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Replies to initial questions raised by Finance Committee Members in examining the Estimates of Expenditure 2017-18

Director of Bureau : Director of Administration

Session No. : 10

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CONTROLLING OFFICER'S REPLY

CSO001

(Question Serial No. 2767)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

According to the Programme, it is the responsibility of the Government Records Service (GRS) to identify and preserve records of archival value, valuable government publications and printed materials and provide storage and disposal services for inactive records. In this regard, please:

- (1) list out in tabular form the total number (and linear metres) of records, publications and printed materials transferred or pending transfer by Government departments that were appraised by GRS in the past year;
- (2) list out in tabular form the total number (and linear metres) of records, publications and printed materials transferred by Government departments that were retained and preserved by GRS in the past year; and
- (3) list out in tabular form the total number (and linear metres) of records, publications and printed materials appraised by Government departments that were approved for destruction by GRS in the past year.

Asked by: Hon CHAN Chi-chuen (Member Question No. 5)

Reply:

- (1) The numbers and linear metres (lm) of records appraised, transferred to the Government Records Service (GRS) for permanent preservation and approved for destruction in 2016 are as follows -

Year	Records appraised		Records transferred to GRS for permanent preservation		Records approved for destruction*	
	No. ('000)	lm	No. ('000)	lm	No. ('000)	lm
2016	107	3 384	45	620	102 784	56 633

**All requests for destruction of records are processed in accordance with the requirements set out in the corresponding records retention and disposal schedules (disposal schedules). The decision as to whether records were of no archival value or having potential archival value had been made a few years back when the relevant disposal schedules were drawn up. For time-expired records having no archival value, GRS Director's approval would be given prior to their physical destruction. For those having potential archival value, they would be appraised again by the Public Records Office of GRS and only those confirmed to be of no archival value would be approved by GRS Director for destruction.*

The routine records, mainly of programme nature, of 10 departments took up 94% of the number of the records (57% of lm) in this column. They include computer printouts of tax-related systems from the Inland Revenue Department, arrival and departure cards from the Immigration Department, public files of companies registered under Companies Ordinance from the Companies Registry, various types of trade-related documents and cargo manifests from the Census and Statistics Department, the Trade and Industry Department and the Customs and Excise Department, patient case files and treatment records cards from the Department of Health, records relating to applications for vehicle registration and licence from the Transport Department, various general and departmental forms from the Hong Kong Police Force, and records relating to enrolment of recreation and sports programme from the Leisure and Cultural Services Department.

- (2) As for publications and printed materials, GRS' Central Preservation Library for Government Publications (CPL) selects and preserves government publications and printed materials with permanent value. A copy of new publication/printed material will be forwarded by bureaux and departments (B/Ds) to CPL for selection. CPL is not responsible for granting approval for destruction of B/Ds' library items but will select suitable library items for preservation. The numbers of publications and printed materials received for selection and preserved by CPL in 2016 are 3 354 and 868 respectively. We do not keep statistics in "linear metre" for selected items.

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CONTROLLING OFFICER'S REPLY

CSO008

(Question Serial No. 0885)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

The expenditure of the Government Records Service in the coming year will only be \$64.8 million, a 5.8% decrease when compared with that of last year. Is the decrease in provision achieved by reducing the service scope or through the introduction of some resources saving measures? Will this reduction in resources affect the Government's effort in record preservation?

Asked by: Hon CHEUNG Wah-fung, Christopher (Member Question No. 32)

Reply:

The reduction in provision for 2017-18 is mainly due to lapse of provision for replacement of equipment and anticipated reduction in general departmental expenses, partly offset by the net increase of 4 posts to meet operational needs, filling of vacancies, salary increment for staff and anticipated increase in expenditure for hire of services. As the equipment such as those items relating to microfilming and scanning has been procured in 2016-17, it will not be necessary to incur similar expenditure in 2017-18. Therefore, the reduction in provision will not affect the Government's effort in preservation of records.

- End -

CONTROLLING OFFICER'S REPLY

CSO011

(Question Serial No. 1725)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Regarding the matter concerning the “Implementation of Public Education and Publicity Programme on Hong Kong’s Documentary Heritage” under this Programme, please provide information on the following:

1. What are the contents of and expenditure for the relevant work over the past 2 years?
2. Did the Government organise any exhibitions to showcase Hong Kong’s valuable collection of records for public appreciation in the past year? If yes, please list out the venues, the quantity of records on display and the themes of the exhibitions.
3. It is mentioned in the Indicators that the storage capacity for records for the coming year will be smaller than that in 2015. What are the reasons for that? In view of the growing quantity of records, does the relevant department at present have sufficient space to store and display the records and to conduct educational and promotional activities?
4. Due to the growing popularity of teaching and learning history about Hong Kong and the development of the relevant curriculum in recent years, there may be a demand in the community for archival records about Hong Kong in the last 100 years. Did the Government procure or will it procure any items of documentary heritage and archival records relating to Hong Kong from overseas? What is the estimated expenditure for the management of archival records in the coming year?

Asked by: Hon HO Kai-ming (Member Question No. 50)

Reply:

1. The contents of and expenditure for “Implementation of Public Education and Publicity Programme on Hong Kong’s Documentary Heritage” in 2015-16 and 2016-17 are set out below –

Year	Publicity and educational programmes	Expenditure (\$ million)
2015-16	<ul style="list-style-type: none"> - Launched 2 onsite exhibitions, entitled “Behind the Postman Uniform” (December 2014 – November 2015) and “Under the Same Roof: Resettlement in the 1950s of Hong Kong” (December 2015 – November 2016), and corresponding online exhibitions. - Organised 3 roving exhibitions entitled “Behind the Postman Uniform” in Civic Education Resource Centre (July 2015), Tamar Central Government Offices (August 2015) and Hong Kong Central Library (September 2015). - Co-organised an exhibition entitled “Hong Kong Over the Past 100 Years Historical Photo Exhibition” with Jao Tsung-I Academy (April – October 2015). - Organised 35 group visits to the Government Records Service (GRS). - Conducted 9 educational workshops to help teachers and students understand and use archival holdings kept in GRS. - Organised 94 sessions of a thematic film show. - Enriched the contents of the Educational Resources Portal to attract more people to view the digitised holdings and promote the use of archival records. - Broadcast an Announcement for Public Interest to promote the services provided by GRS and public appreciation of Hong Kong’s documentary heritage. 	1.8
2016-17 (Up to February 2017)	<ul style="list-style-type: none"> - Launched 2 onsite exhibitions, entitled “Under the Same Roof: Resettlement in the 1950s of Hong Kong” (December 2015 – November 2016) and “Great scenery along the way: Exhibition of street scenes at bus stops on Hong Kong Island in the 1970s” (December 2016 – November 2017), with corresponding online exhibitions. - Organised 3 roving exhibitions entitled “Under the Same Roof: Resettlement in the 1950s of Hong Kong” in Ping Shan Tin Shui Wai Public Library (April – May 2016), Hong Kong Central Library (May 2016) and Sha Tin Public Library (September 2016). - Co-organised an exhibition entitled “Hong Kong Over the Past 100 Years Historical Photo Exhibition” with Jao Tsung-I Academy (April – August 2016). 	1.9

Year	Publicity and educational programmes	Expenditure (\$ million)
	<ul style="list-style-type: none"> - Organised 29 group visits to GRS. - Conducted 4 educational workshops to help teachers and students understand and use archival holdings kept in GRS. - Organised 92 sessions of a thematic film show. - Enriched the contents of the Educational Resources Portal to attract more people to view the digitised holdings and promote the use of archival records. - Broadcast an Announcement for Public Interest to promote the services provided by GRS and public appreciation of Hong Kong's documentary heritage. 	

2. GRS regularly organises exhibitions to showcase its collection for public appreciation. The date, theme, venue, and quantity of records of the exhibitions organised in 2016-17 are set out below -

Date	Theme of exhibition	Venue	Quantity of records
December 2015 – November 2016	Onsite exhibition “Under the Same Roof: Resettlement in the 1950s of Hong Kong”	Hong Kong Public Records Building, Kwun Tong	The exhibition illustrated the resettlement work in the 1950s. About 60 photographs, archival records and library items were displayed.
April – May 2016	Roving exhibitions “Under the Same Roof: Resettlement in the 1950s of Hong Kong”	Ping Shan Tin Shui Wai Public Library	
May 2016		Hong Kong Central Library	
September 2016		Sha Tin Public Library	
April – August 2016	“Hong Kong Over the Past 100 Years Historical Photo Exhibition” (co-organised with Jao Tsung-I Academy)	Jao Tsung-I Academy, Lai Chi Kok	The exhibition presented the history of Hong Kong over the past 100 years. About 90 historical photographs are displayed.

Date	Theme of exhibition	Venue	Quantity of records
December 2016 – November 2017	Onsite exhibition “Great scenery along the way: Exhibition of street scenes at bus stops on Hong Kong Island in the 1970s”	Hong Kong Public Records Building, Kwun Tong	The exhibition showcases scenes of bus stops along the coast of Hong Kong Island in the 1970s. About 60 photographs, archival records and library items relating to traffic survey are displayed.

