCIS (sample disposal request at [Appendix N](#)) to RMAO. After obtaining GRS’ agreement, B/Ds should make their own arrangements to destroy the records kept in their offices in accordance with the relevant [Security Regulations](#). B/Ds should adopt suitable methods for the destruction of records which are compatible with the forms and media of the records, and the sensitivity and security classification of their content. For example, for the destruction of classified electronic records, any method that only temporarily erases the classified information from the media or allows alternative means of recovery must not be used. As for paper records, Government waste paper recycling contractors are available to collect and dispose of unwanted papers and records from B/Ds. Details may be obtained from the Government Logistics Department. B/Ds may also consider destroying their records through other proper methods such as shredding.

6.3.9 Similar to administrative records, upon receipt of GRS’ written approval for disposal of time-expired programme records, B/Ds should designate an officer not below the rank of Executive Officer II or equivalent to ensure that the disposal process is properly supervised and the records disposal procedures are complied with; and to retain the documentation of the disposal requests and related processing records, including the disposal requests (which can be downloaded and printed from SARCIS), accurate lists of disposed records in B/Ds and GRS’ approval for accountability and record purpose.

6.4 *Disposal of Records Not Covered by Disposal Schedule*

6.4.1 Under normal circumstances, B/Ds are required to draw up records retention and disposal schedules to cover all their programme records. For new series of programme records created,

B/Ds should submit the draft records retention and disposal schedules to RMAO within a period of two years. As such, B/Ds should pay heed to the stipulated requirements and avoid any ad-hoc disposal of records.

6.4.2 However, if records will no longer be generated under the records series in future and the group of records are ready for immediate disposal (say within two years' time), B/Ds can pass disposal requests to GRS without the need to draw up draft disposal schedules. B/Ds proposing to destroy records not covered by approved disposal schedules should write to RMAO, giving a full records list with details of their nature, quantity (measured in number of items and linear metres/megabytes), reasons for destruction, and the file reference, title, and covering dates of each record.

6.4.3 Upon receipt of the request, RMAO will coordinate with PRO to conduct records appraisal. PRO may request B/Ds to forward selected records item(s) or sample records for examination. PRO may endorse destruction of all or some of the records, or request transfer of those with archival value. The guidelines for transferring records to PRO for appraisal or preservation are given at [Appendix D\(i\)-\(ii\)](#).

6.4.4 Arrangement for destruction of records not covered by approved disposal schedules is the same as that for records covered by disposal schedules kept in B/Ds as discussed in paragraphs 6.3.8 and 6.3.9 above.

List of Abbreviations Used in This Guide
(in alphabetical order)

Abbreviation	Denoting	Paragraph where first appeared
ADRM(s)	Assistant Departmental Records Manager(s)	4.2.2
B/Ds	Bureaux and Departments	Foreword
CCGO	Central Cyber Government Office	2.10.1
DA	Records Retention and Disposal Authority (or Disposal Authority)	1.3.1(g)
DRM	Departmental Records Manager	2.8.4
GARDS	General Administrative Records Disposal Schedules	2.3.4
GRS	Government Records Service	Foreword
GRSD	Government Records Service Director	1.1.1
PRO	Public Records Office	1.3.1(f)
RCs	Records Centres	Foreword
RC1	Records Transfer Request Form	5.4.4(a)
RC3	Request for Retrieval of Records Kept in Records Centres	5.5.1
RMAO	Records Management and Administration Office	Foreword
RMO1	Records Inventory Form	4.2.4
SARCIS	Storage Allocation and Records Centre Information System	Foreword

Sample Disposal Request for Destruction of Administrative Records under GARDS

Request No. DR-0001234

List of Records

Department ABC Department Branch -- Not Specify -- Division -- Not Specify -- Section General Section
 Submission Date 29/05/2018 Our Ref. (33) in ABC GR 6-60/2 Records Type ☒ Administrative Records

Row No.	In Compliance with Items in GARDS	Subject Matter (subject / records group in GARDS)	Disposal Remarks in GARDS	Retention Period Type	Classification of Records	Total No. of Files / Records	Total Quantity	30 Yrs Old Records	Covering Period (Date Opened)	Covering Period (Date Closed)	Action Completion Date
1	1-20 Routine	ASSOCIATIONS AND CLUBS - Routine	Retain for 3 years, then D	CY	Unclassified	2	0.06 LM	<input type="checkbox"/>	01/07/2009	07/03/2011	03/07/2011
2	2-25 Other (2)	ACCOMMODATION - FITTING OUT AND REPAIRS - Fitting out plans	SOD	CY	Unclassified	1	0.04 LM	<input type="checkbox"/>	12/01/2011	31/10/2013	31/10/2013
3	3-25 Other (4) App to Sch 3 (3a)	CLOTHING - Documents relating to a tender or consultants selection exercise not covered by the World Trade Organization Agreement on Government Procurement (WTO GPA) - Documents submitted by unsuccessful tenderers	D 3 months after execution of contract	CY	Classified	12	0.8 LM	<input type="checkbox"/>	25/11/2010	11/11/2013	11/11/2013

	No. of Files/Items	Quantity
Physical	15	0.9 (LM)
Electronic	0	0 (MB)

☒ I confirm that

(a) the retention and disposal requirements specified in GARDS or the relevant disposal schedule(s), and any governing legislation and relevant government regulations/circulars have been complied with; and (msg id: DR-036)
 (b) there is no outstanding action on any of the records listed above. (msg id: DR-037)

Supplementary remarks (if any)

Particulars of Agency

Endorsement Officer of Agency (An officer not below the rank of Senior Executive Officer or equivalent)

Department ABC Department Branch XYZ Branch Division Administration Division Section -- Not Specify --

☐ The endorsement officer is acting up at the rank of Senior Executive Officer or above (or equivalent). The acting rank is stated in the "Rank Remark" below.