3. GRS operates 2 Records Centres in Tuen Mun offering centralised and cost-effective intermediate storage service for inactive government records transferred by B/Ds. The storage capacity for inactive government records decreased from 124 000 linear metres (lm) in 2015 to 116 000 lm in 2016 and 2017. The decrease was due to conversion of 8 000 lm of storage space to archival repositories for storing archival records. It will not reduce the space for display of archival records or conduct of educational and promotional activities. GRS regularly reviews its storage facilities and space for holding educational and promotional activities to meet its service needs.
4. GRS identifies and procures on an on-going basis archival records relating to Hong Kong from overseas archives for public inspection. In 2016-17, 334 digitised records relating to Hong Kong were acquired from the National Archives of the UK (TNA). The selected records cover a wide range of subjects, relating to Hong Kong, such as future of Hong Kong, Basic Law, Sino-British Joint Liaison Group, nationality and citizenship, constitutional development and reforms, political and leading personalities, ministerial and officials’ visits, internal political situation, international relations, Vietnamese refugees, plans and photographs. More than half of these records are now available for public inspection in GRS’ Search Room located in the Hong Kong Public Records Building, 13 Tsui Ping Road, Kwun Tong. Members of the public may search the online catalogue at GRS’ website (www.grs.gov.hk) to view the files lists and descriptions. The remaining records from TNA will be made available for public inspection in the second quarter of 2017 after completion of records description and arrangement.

In 2017-18, GRS will continue to identify archival records relating to Hong Kong from other archives and acquire copies of such records in order to enrich its holdings. An amount of \$0.30 million has been earmarked in the estimates for the purpose.

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CONTROLLING OFFICER'S REPLY

CSO016

(Question Serial No. 2556)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Please set out in tabular form the quantity of records destroyed by the Government, covering period of such records, the bureaux/departments involved, the categories of records and the expenditures involved over the past 5 years. Please also list out the estimated expenditure for 2017-18.

Asked by: Hon KWOK Ka-ki (Member Question No. 223)

Reply:

Disposal of government records is made by bureaux/departments (B/Ds) having regard to the administrative, operational, fiscal and legal requirements and archival values of the records. All requests for destruction of records are processed in accordance with the requirements set out in the corresponding records retention and disposal schedules approved by the Government Records Service (GRS). The decision as to whether records were of no archival value or having potential archival value had been made a few years back when the relevant disposal schedules were drawn up. For time-expired records having no archival value, the GRS Director's agreement would be required prior to their physical destruction. Time-expired records having archival value would be identified and transferred to GRS for permanent retention, and only those confirmed to be of no archival value would be agreed by the GRS Director for destruction. The quantities of time-expired records destroyed fluctuate over the years depending on the nature of business of individual B/Ds as well as the numbers of records to be disposed of in a year.

We set out the quantity of B/Ds' records approved for destruction, covering both categories of administrative records ^{Note 1} and programme records ^{Note 2}, in the past 5 years and the respective number of B/Ds involved in the table below -

Year	Quantity of administrative records (linear metre)	Quantity of programme records (linear metre)	Total quantity (linear metre)	No. of B/Ds involved
2012	3 902	38 221	42 123	66 ^{Note 4}
2013	6 490	37 255	43 745	64 ^{Note 5}
2014	5 858	83 419	89 277 ^{Note 3}	71 ^{Note 6}
2015	5 743	55 675	61 418	73 ^{Note 7}
2016	7 003	49 630	56 633	75 ^{Note 8}

Under the current records management system, individual B/Ds are required to retain permanently their disposal requests and related processing records, including covering periods of disposed records. GRS does not maintain statistics on the covering periods of records destroyed by B/Ds. Separately, individual B/Ds are responsible for deployment of their own resources to carry out destruction of their time-expired records in accordance with a set of mandatory procedures after obtaining the agreement of the GRS Director. Hence, GRS does not have information on the expenditure incurred by B/Ds for the destruction of their records over the past 5 years, nor the provisions made for such purpose in 2017-18. To enhance transparency on records disposal, GRS launched in June 2016 a central platform on its website (www.grs.gov.hk/ws/english/ps_dest_rec.htm) for each individual B/Ds to publish their records destruction information on an annual basis. Such information includes the types, quantities, contents/subject matters of the records approved for destruction.

Notes

- 1 - Administrative records are records created or received during the course of day-to-day administrative activities that deal with finance, accommodation, procurement and supply, establishment, personnel and other general administrative activities.
- 2 - 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.
- 3 - The quantity of records approved for destruction in 2014 was higher because several B/Ds accumulated large amounts of time-expired records for disposal. Such records included arrival or departure cards, case files relating to immigration matters, tax assessment and tax returns, as well as various routine reports generated by information systems.
- 4 - B/Ds involved (in alphabetical order): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise

Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau/Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Laboratory, Government Logistics Department, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Intellectual Property Department, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Telecommunications Authority, Official Receiver's Office, Planning Department, Rating and Valuation Department, Registration and Electoral Office, Security Bureau, Social Welfare Department, Student Financial Assistance Agency, Television and Entertainment Licensing Authority, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport Branch), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department

- 5 - B/Ds involved (in alphabetical order): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau/Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Logistics Department, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Student Financial Assistance Agency, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport Branch), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department

6 - B/Ds involved (in alphabetical order): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Central Policy Unit, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau/Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Laboratory, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Intellectual Property Department, Invest Hong Kong, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Security Bureau, Social Welfare Department, Student Financial Assistance Agency, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport Branch), Transport Department, Treasury, Water Supplies Department

7 - B/Ds involved (in alphabetical order): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Central Policy Unit, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau/Environmental Protection Department, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Monetary Authority, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Innovation and Technology Bureau, Intellectual Property Department, Invest Hong Kong, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid

Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport Branch), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department, Working Family and Student Financial Assistance Agency

- 8 - B/Ds involved (in alphabetical order): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Central Policy Unit, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau/Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Laboratory, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Monetary Authority, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Innovation and Technology Bureau, Intellectual Property Department, Invest Hong Kong, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport Branch), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department, Working Family and Student Financial Assistance Agency

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CONTROLLING OFFICER'S REPLY

CSO017

(Question Serial No. 0428)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

“Records” are an importance source of information for the public to conduct research on history and monitor the Government. The number of public inspections of records increases every year. Regarding the financial provision for the Government Records Service,

1. what are the reasons for the decrease in estimated expenditure by 5.8% compared with that of last year, given that the numbers of users and public inspections both saw an increase?
2. what are the manpower involved and the breakdown of expenditure?
3. what are the progress and effectiveness of the Government’s electronic records management?
4. what measures and initiatives has the Government taken to facilitate public inspection of archival holdings?
5. Government information shows that archival holdings decreased by 188 linear metres in 2016. What were the expenditure and manpower involved in the destruction of records?

Asked by: Hon LAU Ip-keung, Kenneth (Member Question No. 12)

Reply:

1. The reduction in provision for 2017-18 is mainly due to lapse of provision for replacement of equipment and anticipated reduction in general departmental expenses, partly offset by the net increase of 4 posts to meet operational needs, filling of vacancies, salary increment for staff and anticipated increase in expenditure for hire of services. As the equipment such as those items relating to microfilming and scanning has been procured in 2016-17, it will not be necessary to procure them in 2017-18.

Therefore, the reduction in provision will not affect the public services provided by the Government Records Service (GRS).

2. A team comprising 4 Archivist Grade Officers and 5 supporting staff is involved in reference service and public programmes. The estimated expenditure for reference service and public programmes in 2017-18 is \$3.15 million. This represents an increase of \$0.64 million (25.5%) over the provision for 2016-17.
3. The Government conducted an initial assessment and review of the first phase of Electronic Recordkeeping System (ERKS) implementation in the 5 participating departments in 2014. The results showed that all the 5 departments had successfully implemented their ERKS, effectively minimising the problem of duplicate filing in different units of the department and gradually reducing paper consumption and file storage space. The Government later decided to recruit bureaux and departments (B/Ds) with more complex recordkeeping requirements for the second phase of implementation so that a comprehensive review could be conducted before a full-scale implementation of ERKS across the Government.

The second phase of implementation commenced in late 2015 with the participation of 6 departments, among which 3 have completed implementation of ERKS before the end of 2016. The ERKS for the remaining departments are being implemented progressively from March 2017 to January 2020. The Government will conduct an assessment and review in 2017-18 when the system implementation work in the 6 departments of the second phase of implementation has been completed initially with a view to formulating the long-term strategy for full extension of ERKS across the Government.

4. GRS provides guidance and assistance to members of the public through various means in helping them to identify and inspect the archival records from its holdings. Members of the public can search the records descriptions and digitised holdings through the Integrated Information Access System which is being upgraded to provide a more user-friendly interface. GRS has also published various finding aids and more than 40 topical guides on its website to assist members of the public in searching archival records more effectively. Each topical guide consists of suggested keywords and a list of selected reference materials of the topic concerned. Access to archival records at GRS is free of charge. Besides, GRS provides reproduction services on a charging basis for members of the public to obtain a copy of the archival records for the purposes of research and private study. They may also use their own photographic device to take photographs of some of the archival holdings.
5. Based on the experience of and standards adopted by other overseas jurisdictions, GRS has developed a set of guidelines for the selection of archival records. GRS appraises government records and materials with due care to ensure that those with archival value are identified and preserved permanently. The amount of archival records acquired by GRS decreased by 188 linear metres to 620 linear metres in 2016 compared with 2015. The amount of archival records acquired fluctuates each year depending on the nature and number of records to be disposed of by B/Ds. The difference in the amount of archival records acquired in 2015 and 2016 was mainly due to the Government Records Service's efforts in clearing the backlog in 2015.

Under the current records management regime, B/Ds are required to obtain the prior agreement of the GRS Director before destruction of their time-expired records. Individual B/Ds are responsible for deployment of their own resources to carry out destruction of such records in accordance with a set of mandatory procedures. Hence, we do not have information on the expenditure and manpower deployed by individual B/Ds for the destruction of their records.

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CONTROLLING OFFICER'S REPLY

CSO019

(Question Serial No. 0957)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

- a. Please list out the quantity of records disposed by destruction by the Government Records Service (GRS) and the respective expenditures incurred for the destruction over the past 5 years.

	Quantity of records destroyed	Expenditure incurred for destruction
2012		
2013		
2014		
2015		
2016		

- b. Please list out the quantity of records newly acquired by GRS for preservation, those already kept by GRS and the expenditures incurred for preserving them over the past 5 years.

	Quantity of records newly acquired by GRS	Quantity of records already kept by GRS	Expenditure incurred for preservation
2012			
2013			
2014			
2015			
2016			

Asked by: Hon LAW Kwun-chung, Nathan (Member Question No. 4)

Reply:

Disposal of government records is made by bureaux/departments (B/Ds) having regard to the administrative, operational, fiscal and legal requirements and archival values of the records. All requests for destruction of records are processed in accordance with the requirements set out in the corresponding records retention and disposal schedules approved by the Government Records Service (GRS). The decision as to whether records were of no archival value or having potential archival value had been made a few years back when the relevant disposal schedules were drawn up. For time-expired records having no archival value, the GRS Director's agreement would be required prior to their physical destruction. For those having potential archival value, they would be appraised again by GRS. Time-expired records having archival value would be identified and transferred to GRS for permanent retention, and only those confirmed to be of no archival value would be agreed by the GRS Director for destruction. The quantities of archival records acquired and time-expired records destroyed fluctuate over the years depending on the nature of business of individual B/Ds as well as the numbers of records to be disposed of in a year. Our reply to the question raised is as follows –

- a. The quantity of bureaux/departments' (B/Ds) records approved for destruction in the past 5 years are set out in the table below –

Year	Quantity in linear metre
2012	42 123
2013	43 745
2014	89 277 [#]
2015	61 418
2016	56 633

[#] The quantity of records approved for destruction in 2014 was higher because several B/Ds accumulated large amounts of time-expired records for disposal. Such records included arrival or departure cards, case files relating to immigration matters, tax assessment and tax returns, as well as various routine reports generated by information systems.

Under the current records management system, B/Ds are required to obtain the prior agreement of the GRS Director before destruction of their time-expired records. Individual B/Ds are responsible for deployment of their own resources to carry out destruction of such records in accordance with a set of mandatory procedures. Hence, GRS does not have information on the expenditure incurred by B/Ds for the destruction of their records over the past 5 years.

- b. The quantity of archival records newly acquired by GRS for preservation, those already kept by GRS and the expenditure on preservation over the past 5 years are listed below -

Year	Quantity of archival records newly acquired (linear metre)	Quantity of archival records already kept by GRS (linear metre)	Expenditure (\$M)
2012	356	16 878	11.8
2013	370	17 234	15.4
2014	596	17 604	18.7
2015	808	18 200	22.1
2016	620	19 008	21.9

In general, there has been an upward trend for archival records acquired by GRS since 2012. At the same time, GRS has deployed additional resources as appropriate to deal with the increase in appraisal and preservation work.

- End -

CONTROLLING OFFICER'S REPLY

CSO025

(Question Serial No. 1512)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

1. What are the expenditure and contents of the publicity programmes to promote the services of the Government Records Service (GRS) among the public in 2017-18?
2. A provision of \$290,000 was earmarked for the procurement of archival records relating to Hong Kong from other places in 2016-17. What is the progress of procurement? What are the contents of the records?
3. Does GRS have any plans to procure archival records relating to Hong Kong from different places in 2017-18? Please provide information on the expenditure involved and the relevant details. Besides, in the course of procurement, will the Government set up a mechanism for GRS to heed and consider suggestions from the public or the academic sector on procuring suitable records?
4. Recently, some members of the public alleged that some of the Government records on the 1967 riots were found to be no longer existing when they accessed such records. Have all records on the 1967 riots been transferred to GRS? Under what circumstances are records kept by GRS transferred elsewhere? Would GRS provide the relevant record of transfer?

Asked by: Hon MA Fung-kwok (Member Question No. 80)

Reply:

1. The expenditure and details of the publicity and educational programmes to be implemented by the Government Records Service (GRS) in 2017-18 are set out below -

Year	Publicity and educational programmes	Expenditure (\$ million)
2017-18	<p>GRS plans to –</p> <ul style="list-style-type: none"> - organise at least 30 group visits to GRS; - conduct a series of educational workshops to help teachers and students to use the archival holdings kept in GRS; - organise a series of thematic film shows; - launch a thematic exhibition together with an on-line Reference Resources Pages; - organise roving exhibitions in Ping Shan Tin Shui Wai Public Library, Chai Wan Public Library, Sha Tin Public Library and Hong Kong Central Library; - participate in a cultural and historical project with another institution; - enrich the contents of the Educational Resources Portal to attract more people to view the digitised holdings and information; - digitise popular and frequently-accessed items; and - broadcast an Announcement for Public Interest to promote the services provided by GRS and public appreciation of Hong Kong's documentary heritage. 	1.74 (estimated)

2. In 2016-17, 334 digitised records relating to Hong Kong were acquired from the National Archives of the UK (TNA). They are mainly from 6 record series. Details are as follows –

	Series title	Covering years
(a)	Foreign Office and Foreign and Commonwealth Office: Far Eastern Department: Registered Files (F and FE Series)	1979-1982
(b)	Commonwealth Office and Foreign and Commonwealth Office: Hong Kong Departments: Registered Files, Hong Kong, British Honduras, British Indian Ocean Territories and the Seychelles (HW and HK Series)	1978-1985
(c)	Colonies, General: Original Correspondence	1916-1917
(d)	Colonial Office and predecessors: Maps and Plans: Series I	1865-1903
(e)	Colonial Office and successors: Photographic Collection	1860-1969
(f)	War and Colonial Department and Colonial Office: Hong Kong, Original Correspondence	1926

The selected records cover a wide range of subjects relating to Hong Kong, such as future of Hong Kong, Basic Laws, Sino-British Joint Liaison Group, nationality and citizenship, constitutional development and reforms, political and leading personalities, ministerial and officials' visits, internal political situation, international relations, Vietnamese refugees, plans and photographs. Among the 334 records, 190 records were made available for public inspection in December 2016. The remaining records were received from TNA in February 2017. They will be made available for public inspection in the second quarter of 2017 after completion of records description and arrangement.

3. GRS has an established system to keep track of new releases of archival records relating to Hong Kong by TNA and other major overseas archives. GRS also collects the views of service users, in particular those of the academic and educational circles, on acquisition of archival materials through user surveys and other means in the formulation of the procurement plan. In 2017-18, GRS will continue to identify archival records relating to Hong Kong from TNA and other archives and acquire copies of such records in order to enrich its holdings. An amount of \$0.30 million has been earmarked in the estimates for the purpose.
4. Under the current records management system, bureaux and departments (B/Ds) are required to transfer their time-expired records to GRS for appraisal according to the respective disposal schedules. GRS appraises government records with due care to ensure that those with archival value will be identified and preserved permanently for public access. At present, GRS keeps some 300 archival records relating to 1967 riots transferred from B/Ds.

In accordance with the Public Records (Access) Rules 1996, the public are allowed access to archival records which have been in existence for not less than 30 years or the contents of which have at any time been published. All archival records for public access have to be inspected in Search Room in GRS and must not be removed from the Search Room or other designated reference service area in GRS. If B/Ds have operational needs for making reference to the original records, they may apply to GRS for borrowing their transferred archival records for a period not exceeding 3 months. In exceptional circumstances, B/Ds may apply to borrow their transferred archival records for a longer period, such as for use in court cases. Full justifications and endorsement of a directorate officer of the B/D concerned are required to support their applications. If their applications are approved, B/Ds are required to take necessary measures to safeguard the on-loan archival records from any loss, damage or tampering. In this regard, GRS provides guidelines and assistance to B/Ds on protecting archival records while the records are temporarily kept in B/Ds' premises. GRS maintains full circulation and loan records on archival records inspected by the public in the Search Room or on loan to B/Ds to ensure that these permanent archival holdings would not be out of trace and would be returned to GRS' archival repository for preservation as soon as practicable.