Name John CHAN Post SEO(Adm) Rank SEO Telephone No. 2778 8899 E-mail Address John CHAN/ABC/HKSARG
 Internal Endorsement Date 29/05/2018 Rank Remark

Contact Officer

Name Queenie YIU Post EO(G) Rank EOII Telephone No. 2778 9999 E-mail Address Queenie YIU/ABC/HKSARG

☒ I confirm that

The disposal of records listed in this request has been considered and endorsed by an officer not below the rank of Senior Executive Officer or equivalent according to paragraph 17 of General Circular No. 2/2009. (msg id: DR-057)

Sample Disposal Request for Appraisal of Administrative Records by Public Records Office under GARDS

Request No. DR-0001235

List of Records

 Department ABC Department Branch -- Not Specify -- Division -- Not Specify -- Section General Section

 Submission Date 29/05/2018 Our Ref. (37) in ABC GR 6-60/2 Records Type ☒ Administrative Records

Row No.	In Compliance with Items in GARDS	Subject Matter (subject / records group in GARDS)	Disposal Remarks in GARDS	Retention Period Type	Classification of Records	Total No. of Files / Records	Total Quantity	30 Yrs Old Records	Covering Period (Date Opened)	Covering Period (Date Closed)	Action Completion Date
1	5-35 Policy	HEALTH AND SAFETY - Policy	Retain for 5 years, then P	CY	Unclassified	1	0.05 LM	<input type="checkbox"/>	01/04/2006	29/12/2008	29/12/2008
2	4-60 Routine	FEES AND CHARGES - Routine	Retain for 4 years, then D	CY	Unclassified	2	0.1 LM	<input checked="" type="checkbox"/>	11/01/1973	28/12/2009	28/12/2009

	No. of Files/Items	Quantity
Physical	3	0.15 (LM)
Electronic	0	0 (MB)

☒ I confirm that

(a) the retention and disposal requirements specified in GARDS or the relevant disposal schedule(s), and any governing legislation and relevant government regulations/circulars have been complied with; and (msg id: DR-036)

(b) there is no outstanding action on any of the records listed above. (msg id: DR-037)

Supplementary remarks (if any)

List(s) of Files for Appraisal by PRO of GRS

(1) HEALTH AND SAFETY - Policy (5-35 Policy)

Row No.	Reference No.	Record or File Title	Covering Period (Date Opened)	Covering Period (Date Closed)	30 Years' Old Records
1	KE 176/3 Pt.3	Occupational Health - Policy	01/04/2006	29/12/2008	<input type="checkbox"/>

(2) FEES AND CHARGES - Routine (4-60 Routine)

Row No.	Reference No.	Record or File Title	Covering Period (Date Opened)	Covering Period (Date Closed)	30 Years' Old Records
1	KT 65/3 I	Licences - Charges	11/01/1973	15/01/1987	<input checked="" type="checkbox"/>
2	KT 65/3 II	Licences - Charges	16/01/1987	28/12/2009	<input checked="" type="checkbox"/>

Particulars of Agency

Endorsement Officer of Agency (An officer not below the rank of Senior Executive Officer or equivalent)

Department ABC Department Branch XYZ Branch Division Administration Division Section -- Not Specify --

☐ The endorsement officer is acting up at the rank of Senior Executive Officer or above (or equivalent). The acting rank is stated in the "Rank Remark" below.

Name John CHAN Post SEO(Adm) Rank SEO Telephone No. 2778 8899 E-mail Address John CHAN/ABC/HKSARG

Internal Endorsement Date 29/05/2018 Rank Remark

Contact Officer

Name Queenie YIU Post EO(G) Rank EOII Telephone No. 2778 9999 E-mail Address Queenie YIU/ABC/HKSARG

☒ I confirm that

The disposal of records listed in this request has been considered and endorsed by an officer not below the rank of Senior Executive Officer or equivalent according to paragraph 17 of General Circular No. 2/2009. (msg id: DR-057)

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.cgo.hksarg/file/Ordering_Procedures\(2017\).pdf](http://grs.host.cgo.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

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 in Part D.
- (5) Required attributes (data elements) of a record item MUST be typed in the follow order:

Column	Column Heading	Explanation
Column A	Records Series Number	This number is to be provided by PRO. Agency could leave it blank.
Column B	Deposit Number	This number is to be provided by PRO. Agency could leave it blank.
Column C	Packing Unit Number	<p>“Packing Unit” refers to the box or a unit of enclosed records.</p> <p>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.</p>
Column D	Serial Number	It is a consecutive number commencing with 1.
Column E	Original Reference Number	The reference number allotted by the agency for each individual record.

Appendix D(ii)

Column	Column Heading	Explanation
Column F	Description	The title assigned by the agency for each individual record.
Column G	Covering Period (Date Opened)	The creation date of each individual record. Year range should be in YYYY format. For complete entry of date opened, attribute should be in DD.MM.YYYY format. For example, for a record which was created on 9 Jul 1978, its date opened should be input as 09.07.1978.
Column H	Covering Period (Date Closed)	The closing date of each individual record. Year range should be in YYYY format. For complete entry of date closed, attribute should be in DD.MM.YYYY format. For example, for a record which was closed on 12 Feb 1998, its date closed should be input as 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:

	A	B	C	D	E	F	G	H
	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

23/04/2014 15:26:34

RF025

Page: 1

PUBLIC RECORDS OFFICE
Records 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 **

Sample Records Inventory Form (RMO1)

Records Inventory Form (RMO1)

Request No. DS-0001431

Particulars of Records

Please input the following information (msg id: DS-020):

Department ABC (A123) Branch -- Not Specify -- Division -- Not Specify -- Section General SectionSubmission Date: 13/12/2018Records Series Title (RST): Subject files relating to XY Licence Date range : From 1998 To: ☒ +(Not Specified)Related legislations : Licence Ordinance (Cap. 1234)Physical forms : Paper filesMeasurement of records other than A4 size : NilArrangement of records series : ABC GR/21 series "ABC"=Departmental Prefix "GR"=Unit Prefix "21"=Primary subject code (e.g. ABC GR/21/0, ABC GR/21/1)Annual growth of records (%) : 5 Frequency of use per month (%) : 5Quantity of active records : 1 LM Non-electronic 0 GB ElectronicQuantity of inactive records : 2 LM Non-electronic 0 GB ElectronicStorage equipment : Filing cabinets and racks Location of records : 41/F and 42/F, PGODetails of existing disposal authority (if applicable) : N/A Location of duplicated records (if any) : N/A

Records are created and maintained for the following purposes: (msg id: DS-033):

(Tick wherever appropriate)

Purposes	Types of records			
	Programme		Administrative	
	Policy	Routine	Policy	Routine
Legal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fiscal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Operational	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Supplementary Remarks (if any)

Recommended Disposal Action

Records Series Title	Subject Matter	Criteria for Defining Inactive Records	Retention Period Type	Retention Period of Inactive Records		Microfilm	Disposal Action
				Agency	Records Centre		
<u>Subject files relating to XY Licence</u>		<u>See individual sub-group</u>	<u>CY</u>	<u>MTH</u>	<u>MTH</u>	<input type="checkbox"/>	<u>-- Please select --</u>

#	Disposal Class(es)	Subject Matter	Criteria for Defining Inactive Records	Retention Period Type	Retention Period of Inactive Records		Microfilm	Disposal Action
					Agency	Records Centre		
A	Agency Proposed:	<u>Public consultation</u>	<u>Correspondence on public consultation</u>	<u>After action completed</u>	<u>CY</u>	<u>5 YRS</u>	<u>2 YRS</u>	<input type="checkbox"/> <u>D</u>
B	Agency Proposed:	<u>Policy files</u>	<u>Policy files and related correspondence</u>	<u>After policy superseded</u>	<u>CY</u>	<u>25 YRS</u>	<u>0 MTH</u>	<input type="checkbox"/> <u>PP</u>
C	Agency Proposed:	<u>Routine files</u>	<u>Correspondence on routine matters</u>	<u>After file closed</u>	<u>CY</u>	<u>3 YRS</u>	<u>2 YRS</u>	<input type="checkbox"/> <u>D</u>

Class Remark (if any)

Particulars of Agency

Endorsement Officer

Department ABC (A123) Branch XYZ Branch Division Administration Division Section -- Not Specify --

☐ The endorsement officer is acting up at the rank of Senior Executive Officer or above (or equivalent), and the acting rank is stated in the "Rank Remark" below

Name John CHAN Post SEO(Adm) Rank SEO Tel. No. 2778 8899 E-mail John CHAN/ABC/HKSARG

Internal Endorsement Date 13/12/2018 Rank Remark

Contact Officer

Name Queenie YIU Post EO(G) Rank EOII Tel. No. 2778 9999 E-mail Queenie YIU/ABC/HKSARG

Comment to Agency

Date & Time	Officer	Post	Comment
No records to display			

Explanatory Notes to Records Inventory Form

Please read these notes before completing the Records Inventory Form (RMO1). The items are arranged in the same order as they appear in the form. This form is applicable to all records irrespective of formats (e.g. paper records and electronic records).

(A) PARTICULARS OF RECORDS

1. Records Series Title

It is important to select an appropriate Records Series Title because it defines the scope of the whole series and distinguishes one series from another.

There are several things to note in assigning a Records Series Title. To start with, the **record type** should be ascertained, e.g.

- Reports on ...
- Applications for ...
- Files relating to ...

After the record type has been identified, the following should be considered:

- **administrative origin** of the series - e.g. Technical Circulars from Works Bureau;
- **function** of the series - e.g. Reports on Applications for Comprehensive Social Security Assistance;
- **subject matter** of the series - e.g. Files relating to Slope Structures and Maintenance; and
- **frequency** of the series - e.g. Monthly Returns of Public Opinion Surveys on Current Affairs.

The following are some tips for giving a Records Series Title:

- (a) if a series consists of many record types, use general terms to describe its types, such as “records”, “papers”, “documents” or “manuscripts”;
- (b) if a series consists of a specific record type, such as letters, reports, photos, statistical forms, make it the title; and
- (c) whenever possible, further identify the record type in a series by reference to the administrative origins, function, subject matter and frequency mentioned above.

Below are some examples of Records Series Titles:

- Correspondence relating to Fire Services Installation In Industrial Buildings;
- Policy Files relating to Matters under the Buildings Ordinance;
- Registers of Licensed Plumbers; and
- Minutes of Meetings of Working Group on Public Works Projects Progress.

2. *Date Range*

Write down the years in which the earliest and latest records are found in the series.
For example:

- “1946-69” indicates records in the series were opened in 1946 and closed in 1969.
- “1959+” indicates that there have been new records created from time to time since the series was established in 1959.

3. *Purposes/Types of Records*

Tick the appropriate box(es).

- (a) **Administrative Records** are records created or received during the course of day-to-day administrative activities that deal with finance, accommodation, procurement and supplies, establishment, human resources and other general administrative matters. The retention period and disposal action of administrative records are governed by the standard disposal schedules set out in Records Management Publication No. 4 “General Administrative Records Disposal Schedules”. Completion of RMO1 is required only if bureaux and departments (B/Ds) wish to store these records in Records Centre of the Government Records Service (GRS). Completion of RMO1 is not required if B/Ds do not plan to store such records in Records Centre of GRS.
- (b) **Programme Records** are records created or received by a B/D whilst carrying out the primary functions, activities or mission for which the B/D was established.
- (c) **Policy Records** are records containing information relating to the formulation and changes to policy on any function or activity of the B/D.
- (d) **Routine Records** are records containing information not relating to policy such as internal and external communication on transactions or on general or minor matters.

The records series may be maintained for different purposes.

- (a) **Legal** - related to court cases, statutory or contractual requirements, ordinances or regulations, etc.
- (b) **Fiscal** - related to financial or accounting procedures, instructions, payment, etc.
- (c) **Operational** - related to daily operational and on-going requirements.
- (d) **Others** - specify the purpose of the records series if it is not related to the above three.

4. *Related Legislation*

Quote the relevant legislation or ordinance if records from the series are accumulated, used and maintained to meet statutory or legal requirements or retention of the records is governed by law.

5. *Physical Forms*

Write down the appropriate format of the records in the series. There may be more than one type of records. Some common examples are:

- files;
- computer printouts;
- index cards;
- maps;
- plans;
- photographs;
- microforms;
- audio-visual records; and
- machine-readable records.

6. *Measurement of Records*

Indicate the measurement of the records in the series if they are paper records not in A4 size or electronic records.

7. *Arrangement of Records Series*

This is related to records classification system. Specify the classification system such as alphabetical, numeric, alphanumeric, geographical, chronological, etc.