- End -

CONTROLLING OFFICER'S REPLY

CSO027

(Question Serial No. 1826)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

The Government Records Service (GRS) administers government records efficiently by formulating and implementing policies and plans for records management and archives administration as well as providing storage and disposal services for inactive records.

- (a) Has GRS developed a series of criteria for the disposal of records? If yes, what are the details? If not, what are the reasons?
- (b) Please advise on the quantity (linear metre) of records destroyed by GRS and the expenditure incurred over the past 3 years. Has provision been made in the 2017-18 Financial Year for the above-mentioned item? If yes, what are the details?
- (c) There are many views in the community that the Government should enact an archives law immediately. The Law Reform Commission (LRC) has set up a sub-committee to study the subject of archives law and it is mentioned that the Government has been using, in lieu of legislation, administrative directives, guidelines and publications to regulate the management of government records. Would the Government advise on the contents of the administrative directives, guidelines and publications? What are the reasons for the use of administrative directives, guidelines and publications in lieu of legislation? Would there be plans to enact an archives law in the 2017-18 Financial Year?

Asked by: Hon MO Claudia (Member Question No. 5)

Reply:

- (a) Based on the experience of and standards adopted by other overseas jurisdictions, the Government Records Service (GRS) has established the following criteria to select government records with archival value –
 - (i) records documenting or reflecting the organisation, functions and activities of the Government;

- (ii) records documenting the formation process, implementation and outcome of significant policies, decisions, legislation and actions of the Government;
- (iii) records documenting the impact of the decisions, policies and programmes of the Government upon the physical environment, community, organisations and individuals;
- (iv) records documenting the interaction between the public and the Government as well as between the physical environment and the Government;
- (v) records documenting the legal rights and obligations of individuals, groups, organisations and the Government; and
- (vi) records that 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.

GRS appraises government records with due care to ensure that those with archival value are identified and preserved permanently.

- (b) The quantity of bureaux/departments' (B/Ds) records approved for destruction in the past 3 years are set out in the table below –

Year	Quantity in linear metre
2014	89 277
2015	61 418
2016	56 633

Under the current records management system, B/Ds are required to obtain the prior agreement of the GRS Director before destruction of their time-expired records. Individual B/Ds are responsible for deployment of their own resources to carry out destruction of such records in accordance with a set of mandatory procedures. Hence, GRS does not have information on the expenditure incurred by B/Ds for the destruction of their records over the past 3 years, nor the provisions made for such purpose in 2017-18.

- (c) The Government fully recognises the importance of records management and is committed to identifying and preserving government records having archival value. The Government has put in place comprehensive administrative arrangements to regulate the management of government records. GRS is tasked to oversee the overall management of government records and ensure that government records are properly managed and those with archival value are preserved for public access. While Hong Kong has not implemented an archives law at present, the essential principles of records management adopted internationally have been implemented in Hong Kong through administrative arrangements. These principles include promulgation of recordkeeping standards; designation of obligations and

responsibilities of government agencies relating to creating, keeping, maintaining and protecting government records; destruction of records to be subject to prior authorisation of archival authority; setting out responsibility for safe custody and conservation of archival materials; and provision for public access to public records.

When developing the present records management system, we have made reference to those of different countries and regions such as the United Kingdom, the United States and Australia, etc., and adopted internationally recognised standards and practices. As an on-going effort, the Government keeps the current administrative arrangements under review and will improve on them as and when appropriate.

With a view to assisting B/Ds to properly manage their own records, the Government has promulgated a wide range of publications and circulars in relation to records management. Some of the key ones are listed below –

- (i) the Records Management Manual - the manual provides guidance and instructions for proper and coordinated management of government records. It prescribes the code of practices required for the establishment of a comprehensive records management programme in B/Ds;
- (ii) General Circulars and Circular Memoranda - they cover a wide range of records and archives management issues, such as mandatory records management requirements and good practices, framework for records management review, guidelines on creation and collection of records, and establishment of departmental records management policies;
- (iii) records management publications - they set out guidelines for B/Ds to perform the full range of records management processes from records creation and collection, filing, classification to disposal and microfilming; and
- (iv) electronic records management (ERM) publications - they provide guidance on various aspects of ERM, such as functional requirements, implementation and evaluation of electronic recordkeeping system, metadata standard, management and preservation of electronic records, management of records in a hybrid environment.

The Law Reform Commission (LRC) set up a Sub-committee in 2013 to study the subject of archives law. The Sub-committee is studying the existing system and the laws of other jurisdictions, and will conduct public consultation at a later stage, with a view to making appropriate recommendations on possible options for reform if need be. The Government will examine carefully the recommendations to be made by LRC before mapping out the way forward.

- End -

CONTROLLING OFFICER'S REPLY

CSO028

(Question Serial No. 1974)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Regarding the promotion in Government of electronic records management and the provision of support and assistance to the bureaux and departments, please provide the following information:

1. Please list in the table below information on training and advisory services that the Government Records Service (GRS) provided to Government bureaux and departments in the past 5 years:

Year	Bureau/Department (in alphabetical order)	Number of government records management training courses	Number of topical records management training courses	Number of staff who have taken government records management training courses	Rank distribution of staff (from high to low) who have taken government records management training courses	Number of staff who have taken government records management training courses more than once	Topic areas of training courses
2012							
2013							
2014							
2015							
2016							

2. Please list in the table below information regarding the numbers of public requests for government records in the past 5 years:

Year	Number of requests for government records	Number of successful requests for government records	Number of failed requests for government records	Reasons for failed requests for government records
2012				
2013				
2014				
2015				
2016				

3. Please list in the table below information on the transfer of government records to GRS for retention in the past 5 years:

Year	Number of bureaux/departments that have transferred records for retention	Number and linear metres of records retained	Number and linear metres of records approved for destruction	Number of electronic records retained through the electronic recordkeeping system (please list by department)
2012				
2013				
2014				
2015				
2016				

4. The estimate of the GRS for 2017-18 is 5.8% lower than the revised estimate for 2016-17. What are the reasons? What are the details of the additional establishment and consultancy services in 2017-18?

Asked by: Hon MOK Charles Peter (Member Question No. 40)

Reply:

1. The information on training and advisory services that the Government Records Service (GRS) provided to Government bureaux and departments (B/Ds) in the past 5 years are as follows –

Year	Number of government records management training courses	Number of topical records management training courses	Number of staff taken government records management training courses	Rank distribution of staff (from high to low) who have taken government records management training courses	Topic areas of training courses
2012	74	5	2 871 (Note 1)	D1 MPS 49 to MPS 1 or equivalent <i>Note:</i> D: <i>Directorate Pay Scale Point</i> MPS: <i>Master Pay Scale Point</i>	Over the past 5 years, GRS held regular and topical training courses/workshops/seminars for records managers, registry supervisors and records users year round, covering the following topic areas - <u>Regular courses</u> a. records management overview b. classification and coding c. creation and collection d. filing practices e. scheduling and disposal f. management of administrative and programme records g. storage, custody, access control and tracking, and preservation h. introduction of electronic records management (ERM) and electronic recordkeeping system (ERKS)
2013	74	10	3 232 (Note 2)	DL2 MPS 49 to MPS 1 or equivalent <i>Note:</i> DL: <i>Directorate (Legal) Pay Scale Point</i>	
2014	70	32	4 690 (Note 3)	DL2 MPS 46 to MPS 1 or equivalent	
2015	77	13	3 744 (Note 4)	MPS 49 to MPS 1 or equivalent	<u>Topical courses</u> a. departmental records management policy b. mandatory records

Year	Number of government records management training courses	Number of topical records management training courses	Number of staff taken government records management training courses	Rank distribution of staff (from high to low) who have taken government records management training courses	Topic areas of training courses
2016	73	13	4 144 (Note 5)	D2 MPS 49 to MPS 1 or equivalent	management requirements and good practices c. establishment of business rules (in 2014 and 2015) d. vital records protection e. prevention of loss and unauthorised destruction of records f. archival records management g. key concept of ERM h. implementation of ERKS

We have not kept information on the number of staff who has taken the government records management training courses more than once.