8. *Annual Growth of Records*

Put down the annual growth rate of records in terms of percentage. The formula is:

(Quantity of records created annually in linear metre or MB ÷ Total quantity of records in linear metre or MB) x 100%*

*(*Note: Please refer to item 10 below for definition of “linear metre”)*

9. *Frequency of Use per Month*

Indicate the monthly retrieval rate in terms of percentage by dividing the number of retrieval made on the records in the series in a month against the total number of records. The formula is:

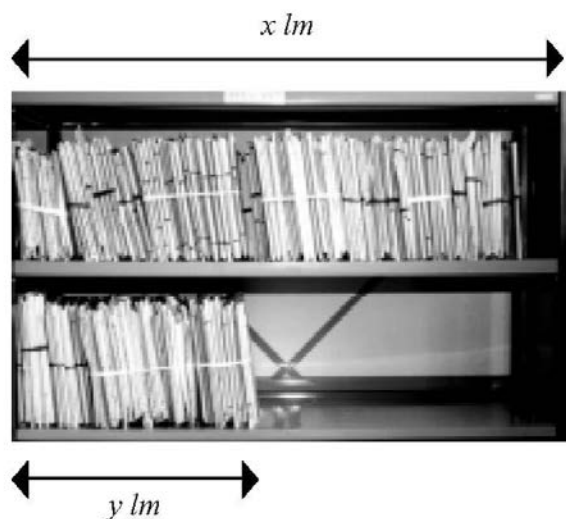
(Number of retrieval per month ÷ Total number of records) x 100%

10. *Quantity of Active Records*

Active records are those records frequently used for current business and therefore should be maintained in their place of origin or receipt.

The unit of measurement of paper records is linear metre (lm). One linear metre corresponds to the quantity of records with one metre in total thickness.

If records are stored vertically on shelves or in drawers, they should be measured along the horizontal axis as shown below:



$$\text{Records quantity} = x \text{ lm} + y \text{ lm}$$

Where records are stored horizontally, they should be measured along the vertical axis as shown below:



$$\text{Records quantity} = y \text{ lm} \times 4$$

11. Quantity of Inactive Records

Write down how many inactive records are kept in terms of linear metre or MB.

Inactive records are those records which are no longer or rarely required for the conduct of business or reference. Inactive records in physical form may be transferred to intermediate storage before disposal. The definition of inactive records may vary according to nature of business and/or operational consideration of individual offices or organisations.

12. Storage Equipment

Write down the type of equipment used to store the records, e.g. four-drawer or three-drawer filing cabinets, open shelves (static or mobile), plan chests, cupboards, servers, etc.

13. Location of Records

Specify where the records are located, i.e. address, building name, etc. If the records are scattered in various offices, the locations of the offices concerned may be given in a separate sheet.

14. Details of Existing Disposal Authority

If departmental instruction about disposal of these records has been issued or previous disposal agreement has been established with GRS, please put down the details of records retention and disposal authority concerned such as the ARS number or disposal authority number of the records series concerned.

15. Location of Duplicated Records

If a duplicate set of records is kept or a substantial part of duplicate records is maintained separately, please state the whereabouts of duplicate. In this circumstance, the series containing the maximum amount of information in the most convenient form should be earmarked as the record copy for retention for the optimum period.

(B) RECOMMENDED DISPOSAL ACTION

1. Criteria for Defining Inactive Records

Demarcate when the records are considered inactive by specifying a clear criterion such as “After file closed”, “After action completed” or “After settlement of accounts and claims”.

2. Retention Period

Specify the subject matter, criteria for defining inactive records, respective retention period in Agency and Records Centre, as well as recommended disposal action for each records series. It is not advisable to keep inactive records for more than 7 years. If the inactive records concerned should be kept for a long period, please consider microfilming them.

3. Disposal Action

Definite disposal actions (e.g. destruction, microfilm then destroy) should be recommended as far as practicable. Apart from archival purpose, very few records should be maintained permanently owing to legal, fiscal, administrative and/or operational reasons. After vetting, the Public Records Office (PRO) of GRS may recommend assigning disposal actions such as transfer to PRO or review by PRO for records having archival value or potential archival value.

Sample Records Retention and Disposal Authority (DA)

Records Retention and Disposal Authority

Agency Records Series No: **A123/1** Disposal Authority No: **20010**

Series Title: **Subject files relating to XY Licence**

Endorsement Details

This Authority sets out the agreed disposal actions to be followed for the class(es) of records listed below:

Authorised By: TANG On Chu Date 14/12/2018

*for Government Records Service Director

Endorsement Officer of Agency (An officer not below the rank of Senior Executive Officer or equivalent)

☐ The endorsement officer is acting up at the rank of Senior Executive Officer or above (or equivalent). The acting rank is stated in the "Rank Remark" below.

Name: John CHAN Post: SEO(Adm) Rank: SEO Telephone No: 2778 8899 E-mail Address: John.CHAN/ABC/HKSARG

for: Head of ABC Department Rank Remark:

Approved Disposal Action

Records Series Title	Subject Matter	Criteria for Defining Inactive Records	Retention Period Type	Retention Period of Inactive Records		Microfilm	Disposal Action
				Agency	Records Centre		
Subject files relating to XY Licence		See individual sub-group	CY			<input type="checkbox"/>	

#	Disposal Class(es)	Subject Matter	Criteria for Defining Inactive Records	Retention Period Type	Retention Period of Inactive Records		Microfilm	Disposal Action
					Agency	Records Centre		
A	Public consultation	Correspondence on public consultation	After action completed	CY	5 YRS	2 YRS	<input type="checkbox"/>	D
B	Policy files	Policy files and related correspondence	After policy superseded	CY	20 YRS	YRS	<input type="checkbox"/>	PP
C	Routine files	Correspondence on routine matters	After file closed	CY	3 YRS	2 YRS	<input type="checkbox"/>	D

Class Remark (if any)

Version Details

DA No.: 20010

Current Version: 3

Version No.	Request No.	Approval Date	Any changes made after review
0	<u>DS-0001396</u>	29/05/2018	-
1	<u>RD-0000288</u>	29/05/2018	No
2	<u>RD-0000289</u>	08/08/2018	Yes
3	<u>RD-0000313</u>	14/12/2018	Yes