Note 1 - B/Ds involved (*in alphabetical order*): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Central Policy Unit, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau and Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Laboratory, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Monetary Authority, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Intellectual Property Department, Invest Hong Kong, Joint Secretariat for the Advisory

Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department and Student Financial Assistance Agency

Note 2 – B/Ds involved (*in alphabetical order*): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Central Policy Unit, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau and Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Laboratory, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Monetary Authority, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Intellectual Property Department, Invest Hong Kong, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department and Student Financial Assistance Agency

Note 3 – B/Ds involved (*in alphabetical order*): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Central Policy Unit, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department,

Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau and Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Laboratory, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Monetary Authority, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Intellectual Property Department, Invest Hong Kong, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department and Student Financial Assistance Agency

Note 4 – B/Ds involved (*in alphabetical order*): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau and Environmental Protection Department, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Laboratory, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Monetary Authority, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Intellectual Property Department, Invest Hong Kong, Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport), Transport Department,

Treasury, University Grants Committee Secretariat, Water Supplies Department and Student Financial Assistance Agency (before 1 March 2015) / Working Family and Student Financial Assistance Agency (from 1 March 2015 onwards)

Note 5 – B/Ds involved (*in alphabetical order*): Agriculture, Fisheries and Conservation Department, Architectural Services Department, Audit Commission, Auxiliary Medical Service, Buildings Department, Census and Statistics Department, Central Policy Unit, Chief Executive's Office, Chief Secretary for Administration's Office, Civil Aid Service, Civil Aviation Department, Civil Engineering and Development Department, Civil Service Bureau, Commerce and Economic Development Bureau, Companies Registry, Constitutional and Mainland Affairs Bureau, Correctional Services Department, Customs and Excise Department, Department of Health, Department of Justice, Development Bureau, Drainage Services Department, Education Bureau, Electrical and Mechanical Services Department, Environment Bureau and Environmental Protection Department, Financial Secretary's Office, Financial Services and the Treasury Bureau, Fire Services Department, Food and Environmental Hygiene Department, Food and Health Bureau, Government Flying Service, Government Laboratory, Government Logistics Department, Government Property Agency, Highways Department, Home Affairs Bureau, Home Affairs Department, Hong Kong Observatory, Hong Kong Police Force, Hongkong Post, Immigration Department, Independent Commission Against Corruption, Information Services Department, Inland Revenue Department, Innovation and Technology Bureau, Intellectual Property Department, Judiciary, Labour and Welfare Bureau, Labour Department, Land Registry, Lands Department, Legal Aid Department, Leisure and Cultural Services Department, Marine Department, Office of the Communications Authority, Official Receiver's Office, Planning Department, Public Service Commission, Radio Television Hong Kong, Rating and Valuation Department, Registration and Electoral Office, Secretariat, Commissioner on Interception of Communications and Surveillance, Security Bureau, Social Welfare Department, Trade and Industry Department, Transport and Housing Bureau (Housing)/Housing Department, Transport and Housing Bureau (Transport), Transport Department, Treasury, University Grants Committee Secretariat, Water Supplies Department and Working Family and Student Financial Assistance Agency

2. The information regarding the numbers of public requests for archival records kept by GRS in the past 5 years are as follows –

Year	Number of requests for archival records (see Note)	Number of successful requests for archival records	Number of failed requests for archival records	Reasons for failed requests for archival records
2012	1 621	1 617	0	Not applicable
2013	1 941	1 939	0	Not applicable
2014	1 932	1 932	0	Not applicable

Year	Number of requests for archival records (see Note)	Number of successful requests for archival records	Number of failed requests for archival records	Reasons for failed requests for archival records
2015	2 124	2 122	1	Access to the record concerned was refused on grounds of paragraph 2.3(b) of the Code on Access to Information i.e. information the disclosure of which would harm or prejudice Hong Kong's security.
2016	2 375	2 372	0	Not applicable

Note:

- a. In 2012, 4 cases were withdrawn by the applicants.
- b. In 2013, 2 cases were withdrawn by the applicants.
- c. In 2015, 1 case was withdrawn by the applicant.
- d. In 2016, 3 cases were withdrawn by the applicants.

3. Disposal of government records is made by B/Ds having regard to the administrative, operational, fiscal and legal requirements and archival values of the records. All requests for destruction of records are processed in accordance with the requirements set out in the corresponding records retention and disposal schedules approved by GRS. The decision as to whether records were of no archival value or having potential archival value had been made a few years back when the relevant disposal schedules were drawn up. For time-expired records having no archival value, the GRS Director's agreement would be required prior to their physical destruction. For those having potential archival value, they would be appraised again by GRS. Time-expired records having archival value would be identified and transferred to GRS for permanent retention, and only those confirmed to be of no archival value would be agreed by the GRS Director for destruction. The quantities of archival records acquired and time-expired records destroyed fluctuate over the years depending on the nature of business of individual B/Ds as well as the numbers of records to be disposed of in a year.

The information on the transfer of government records to GRS for retention and records approved for destruction in the past 5 years are as follows –

Year	Number of B/Ds that have transferred their records for retention	Records Retained		Records approved for destruction		Number of electronic records retained through the electronic recordkeeping system (please list by department) ^b
		No.	Linear Metre	No. ('000) ^a	Linear Metre	
2012	32	23 687	356	-	42 123	0
2013	36	24 127	370	60 945	43 745	0
2014	55	45 715	596	92 197	89 277 ^c	0
2015	56	28 528	782	104 900	61 418	0
2016	49	45 318	620	102 784	56 633	0

^a The quantity of records approved for destruction before 2013 were counted in terms of linear metre.

^b Since electronic recordkeeping systems (ERKS) have only been implemented in a few bureaux/departments since 2010, the electronic records in their ERKS are not yet due for transfer to GRS for retention.

^c The quantity of records approved for destruction in 2014 was higher because several B/Ds accumulated large amounts of time-expired records for disposal. Such records included arrival or departure cards, case files relating to immigration matters, tax assessment and tax returns, as well as various routine reports generated by information systems.

4. The reduction in provision for 2017-18 is mainly due to lapse of provision for replacement of equipment and anticipated reduction in general departmental expenses ^(see note below), partly offset by the net increase of 4 posts to meet operational needs, filling of vacancies, salary increment for staff and anticipated increase in expenditure for hire of services. The net increase of 4 posts includes creation of 3 Printing Technician II posts and 3 Photographer II posts offset by deletion of 1 Senior Executive Officer (SEO) post and 1 Clerical Assistant (CA) post. The 6 new posts will be deployed to enhance the work relating to the mass digitalisation of archival records. As for the 2 posts to be deleted, the SEO post will complete the tasks for a time-limited project on review of records management publications and guidelines, while the CA post will complete an ad hoc task for accessioning of motion pictures. Hence, there is no need to retain the 2 posts after 2016-17. In the 2017-18 estimate, we have not made any provision for consultancy service.

^{Note} The replacement of equipment has already been completed in 2016-17. Hence the provision will no longer be required in 2017-18.

- End -

CONTROLLING OFFICER'S REPLY

CSO029

(Question Serial No. 1976)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

In terms of supporting the Government Records Service and the Office of the Government Chief Information Officer to develop the best practices for the implementation of the electronic recordkeeping system (ERKS), please advise on the following:

- (1) What are the names of the software and hardware used by the government departments which have developed and adopted ERKS?
- (2) Have any criteria and indicators been set for reviewing the pilot projects carried out in the various departments in the development of ERKS? If so, what are the specific success criteria and indicators? What are the review results ?
- (3) Regarding the government departments participating in the second phase of the development of ERKS, what are the contract award dates, the sums involved in these contracts, the names of the contractors and the software and hardware adopted? What is the scheduled date of completion of development and the amount of operating expenditure required?
- (4) Has there been any evaluation done on the cost-effectiveness of developing a whole new ERKS as opposed to adopting a similar system currently available in the market for customisation to the needs of departments? If yes, what are the results?

Asked by: Hon MOK Charles Peter (Member Question No. 42)

Reply:

- (1) Three software packages, namely Documentum, FileNet and OpenText, have been adopted for the first phase of Electronic Recordkeeping System (ERKS) implementation in the 5 participating departments, i.e. the Efficiency Unit, Government Records Service, Communications and Creative Industries Branch of the Commerce and Economic Development Bureau, Rating and Valuation Department and

Drainage Services Department. Different kinds of hardware components commonly available in the commercial market are adopted by these departments.

- (2) The Government conducted an initial assessment and review on the ERKS implementation in the 5 participating departments in 2014. The review criteria included the implementation experience, as well as costs incurred and benefits, such as savings in manpower, paper, rental for file storage space, etc. The results showed that all the 5 departments had successfully implemented their ERKS, effectively minimising the problem of duplicate filing in different units of the department and gradually reducing paper consumption and file storage space.
- (3) The following contracts at a total value of \$115.6 million were awarded in late 2015 to early 2016 for the second phase of ERKS implementation in 6 departments -

Contractor	Departments	Electronic recordkeeping software package	Contract value (HK\$ million)
1. Automated Systems (H.K.) Limited	Intellectual Property Department (IPD) Office of the Government Chief Information Officer (OGCIO)	Documentum	40.8
2. Azeus Systems Limited	Civil Engineering and Development Department (CEDD)	Azeus Business Components	33.0
3. Global Technology Integrator Limited	Architectural Services Department (ArchSD) Marine Department (MD)	HP Records Manager	36.3
4. Computer and Technologies Solutions Limited and Nexify Limited	Administration Wing (Admin Wing)	OpenText	5.5

The first 3 contracts cover one-time implementation costs and costs for maintenance and support services for a period of 10 years. The fourth contract covers one-time implementation costs whereas the costs for maintenance and support services are subject to the result of the respective procurement exercises. These systems adopt different kinds of hardware components commonly available in the commercial market. Implementations of ERKS have been completed in IPD and OGCIO before the end of 2016 while the ERKS for Admin Wing is being rolled out by phases from

December 2016 to March 2017. The ERKS for the remaining departments, namely ArchSD, CEDD and MD, are being implemented progressively from March 2017 to January 2020.

- (4) In 2016, OGCIO conducted a Request for Information exercise to explore using bespoke development approach to implement ERKS as an alternative to the package-cum-customisation approach. It was found that the estimated costs of using the 2 approaches are broadly comparable, but the bespoke approach will require a much longer implementation time than the package-cum-customisation approach.

- End -

CONTROLLING OFFICER'S REPLY

CSO051

(Question Serial No. 3537)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Will the Government allocate resources in 2017-18 to conduct studies or consultations on the enactment of the archives law? If yes, what are the relevant work plan, timetable and estimated expenditure? If no, what are the reasons?

Asked by: Hon CHAN Tanya (Member Question No. 312)

Reply:

The Government fully recognises the importance of records management and is committed to identifying and preserving government records having archival value. The Government has put in place comprehensive administrative arrangements to regulate the management of government records. The Government Records Service (GRS) is tasked to oversee the overall management of government records and ensure that government records are properly managed and those with archival value are preserved for public access. While Hong Kong has not implemented an archives law at present, the essential principles of records management adopted internationally have been implemented in Hong Kong through administrative arrangements. These principles include promulgation of recordkeeping standards; designation of obligations and responsibilities of government agencies relating to creating, keeping, maintaining and protecting government records; destruction of records to be subject to prior authorisation of archival authority; setting out responsibility for safe custody and conservation of archival materials; and provision for public access to public records.

The Law Reform Commission (LRC) set up a Sub-Committee in 2013 to study the subject of archives law. The Sub-Committee has been conducting monthly meetings to study the existing system and the laws of other jurisdictions, and will conduct public consultation at a later stage, with a view to making appropriate recommendations on possible options for reform if need be. Given the complexity of the issues involved, as well as the local and comparative research and analysis required, the Sub-committee has not yet set a timetable for completion of the study. As part of their ongoing work, GRS staff have been actively

participating in the LRC study, especially on the comparative analysis of relevant overseas legislation, hence, no separate provision has been made for such work in 2017-18. The Government will examine carefully the recommendations to be made by LRC, before mapping out the way forward.

- End -

CONTROLLING OFFICER'S REPLY

CSO052

(Question Serial No. 3538)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Regarding the records management work of policy bureaux and departments, will the Government inform this Committee of the following:

- a) Over the past 3 years, what are the respective quantities of documents transferred to the Government Records Service (GRS) for handling by policy bureaux and departments? Please provide a breakdown of the quantities of documents transferred for handling by policy bureaux and departments in each year.
- b) Over the past 3 years, what are the respective quantities of records approved for destruction after being transferred to GRS for appraisal by policy bureaux and departments? Please provide a breakdown of such quantities of records by policy bureaux and departments in each year.
- c) Over the past 3 years, what are the respective quantities of records destroyed by policy bureaux and departments without being transferred to GRS for appraisal? Please provide a breakdown of such quantities of records by policy bureaux and departments in each year.
- d) As at the end of February 2017, how many records are the backlog in 2015-16 or earlier not yet cleared by GRS? When will the Government expect to clear all such backlog? Will the Government further increase the manpower of GRS to clear the backlog? If yes, what are the relevant details? If no, what are the reasons?

Asked by: Hon CHAN Tanya (Member Question No. 313)

Reply:

a) & b)

The breakdown by policy bureaux and departments (B/Ds) on the number of government records handled, preserved and approved for destruction by the Government Records Service (GRS) in the past 3 years are set out in the tables below-

2014

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Agriculture, Fisheries and Conservation Department	103	75	4 340
Architectural Services Department	2 128	8 213	9 879
Audit Commission	1 225	342	883
Auxiliary Medical Service	21	21	1 280
Buildings Department	4	0	779 897
Census and Statistics Department	0	0	5 545 074
Central Policy Unit	35	34	251
Chief Executive's Office	390	83	532
Chief Secretary for Administration's Office	48	24	16 525
Civil Aid Service	0	0	5
Civil Aviation Department	94	20	74
Civil Engineering and Development Department	15 508	234	18 243

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Civil Service Bureau	548	350	70 773
Commerce and Economic Development Bureau	2 841	2 080	2 566
Companies Registry	0	25	5 420 473
Constitutional and Mainland Affairs Bureau	64	61	2 133
Correctional Services Department	519	2	51 325
Customs and Excise Department	186	59	2 640 727
Department of Health	881	8	1 529 282
Department of Justice	26 555	0	56 006
Development Bureau	77	12	863
Drainage Services Department	916	19	9 323
Education Bureau	3 283	69	70 079
Electrical and Mechanical Services Department	404	0	255 469
Environment Bureau / Environmental Protection Department	0	0	16 764
Financial Secretary's Office	81	23	194
Financial Services and the Treasury Bureau	4 180	738	4 419

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Fire Services Department	3 599	0	77 747
Food and Environmental Hygiene Department	16 395	669	237 300
Food and Health Bureau	8	0	898
Government Flying Service	0	0	354
Government Laboratory	0	0	20 233
Government Logistics Department	2 168	0	40 809
Government Property Agency	46	10	172
Highways Department	11 556	9	53 417
Home Affairs Bureau	357	29	1 827
Home Affairs Department	11 948	296	22 082
Hong Kong Monetary Authority	89	89	0
Hong Kong Observatory	2	1	1
Hong Kong Police Force	22 079	1 347	1 399 253
Hongkong Post	31	350	1 613
Immigration Department	474 715	25	39 189 873
Independent Commission Against Corruption	613	52	561

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Information Services Department	2 211	2 309	750
Inland Revenue Department	317 005	8	24 370 906
Intellectual Property Department	7 039	0	11 418
Invest Hong Kong	744	16	728
Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service	44	40	4
Judiciary	23	19 960	11 166
Labour and Welfare Bureau	511	8	503
Labour Department	658	205	880 559
Land Registry	998	0	1 420
Lands Department	1 807	2	489 004
Legal Aid Department	106 023	0	136 265
Leisure and Cultural Services Department	1 974	52	334 662
Marine Department	519	52	2 143 624
Office of the Communications Authority	66	1 652	2 947
Official Receiver's Office	5 666	0	11 950
Planning Department	1 000	302	12 201

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Public Service Commission	28	2	586
Radio Television Hong Kong	0	526	752
Rating and Valuation Department	34	1	21 849
Registration and Electoral Office	510	0	323 621
Security Bureau	251	1	23 580
Social Welfare Department	8 067	4 416	421 592
Student Financial Assistance Agency	226	1	368 375
Trade and Industry Department	449	26	4 051 765
Transport and Housing Bureau (Housing) / Housing Department	45 307	730	383 222
Transport and Housing Bureau (Transport Branch)	204	1	636
Transport Department	70	3	630 047
Treasury	381	33	2 976
Water Supplies Department	56	0	6 823
Total	1 105 568	45 715	92 197 450

2015

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Agriculture, Fisheries and Conservation Department	1 321	394	29 378
Architectural Services Department	2	0	10 421
Audit Commission	808	376	459
Auxiliary Medical Service	0	0	42
Buildings Department	0	0	31 412
Census and Statistics Department	961	294	5 616 968
Central Policy Unit	16	2	14
Chief Executive's Office	26	67	255
Chief Secretary for Administration's Office	631	252	4 821
Civil Aid Service	8	1	7
Civil Aviation Department	0	0	69
Civil Engineering and Development Department	4 672	415	12 874
Civil Service Bureau	1 662	81	121 724
Commerce and Economic Development Bureau	4 352	1 789	29 757
Companies Registry	0	0	6 726 250

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Constitutional and Mainland Affairs Bureau	2	0	41
Correctional Services Department	179	52	56 727
Customs and Excise Department	268	99	537 642
Department of Health	488	104	2 275 589
Department of Justice	246	81	6 389
Development Bureau	63	39	256
Drainage Services Department	3 676	389	6 319
Education Bureau	6 087	1 798	93 851
Electrical and Mechanical Services Department	239	12	61 984
Environment Bureau / Environmental Protection Department	97	15	4 025 999
Financial Services and the Treasury Bureau	3 724	1 025	6 249
Fire Services Department	1 031	95	2 212 713
Food and Environmental Hygiene Department	2 951	177	648 338
Food and Health Bureau	520	54	858
Government Flying Service	12	1	510

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Government Logistics Department	91	8	5 216
Government Property Agency	20	19	1
Highways Department	3 185	807	52 281
Home Affairs Bureau	4 300	604	151 256
Home Affairs Department	8 015	944	45 768
Hong Kong Monetary Authority	0	0	3
Hong Kong Observatory	20	19	1
Hong Kong Police Force	63 697	7 383	1 206 215
Hongkong Post	832	217	59 581
Immigration Department	1 046	284	34 090 744
Independent Commission Against Corruption	0	0	5 031
Information Services Department	438	368	9 091
Inland Revenue Department	0	0	35 733 290
Innovation and Technology Bureau (established in November 2015)	0	0	135
Intellectual Property Department	0	0	82 932
Invest Hong Kong	0	0	614