Codes for Disposal Action:

PP = Permanent Retention PRO PA = Permanent Retention in Agency D = Destruction RP = Review by PRO

Codes for Retention Year Type:

CY = Calendar Year (i.e. net year) FY = Financial Year

SP = Special Year (e.g. academic year, election cycle, etc. Please refer to the "class remarks" field)

Records Inventory Form (RMO1)

Records Series Title (RST): Subject files relating to XY Licence

Particulars of Records

Department ABC (A123) Branch XYZ Branch Division Operation Division Section Team 1

Submission Date: 14/12/2018

Date range : From 1998 To: ☒ +(Not Specified)

Related legislations : Nil

Physical forms : Paper files

Measurement of records other than A4 size : Nil

Arrangement of records series : ABC GR/21 series "ABC"=Departmental Prefix "GR"=Unit Prefix "21"=Primary subject code (e.g. ABC GR/21/0, ABC GR/21/1)

Annual growth of records (%) : 5 Frequency of use per month (%) : 5

Quantity of active records : 1 LM Non-electronic 0 GB Electronic

Quantity of inactive records : 2 LM Non-electronic 0 GB Electronic

Storage equipment : Filing cabinets and racks Location of records : 41/F and 42/F, PGO

Details of existing disposal authority (if applicable) : N/A Location of duplicated records (if any) : N/A

Records are created and maintained for the following purposes: (msg id: DS-033):

Purposes	Types of records			
	Programme		Administrative	
	Policy	Routine	Policy	Routine
Legal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fiscal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Operational	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Supplementary Remarks (if any)

Sample Records Transfer Request Form (RC1) (List by File/Item)

Request No. RT-0000331

Details of the Records Retention and Disposal Authority (DA) —

The system only displays the number of the DA with RC retention period more than 0. (msg id: RT-098)

You will be informed the deposit number when the Transfer Request is approved (msg id: RT-099)

Please review the DA if the Last DA Review Date has been over 5 years from the request date. (msg id: RT-190)

DA No.: 20010 ARS No.: A123 / 1 Disposal Class (if any): C
 Records Series Title: Subject files relating to XY Licence Final Disposal Action: D
 Last DA Review Date: 08/08/2018 Last Deposit Number: 2

Contact Officer —

Name: Queenie YIU Post: EO(G) Rank: EOII Telephone No.: 2778 9999 E-mail Address: Queenie YIU/ABC/HKSARG

Requesting Officers List —

#	Name	Email	Post	Tel.	User ID	Branch	Division	Section
1	John CHAN	John CHAN/ABC/HKSARG	SEO(Adm)	2778 8899	bd123off00	XYZ Branch	Administration Division	-- Not Specify --
2	Queenie YIU	Queenie YIU/ABC/HKSARG	EO(G)	2778 9999	bd123off11	XYZ Branch	-- Not Specify --	-- Not Specify --

Details of the Intended Transfer —

Department: ABC Department (A123) Branch: -- Not Specify -- Division: -- Not Specify -- Section: -- Not Specify --

Last Action Completed Date: 30/04/2015 Disposal Due Date: 30/04/2020 Date of Request: 30/05/2018

No. of Records: 13 No. of Box: 4 Total Quantity: 1.33 LM

Security Classification: ☒ Open ☐ Restricted ☐ Confidential

Records Transfer List:

Intended Transfer Date: 29/06/2018 ARS No.: A123 / 1 Deposit Number: 3

Transfer Type: ☒ By File / Item

☐ By BOX ((Please note that records with final disposal action "RAP" or "RP" MUST be transferred by File/Item) (msg id: RT-093))

#	Box No.	Serial No.	No. of Records	Original Reference	Description	Opened Date	Closed Date
1	1	1	1	QS 1/1/96 Pt. I	Construction Scheme	12/01/2006	05/10/2006
2	1	2	1	QS 1/1/96 Pt. II	Construction Scheme	06/10/2006	15/09/2007
3	1	3	1	QS 1/1/96 Pt. III	Construction Scheme	16/09/2007	01/11/2008
4	2	4	1	QS 4/30/1 Pt. V	Site Instruction - Architect	02/01/2008	30/04/2010
5	2	5	1	QS 4/30/2 Pt. III	Site Instruction - Engineer	07/06/2008	05/08/2009
6	2	6	1	QS 4/30/2 Pt. IV	Site Instruction - Engineer	06/08/2009	28/04/2010
7	3	7	1	QS 4/30/3 Pt. I	Site Instruction - Surveyor	09/06/2004	30/08/2005
8	3	8	1	QS 4/30/3 Pt. II	Site Instruction - Surveyor	01/09/2005	01/11/2006
9	3	9	1	QS 4/30/3 Pt. III	Site Instruction - Surveyor	02/11/2006	30/12/2007
10	3	10	1	QS 4/30/3 Pt. IV	Site Instruction - Surveyor	31/12/2007	15/11/2008
11	3	11	1	QS 4/30/3 Pt. V	Site Instruction - Surveyor	16/11/2008	02/01/2010
12	4	12	1	QS 3/1 Pt. I	Construction Material	01/02/2008	01/12/2009
13	4	13	1	QS 21/2 Pt. I	Request for Survey Check	28/11/2008	05/03/2010
Total:	4	13	13				

Sample Records Transfer Request Form (RC1) (List by Box)

Request No. RT-0000329

Details of the Records Retention and Disposal Authority (DA)

The system only displays the number of the DA with RC retention period more than 0. (msg id: RT-098)

You will be informed the deposit number when the Transfer Request is approved (msg id: RT-099)

Please review the DA if the Last DA Review Date has been over 5 years from the request date. (msg id: RT-190)

DA No.: 20010 ARS No.: A123 / 1 Disposal Class (if any): CRecords Series Title: Subject files relating to XY Licence Final Disposal Action: DLast DA Review Date: 08/08/2018 Last Deposit Number: 0

Contact Officer

Name: Queenie YIU Post: EO(G) Rank: EOII Telephone No.: 2778 9999 E-mail Address: Queenie YIU/ABC/HKSARG

Requesting Officers List

#	Name	Email	Post	Tel.	User ID	Branch	Division	Section
1	John CHAN	John CHAN/ABC /HKSARG	SEO(Adm)	2778 8899	bd123off00	XYZ Branch	Administration Division	-- Not Specify --
2	Queenie YIU	Queenie YIU/ABC /HKSARG	EO(G)	2778 9999	bd123off11	XYZ Branch	-- Not Specify --	-- Not Specify --

Details of the Intended Transfer

Department: ABC Department (A123) Branch: -- Not Specify -- Division: -- Not Specify -- Section: -- Not Specify --Last Action Completed Date: 30/04/2015 Disposal Due Date: 30/04/2020 Date of Request: 30/05/2018No. of Records: 13 No. of Box: 4 Total Quantity: 1.33 LMSecurity Classification: ☒ Open ☐ Restricted ☐ Confidential

Records Transfer List:

Intended Transfer Date: 29/06/2018 ARS No.: A123 / 1 Deposit Number: 2Transfer Type: ☐ By File / Item☒ By Box ((Please note that records with final disposal action "RAP" or "RP" MUST be transferred by File/Item) (msg id: RT-093))

#	Box No.	Serial No.	No. of Records	Original Reference	Description	Opened Date	Closed Date
1	1		3	QS 1/1/96 Pt.II,III,V	Construction Scheme	12/01/2006	01/11/2008
2	2		3	QS 4/30/1 Pt. III,IV,V	Site Instruction - Architect & Engineer	02/01/2008	29/04/2010
3	3		5	QS 4/30/3 Pt. I-V	Site Instruction - Surveyor	09/06/2004	02/01/2010
4	4		2	QS 3/1 Pt.I-II	Contruction Material and Request for Survey Check	02/01/2008	01/12/2009
Total:	4		13				

Sample Delivery Note (List by File/Item)

RT-0000360



Delivery Note

Delivery Address: YKK

Summary

Req. No.	DA No.	ARS No.	Deposit No.	Disp. Class	No. of Box	Quantity LM	Intended Transfer Date	Status	Location
RT-0000360	20010	A123 / 1	4	C	4	1.33	11/01/2019	Pending For Transfer	YK

Details of the Intended Transfer

Department: A123-ABC Branch: XYZ Branch Division: -- Not Specify -- Section: -- Not Specify --
 Last Action Completed Date: 30/04/2015 Disposal Due Date: 30/04/2020 Date of Request: 12/12/2018
 No. of Records: 13 No. of Box: 4 Total Quantity: 1.33 LM
 Security Classification: ☒ Open ☐ Restricted ☐ Confidential

Records Transfer List

Confirmed Transfer Date: 11/01/2019 ARS No.: A123 / 1 Deposit Number: 4

Transfer Type: ☒ By File / Item

☐ By Box ((Please note that records with final disposal action "RAP" or "RP" MUST be transferred by File/Item) (msg id: RT-093))

#	Box No.	Serial No.	No. of Records	Original Reference	Description	Opened Date	Closed Date
1	1	1	1	QS 1/1/96 Pt. I	Construction Scheme	12/01/2006	05/10/2006
2	1	2	1	QS 1/1/96 Pt. II	Construction Scheme	06/10/2006	15/09/2007
3	1	3	1	QS 1/1/96 Pt. III	Construction Scheme	16/09/2007	01/11/2008
4	2	4	1	QS 4/30/1 Pt. V	Site Instruction - Architect	02/01/2008	30/04/2010
5	2	5	1	QS 4/30/2 Pt. III	Site Instruction - Engineer	07/06/2008	05/08/2009
6	2	6	1	QS 4/30/2 Pt. IV	Site Instruction - Engineer	06/08/2009	28/04/2010
7	3	7	1	QS 4/30/3 Pt. I	Site Instruction - Surveyor	09/06/2004	30/08/2005
8	3	8	1	QS 4/30/3 Pt. II	Site Instruction - Surveyor	01/09/2005	01/11/2006
9	3	9	1	QS 4/30/3 Pt. III	Site Instruction - Surveyor	02/11/2006	30/12/2007
10	3	10	1	QS 4/30/3 Pt. IV	Site Instruction - Surveyor	31/12/2007	15/11/2008
11	3	11	1	QS 4/30/3 Pt. V	Site Instruction - Surveyor	16/11/2008	02/01/2010
12	4	12	1	QS 3/1 Pt. I	Construction Material	01/02/2008	01/12/2009
13	4	13	1	QS 21/2 Pt. I	Request for Survey Check	28/11/2008	05/03/2010
Total:	4	13	13				

Sample Delivery Note (List by Box)

RT-0000361



Delivery Note

Delivery Address: 11/F, Tuen Mun Government Storage Centre, 1 San Yick Lane, Tuen Mun, N.T

Summary

Req. No.	DA No.	ARS No.	Deposit No.	Disp. Class	No. of Box	Quantity LM	Intended Transfer Date	Status	Location
RT-0000361	20010	A123 / 1	5	C	4	1.33	18/01/2019	Pending For Transfer	TM

Details of the Intended Transfer

Department: A123-ABC Branch: XYZ Branch Division: -- Not Specify -- Section: -- Not Specify --
 Last Action Completed Date: 11/12/2015 Disposal Due Date: 11/12/2020 Date of Request: 13/12/2018
 No. of Records: 13 No. of Box: 4 Total Quantity: 1.33 LM
 Security Classification: ☒ Open ☐ Restricted ☐ Confidential

Records Transfer List

Confirmed Transfer Date: 18/01/2019 ARS No.: A123 / 1 Deposit Number: 5

Transfer Type: ☐ By File / Item

☒ By Box ((Please note that records with final disposal action "RAP" or "RP" MUST be transferred by File/Item) (msg id: RT-093))

#	Box No.	Serial No.	No. of Records	Original Reference	Description	Opened Date	Closed Date
1	1		3	QS 1/1/96 Pt. II,III,V	Construction Scheme	12/01/2006	01/11/2008
2	2		3	QS 4/30/1 Pt. III,IV,V	Site Instruction - Architect & Engineer	02/01/2008	29/04/2010
3	3		5	QS 4/30/3 Pt. I-V	Site Instruction - Surveyor	09/06/2004	02/01/2010
4	4		2	QS 3/1 Pt. I-II	Construction Material and Request for Survey Check	02/01/2008	01/12/2009
Total:	4		13				