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service	304	125	445
Judiciary	237	50	293
Labour and Welfare Bureau	396	175	985
Labour Department	1 334	275	704 444
Land Registry	2 219	327	2 341
Lands Department	11 458	85	11 915
Legal Aid Department	24	7	33 142
Leisure and Cultural Services Department	8 088	4 276	252 630
Marine Department	150	22	2 329 362
Office of the Communications Authority	225	21	32 939
Official Receiver's Office	42	0	5 591
Planning Department	1 175	851	7 997
Public Service Commission	0	0	205
Radio Television Hong Kong	1 599	860	1 212
Rating and Valuation Department	492	207	51 865
Registration and Electoral Office	34	34	177 290

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Secretariat, Commissioner on Interception of Communications and Surveillance	0	0	4
Security Bureau	1 494	511	2 794
Social Welfare Department	1 282	834	270 283
Trade and Industry Department	1 528	342	5 317 275
Transport and Housing Bureau (Housing) / Housing Department	6 669	509	161 356
Transport and Housing Bureau (Transport Branch)	70	0	131
Transport Department	579	169	396 288
Treasury	3 884	572	30 352
University Grants Committee Secretariat	14	11	108
Water Supplies Department	14	0	4 494
Working Family and Student Financial Assistance Agency (established in March 2015)	14	0	1 139 904
Total	159 011	28 528	104 895 720

2016

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Agriculture, Fisheries and Conservation Department	31	10	60 274
Architectural Services Department	203	5 303	4 813
Audit Commission	0	0	2 374
Auxiliary Medical Service	2	0	633
Buildings Department	137	0	131 484
Census and Statistics Department	0	0	5 314 747
Central Policy Unit	26	26	2 204
Chief Executive's Office	20 449	11	20 717
Chief Secretary for Administration's Office	183	34	2 813
Civil Aid Service	0	0	251
Civil Aviation Department	32	5	61 619
Civil Engineering and Development Department	38	0	10 805
Civil Service Bureau	72	62	41 731
Commerce and Economic Development Bureau	7	0	1 570
Companies Registry	4	4	1 900 697

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Constitutional and Mainland Affairs Bureau	0	0	112
Correctional Services Department	74	5	92 033
Customs and Excise Department	2 222	2 211	4 518 502
Department of Health	1 422	1 099	4 220 142
Department of Justice	2 329	0	4 590
Development Bureau	4	3	4 668
Drainage Services Department	891	0	14 979
Education Bureau	666	42	64 979
Electrical and Mechanical Services Department	429	74	257 768
Environment Bureau / Environmental Protection Department	240	18	20 723
Financial Secretary's Office	64	16	48
Financial Services and the Treasury Bureau	1 796	1 302	1 926
Fire Services Department	126	14	555 275
Food and Environmental Hygiene Department	102	18	886 621
Food and Health Bureau	47	5	432

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Government Flying Service	301	95	392
Government Laboratory	0	0	19 799
Government Logistics Department	8	1	3 319
Government Property Agency	0	0	268
Highways Department	621	0	60 779
Home Affairs Bureau	284	185	77 067
Home Affairs Department	2 314	228	32 937
Hong Kong Monetary Authority	2	2	35
Hong Kong Observatory	13	0	90
Hong Kong Police Force	7 575	29	1 289 471
Hongkong Post	60	3	111 473
Immigration Department	158 306	39	42 768 156
Independent Commission Against Corruption	41	4	4 819
Information Services Department	41	16	1 039
Inland Revenue Department	110	21	25 944 335
Innovation and Technology Bureau	209	160	9 230

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Intellectual Property Department	2	2	7 112
Invest Hong Kong	273	43	289
Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service	0	0	168
Judiciary	410	30 143	9 792
Labour and Welfare Bureau	0	0	93
Labour Department	957	46	877 707
Land Registry	82	0	925 373
Lands Department	4	0	7 057
Legal Aid Department	162	4	30 139
Leisure and Cultural Services Department	3 032	92	1 066 199
Marine Department	296	843	8 349
Office of the Communications Authority	584	6	5 664
Official Receiver's Office	12 335	0	12 473
Planning Department	18	0	15 227
Public Service Commission	39	1	732
Radio Television Hong Kong	0	0	115

B/Ds	Number of records		
	Appraised	Transferred to GRS for permanent preservation	Approved for destruction#
Rating and Valuation Department	5 476	0	73 753
Registration and Electoral Office	1 018	8	983 855
Secretariat, Commissioner on Interception of Communications and Surveillance	0	0	7
Security Bureau	87	9	731
Social Welfare Department	997	2 628	369 311
Trade and Industry Department	0	0	5 201 315
Transport and Housing Bureau (Housing) / Housing Department	6 440	44	182 342
Transport and Housing Bureau (Transport Branch)	0	0	69
Transport Department	393	121	4 027 359
Treasury	0	0	45 557
University Grants Committee Secretariat	14	11	26
Water Supplies Department	510	256	7 221
Working Family and Student Financial Assistance Agency	30	16	403 427
Total	234 640	45 318	102 784 201

Disposal of government records is made by bureaux/departments (B/Ds) having regard to the administrative, operational, fiscal and legal requirements and archival values of the records. All requests for destruction of records are processed in accordance with the requirements set out in the corresponding records retention and disposal schedules approved by GRS. The decision as to whether records were of no archival value or having potential archival value had been made a few years back when the relevant disposal schedules were drawn up. For time-expired records having no archival value, the GRS Director's agreement would be required prior to their physical destruction. Time-expired records having archival value would be identified and transferred to GRS for permanent retention, and only those confirmed to be of no archival value would be agreed by the GRS Director for destruction.

c) In the past 3 years, GRS received 8 reports of unauthorised destruction of government records from B/Ds. The respective number of records destroyed is tabulated below –

Year	B/D	No. of reports	No. of records involved
2014	Fire Services Department	2	355
	Water Supplies Department	1	340
2015	Hong Kong Observatory	1	988
2016	Education Bureau	1	2
	Fire Services Department	1	17
	Highways Department	1	105
	Hong Kong Police Force	1	1 245

d) GRS had cleared the backlog for records appraisal in 2015 as planned. GRS constantly received disposal requests from B/Ds and we need to appraise the records concerned to determine whether they possess archival value for permanent retention. The time required for the appraisal work will vary for each disposal request depending on the amount of time-expired records transferred from B/Ds for appraisal concurrently and that of the nature and number of records which are of the same series and/or related to each other. In 2016, GRS appraised 107 186 records (excluding cases with large quantities of records). As at end of February 2017, the number of records pending appraisal was 23 000.

We keep the work relating to appraisal of records under constant review. In 2017-18, GRS will continue with its ongoing efforts in appraising the records by deploying the existing resources.

- End -

CONTROLLING OFFICER'S REPLY

CSO053

(Question Serial No. 3539)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Regarding the implementation of the records management guidelines by policy bureaux and departments, can the Government inform this Committee of:

- a) the number, nature and follow-up actions of cases involving government bureaux and departments which failed to comply with the Government's records management guidelines in 2016-17. Please provide a breakdown of the relevant information by bureaux/departments; and
- b) whether the Government Records Service has set aside resources in 2017-18 for carrying out inspections to policy bureaux and departments on their compliance with these guidelines on records management? If yes, what are the relevant work plan, staff arrangement and estimated expenditure? If not, what are the reasons?

Asked by: Hon CHAN Tanya (Member Question No. 314)

Reply:

a) In 2016-17 (from 1 April 2016 up to 20 March 2017), the Government Records Service (GRS) has received 30 reports of bureaux/departments' (B/Ds) non-compliance with mandatory records management requirements as stipulated in General Circular No. 2/2009 issued in April 2009. These cases involved loss or unauthorised destruction of government records. A breakdown of relevant information is as follows –

B/Ds	No. of cases reported (including cases being processed/ under investigation)	Nature (L: Loss) (UD: Unauthorised Destruction)
Buildings Department	2 (1)*	L
Civil Aviation Department	1 (1)*	L
Education Bureau	1 (1)*	L
Fire Services Department	4	L
Highways Department	1	UD
Hong Kong Police Force	13 (3)*	L (12 cases); UD (1 case)
Housing Department	1	L
Independent Commission Against Corruption	1 (1)*	L
Labour Department	3 (2)*	L (2 cases); UD (1 case)
Social Welfare Department	3 (2)*	L

* *Figures in bracket denote cases which are being processed, or which investigations have yet to be completed.*

In accordance with the mandatory records management requirements, any loss or unauthorised destruction of records in a B/D should be immediately reported to the Departmental Records Manager (DRM) and a copy of such report sent to GRS simultaneously. The DRM should (a) ascertain the facts and identify the circumstances leading to the loss / unauthorised destruction; (b) reconstruct the records where necessary; (c) take steps to prevent recurrence; (d) consider whether any disciplinary action or other administrative action is necessary; and (e) report the findings and actions taken on (a) to (d) above to GRS within 3 months. Upon reviewing of the investigation report, GRS would advise the B/D concerned, as appropriate, to take suitable measures to prevent recurrence of similar incidents, improve the current records management systems and enhance staff awareness in handling government records in future. If necessary, GRS will hold in-house seminars for the B/D to enhance the knowledge of its staff on records management as well as their awareness in safe custody and proper handling of government records.