Sample Request for Retrieval of Record Kept in Records Centres (RC3)

Request No. RR-0002332

Summary of Records Required

Department: ABC (A123) Branch: -- Not Specify -- Division: -- Not Specify -- Section: General Section
Submission Date: 30/05/2018 Our Reference: (15) ABC GR 6-60/2 Requisition No.: RR-0002332

Details of the Records Required

DA No.: 20010 ARS No.: A123 / 1 Deposit No. 1 Records Centre: TM ☒ By Serial

#	Box No.	Serial No.	No. Of Records	Original Reference	Description	Opened Date	Closed Date	Status	M10 Status	M10 Action
1	1	3	1	QS 1/1/96 Pt. III	Construction Scheme	16/09/2007	01/11/2008	In-Storage room	-	-

Remarks (if any)

Type of Request: ☐ ☒ Temporary RetrievalPreferred referencing /retrieval date: 04/06/2018Records to be picked up by: ☒ Staff of Department

Particulars of Agency

Requesting Officer

Name Queenie YIU Post EO(G) Rank EOII Telephone No. 2778 9999 E-mail Address Queenie YIU/ABC/HKSARG

Contact Person

Name CHAN Tai-man Post CA(Adm) Rank/Company CA Telephone No. 24600000 E-mail Address tmchan@abc.gov.hk

Comment From RC

Sample File List of the Records to be Retrieved

RR-0002332



Details of the Records Required

DA No.: 20010 ARS No.: A123 / 1 Deposit No. 1 Records Centre: TM ☒ By Serial

#	Box No.	Serial No.	No. Of Records	Original Reference	Description	Opened Date	Closed Date	M10 Status	M10 Action
1	1	3	1	QS 1/1/96 Pt. III	Construction Scheme	16/09/2007	01/11/2008	-	-

Remarks (if any)

Type of Request: ☒ ☐ Temporary RetrievalConfirmed referencing/retrieval date: 04/06/2018Records to be picked up by: ☒ Staff of Department

Requesting Officer

Name Queenie YIU Post EO(G) Rank EOII Telephone No. 2778 9999 E-mail Address Queenie YIU/ABC/HKSARG

Appendix K

Standard Email Notifying Bureaux/Departments regarding Disposal of Records (for Records to be Destroyed)

From: SARCIS-NOTIFY@grs.gov.hk
To: <"Queenie YIU/ABC/HKSARG@ABC">,
Cc: <"TMRC_RCINFO/GRS/HKSARG@GRS">
Date: 30/05/2018 08:00
Subject: [SARCIS] Records Disposal--ABC-A123/1-Deposit No. 4 (TE-0000961)

Our ref.: TE-0000961

To: Director of ABC
(Attn: Miss Quennie YIU)

Confirmation on Records Disposal

Your records listed below are stored in our Records Centre and due for disposal -

Deposit No.:	4
Box/Serial No(s):	Box: 1 - 4
Due Date for Disposal:	12/05/2018
Disposal Authority No.:	20010
Agency Records Series No.:	A123/1
Series Title:	Subject files relating to XY Licence
Disposal Class:	C
Disposal Action:	Destruction
Remarks:	

2. Please review whether the records can be disposed of and submit your disposal/extension request by visiting our system SARCIS at <https://xxx.xxx.ccgo.hksarg/sarcis/recordDisposal/detail/TE-0000960> within one month. **Please be reminded that you have to fill in the number of records to be disposed of, instead of the number of boxes, in the submission.**

3. Upon receiving your disposal request, we shall carry out the destruction of those paper records on your behalf. For non-paper records, if any, your Agency is required to send your staff to the Records Centre to retrieve such stuff from the above deposits and arrange for destruction separately. In case our designated paper waste contractor still finds out such records in the midst of the destruction of the paper records, your Agency will also be required to retrieve such records direct from the contractor as soon as possible.
4. If any of the records are not ready for disposal and need to be retained in the Records Centre for a longer period, please specify the extension period and justify your decision on SARCIS. Should you need to retrieve any record for retention, please submit a request for retrieval of records via SARCIS.
5. Should you need to retrieve any record for retention, please submit a request for retrieval of records via SARCIS.
6. A list of records endorsed for disposal should be maintained in your office permanently for future reference.
7. If you have any enquiry, please feel free to contact Ms XXX at 2460 XXXX.

Regards,

Miss XXX

for Government Records Service Director

=====

Miss XXX

EO(RM)X

Records Management and Administration Office

Government Records Service

Tel: 2460 XXXX

Please do not reply to this email account. If you wish to contact us, please email to TMRC_RCINFO/GRS/HKSARG or tmrc_rcinfo@grs.gov.hk.

Appendix L

Standard Email Notifying Bureaux/Departments regarding Disposal of Records (for Records to be Reviewed or Permanently Retained by Public Records Office)

From: SARCIS-NOTIFY@grs.gov.hk
To: <"Queenie YIU/ABC/HKSARG@ABC">,
Cc: <"TMRC_RCINFO/GRS/HKSARG@GRS">
Date: 30/05/2018 08:00
Subject: [SARCIS] Records Disposal--ABC-A123/1-Deposit No. 3 (TE-0000960)

Our ref.: TE-0000960

To: Director of ABC
(Attn: Miss Quennie YIU)

Confirmation on Records Disposal

Your records listed below are stored in our Records Centre and due for disposal -

Deposit No.:	3
Box/Serial No(s):	Serial: 1 - 15
Due Date for Disposal:	12/05/2018
Disposal Authority No.:	20010
Agency Records Series No.:	A123/1
Series Title:	Subject files relating to XY Licence
Disposal Class:	A
Disposal Action:	Review by PRO
Remarks:	

2. Please review whether the records can be disposed of and submit your disposal/extension request by visiting our system SARCIS at <https://xxx.xxx.ccgo.hksarg/sarcis/recordDisposal/detail/TE-0000960> within one month. **Please be reminded that you have to fill in the number of records to be disposed of, instead of the number of boxes, in the submission.**

3. Upon receiving your disposal request, our Public Records Office (PRO) will conduct appraisal of your records. Please follow the instructions at paragraph (a) in Appendix IV to General Circular No. 2/2009 to ensure the accuracy of the Records Transfer List, and update the Records Transfer List on SARCIS by visiting “Deposits in RC”.
4. If any of the records are not ready for disposal and need to be retained in the Records Centre for a longer period, please specify when the records will be ready for disposal and justify your decision on SARCIS. Please note that B/Ds should transfer time-expired records having archival value/ potential archival value to the PRO on time. In accordance with the letter from Director of Administration to Permanent Secretaries and Heads of Departments dated 21.3.2014, deferrals are highly undesirable and B/Ds should refrain from seeking deferrals for more than two years except it is absolutely necessary to consider such deferrals due to operation need.
5. Should you need to retrieve any record for retention, please submit a request for retrieval of records via SARCIS.
6. A list of records endorsed for disposal should be maintained in your office permanently for future reference.
7. If you have any enquiry, please feel free to contact Ms XXX at 2460 XXXX.

Regards,

Miss XXX

for Government Records Service Director

=====

Miss XXX

EO(RM)X

Records Management and Administration Office

Government Records Service

Tel: 2460 XXXX

Please do not reply to this email account. If you wish to contact us, please email to TMRC_RCINFO/GRS/HKSARG or tmrc_rcinfo@grs.gov.hk.

Sample Disposal Request for Appraisal or Permanent Retention of Programme Records by Public Records Office

Request No. DR-0001237

List of Records

Department ABC Department Branch -- Not Specify -- Division -- Not Specify -- Section General SectionSubmission Date 30/05/2018 Our Ref. (20) in ABC GR 6-60/1 Records Type ☒ Programme Records

Row No.	DA No.	ARS No.	Disposal Class No.	Records Series Titles	Microfilming of the Records	Disposal Action in DA	Classification of Records	Total No. of Files / Records	Total Quantity	Retention Period Type	Retention Period (Agency)	Retention Period (RC)	Covering Period (Date Opened)	Covering Period (Date Closed)	Action Completion Date	
1	20010	A123/1	A	Subject files relating to XY Licence	<input type="checkbox"/>	RP	Unclassified	2	0.08	LM	CY	5 YRS	2 YRS	12/09/2001	31/12/2003	31/12/2003
Total								2								

	No. of Files/Items	Quantity
Physical	2	0.08 (LM)
Electronic	0	0 (MB)

☒ I confirm that

(a) the retention and disposal requirements specified in GARDS or the relevant disposal schedule(s), and any governing legislation and relevant government regulations/circulars have been complied with; and (msg id: DR-036)

(b) there is no outstanding action on any of the records listed above. (msg id: DR-037)

Supplementary remarks (if any)

List(s) of Files for Appraisal by PRO of GRS

(1) Subject files relating to XY Licence (20010 - A) - RP

Row No.	Reference No.	Record or File Title	Covering Period (Date Opened)	Covering Period (Date Closed)
1	ABC GR 110/1/1 Pt. 1	Application for AB Licence	12/09/2001	02/10/2002
2	ABC GR 110/1/1 Pt. 2	Application for AB Licence	02/10/2002	31/12/2003

Particulars of Agency

Endorsement Officer of Agency (An officer not below the rank of Senior Executive Officer or equivalent)

Department ABC Department Branch XYZ Branch Division Administration Division Section -- Not Specify --☐ The endorsement officer is acting up at the rank of Senior Executive Officer or above (or equivalent). The acting rank is stated in the "Rank Remark" below.Name John CHAN Post SEO(Adm) Rank SEO Telephone No. 2778 8899 E-mail Address John.CHAN/ABC/HKSARGInternal Endorsement Date 09/05/2018 Rank Remark

Contact Officer

Name Queenie YIU Post EO(G) Rank EOII Telephone No. 2778 9999 E-mail Address Queenie.YIU/ABC/HKSARG☒ I confirm that

The disposal of records listed in this request has been considered and endorsed by an officer not below the rank of Senior Executive Officer or equivalent according to paragraph 17 of General Circular No. 2/2009. (msg id: DR-057)

Sample Disposal Request for Destruction of Programme Records

Request No. DR-0001236

List of Records

Department ABC Department Branch -- Not Specify -- Division -- Not Specify -- Section General SectionSubmission Date 30/05/2018 Our Ref. (20) in ABC GR 6-60/1 Records Type ☒ Programme Records

Row No.	DA No.	ARS No.	Disposal Class No.	Records Series Titles	Microfilming of the Records	Disposal Action in DA	Classification of Records	Total No. of Files / Records	Total Quantity	Retention Period Type	Retention Period (Agency)	Retention Period (RC)	Covering Period (Date Opened)	Covering Period (Date Closed)	Action Completion Date
1	20010	A123/1	C	Subject files relating to XY Licence	<input type="checkbox"/>	D	Unclassified	1	0.04 LM	CY	3 YRS	2 YRS	01/05/2010	09/04/2013	09/04/2013
Total								1							

	No. of Files/Items	Quantity
Physical	1	0.04 (LM)
Electronic	0	0 (MB)

☒ I confirm that

(a) the retention and disposal requirements specified in GARDS or the relevant disposal schedule(s), and any governing legislation and relevant government regulations/circulars have been complied with; and (msg id: DR-036)

(b) there is no outstanding action on any of the records listed above. (msg id: DR-037)

Supplementary remarks (if any)

List(s) of Files for Appraisal by PRO of GRS

No records to display

Particulars of Agency

Endorsement Officer of Agency (An officer not below the rank of Senior Executive Officer or equivalent)

Department ABC Department Branch XYZ Branch Division Administration Division Section -- Not Specify --☐ The endorsement officer is acting up at the rank of Senior Executive Officer or above (or equivalent). The acting rank is stated in the "Rank Remark" below.Name John CHAN Post SEO(Adm) Rank SEO Telephone No. 2778 8899 E-mail Address John.CHAN/ABC/HKSARGInternal Endorsement Date 09/05/2018 Rank Remark

Contact Officer

Name Queenie YIU Post EO(G) Rank EOII Telephone No. 2778 9999 E-mail Address Queenie.YIU/ABC/HKSARG☒ I confirm that

The disposal of records listed in this request has been considered and endorsed by an officer not below the rank of Senior Executive Officer or equivalent according to paragraph 17 of General Circular No. 2/2009. (msg id: DR-057)