- b) GRS has been deploying its existing resources to enhance its services and improve its monitoring and inspection mechanism over B/Ds' records management practices. In 2017-18, the monitoring and inspection work is carried out by various teams of GRS staff as part of their ongoing services and no separate provision is made for such purpose.

- End -

CONTROLLING OFFICER'S REPLY

CSO054

(Question Serial No. 3540)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Will the Government Records Service allocate resources in 2017-18 to review the Government's records management manuals? If yes, what are the relevant work plan, timetable and estimated expenditure? If no, what are the reasons?

Asked by: Hon CHAN Tanya (Member Question No. 315)

Reply:

The Government Records Service (GRS) conducts regular reviews of its wide range of records management manuals and guidelines to ensure that they are comprehensive and up-to-date. In 2017-18, GRS plans to review and update two existing records management publications (i.e. Records Management Publication No. 2: Managing Active Records: File Management, and Records Management Publication No. 3: Subject Filing). The work will involve staff at different levels from different sections of GRS and the expenditure will be absorbed from within the existing provisions.

- End -

CONTROLLING OFFICER'S REPLY

CSO085

(Question Serial No. 3789)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

The aim of the Government Records Service includes administering government records efficiently. In this connection, will the Government inform this Committee of:

1. the number of archival records currently in the backlog pending accession;
2. the quantity of records currently kept by the electronic recordkeeping systems;
3. the resources allocated for the above 2 tasks in the past year; and
4. the resources expected to be allocated for the above 2 tasks in this year.

Asked by: Hon YEUNG Alvin (Member Question No. 9)

Reply:

- (1) The Government Records Service (GRS) had cleared the backlog for records accessioning in 2015 as planned. GRS accessioned 59 700 archival records in 2016-17. Currently, about 14 540 archival records are pending accessioning.
- (2) GRS provides advice and support to bureaux and departments (B/Ds) to develop their electronic recordkeeping systems (ERKSs) in accordance with the functional requirements and standards promulgated by GRS. To date, a total of 8 B/Ds, GRS being one of them, have implemented ERKS and they are responsible for capturing and keeping of their electronic records. Hence, GRS does not have information on the number of records kept in the ERKS of individual B/Ds. Currently, the ERKS of GRS is keeping about 450 000 records.
- (3)&(4) A team comprising 2 Archivist Grade officers and 2 supporting staff is involved in records accessioning work in GRS. A contractor may be engaged to provide manual support service if necessary. In 2016-17, the staff cost and other

expenses on engagement of a service contractor and procurement of archival boxes totalled \$0.96 million.

As explained in (2) above, GRS does not have information pertaining to individual B/Ds on the resources allocated for the capturing and keeping of electronic records in ERKSs. As far as GRS is concerned, the capturing of records in its ERKS is performed by various teams of staff as part of their daily duties and therefore no separate provision is made for such purpose in the estimates. The maintenance costs for the ERKS of GRS was \$1.1 million in 2016-17.

The resources allocated in 2017-18 for the above 2 tasks will be maintained at the same level as in 2016-17.

- End -

CONTROLLING OFFICER'S REPLY

S-CSO02

(Question Serial No. S0028)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Regarding the Reply Serial No. CSO011, please provide information on the following:

1. What are the projects and estimates for the “implementation of public education and publicity programmes on Hong Kong’s documentary heritage” in the coming year?
2. What are the number and areas of venues for regular public exhibitions in the existing Public Records Office? Will the Government consider establishing a permanent exhibition venue for organising larger-scale exhibitions as well as publicity and education programmes on public records?

Asked by: Hon HO Kai-ming

Reply:

1. The projects and estimates in 2017-18 for the implementation of public education and publicity programmes on Hong Kong’s documentary heritage by the Government Records Service (GRS) are set out below:

Year	Publicity and educational programmes	Estimated expenditure (\$ million)
2017-18	GRS plans to – - organise at least 30 group visits to GRS; - conduct a series of educational workshops to help teachers and students to use the archival holdings kept in GRS; - organise a series of thematic film shows;	1.74

Year	Publicity and educational programmes	Estimated expenditure (\$ million)
	<ul style="list-style-type: none"> - launch a thematic exhibition together with on-line Reference Resources Pages; - organise roving exhibitions in Ping Shan Tin Shui Wai Public Library, Chai Wan Public Library, Sha Tin Public Library and Hong Kong Central Library; - participate in a cultural and historical project with another institution; - enrich the contents of the Educational Resources Portal to attract more people to view the digitised holdings and information; - digitise popular and frequently-accessed items; and - broadcast an Announcement for Public Interest (on television and radio) to promote the services provided by GRS and encourage public appreciation of Hong Kong's documentary heritage. 	

2. The GRS Exhibition Hall, located at the Hong Kong Public Records Building, 13 Tsui Ping Road, Kwun Tong, offers a permanent venue with a floor area of about 24 square metres for the organisation of regular thematic exhibitions. GRS also organises thematic roving exhibitions in the public libraries on Hong Kong Island and in the New Territories to facilitate public viewing of its archival holdings. In addition, GRS organises large-scale photo exhibitions, and publicity and educational programmes in collaboration with other institutions in their venues to encourage public appreciation of Hong Kong's documentary heritage. GRS will review and improve its publicity and educational programmes as well as exhibition facilities from time to time with a view to enhancing its service quality.

- End -

CONTROLLING OFFICER'S REPLY

S-CSO04

(Question Serial No. S0027)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

Regarding the Reply Serial No. CSO019, has the Government Records Service found any bureaux/departments (B/Ds) in breach of the mandatory requirements implemented in April 2009? Currently, is there a mechanism to monitor the procedures of different bureaux in handling records? Is there a disciplinary mechanism against any breaches by B/Ds? If so, what is the number of staff who have been disciplined?

Asked by: Hon LAW Kwun-chung, Nathan

Reply:

The Government attaches great importance to records management. All bureaux/departments (B/Ds) are required to carry out records management duties in compliance with the General Circular No. 2/2009 "Mandatory Records Management Requirements" issued in 2009. The Government also issued guidelines on "Records Management Review" and adopted a two-pronged approach, namely self-assessment by B/Ds and departmental records management reviews conducted by the Government Records Service (GRS) for individual B/Ds, to monitor the records management practices of B/Ds. Upon completion of the records management reviews on B/Ds by GRS, the Director of Administration will present the relevant findings and recommendations to the heads of the B/Ds, and request them to report progress made on the implementation of the recommendations every six months. If there are incidents of loss or unauthorised destruction of records in B/Ds, the Departmental Records Manager must conduct a thorough investigation, including taking disciplinary action against the officers involved, and submit the findings of the investigation to GRS.

B/Ds follow the existing civil service disciplinary mechanism to handle cases involving non-compliance of public officers with records management requirements. If an officer is found to have breached government records management requirements or any other official instructions, whether oral or written, or who by his actions have brought the Government Service into disrepute, the officer is liable to punishments according to the gravity of the case. From April 2009 to February 2017, GRS occasionally received reports from B/Ds

involving the loss or unauthorised destruction of government records, most of which were due to carelessness, negligence or unfamiliarity with the relevant requirements on the part of a small number of individual officers. No deliberate non-compliance with the requirements was noted. Disciplinary actions had been taken against 20 officers involved in a total of 16 cases.

- End -

CONTROLLING OFFICER'S REPLY

S-CSO05

(Question Serial No. SV014)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Kitty CHOI)

Director of Bureau: Director of Administration

Question:

A follow-up question on Reply Serial No. CSO025:

With regard to the amount of documents on the “1967 riots” archived by the Government Records Service, please provide the amount of archived documents of similar historical events (e.g., the “rightist riots” of 1956 and the Kowloon Disturbances 1966) for a comparison to be made.

Asked by: Hon LAW Kwun-chung, Nathan

Reply:

Bureaux and departments are required to follow the relevant records retention and disposal schedules, and transfer records appraised as having archival value to the Government Records Service (GRS) for permanent retention. To facilitate public retrieval of the records required and understanding of the original context of the related records, the GRS arranges and describes these records based on the principles of provenance and original order according to the General International Standard Archival Description, and inputs into the online catalogues such basic information as the record titles in their original wording and languages. In line with the above principle, the GRS generally does not arrange and reorganise records by the incident and subject matter involved.

For the incidents mentioned in the question, the approximate number of archival records retrieved by using the suggested keywords to search the GRS' online catalogues are as follows:

Incident	Approximate number of archival records retrieved	Suggested keywords
The “rightist riots” of 1956	15	Disturbance(s), Riot(s), Tsuen Wan, Compensation, 荃灣, 補恤, 暴動, etc.

Incident	Approximate number of archival records retrieved	Suggested keywords
The Kowloon Disturbances 1966	35	Curfew, Disturbance(s), Kowloon Disturbances, Riot(s), Kowloon Riots, Star Ferry, 騷動, 九龍騷動, Fare increase, etc.
The 1967 riots	300	Bomb(s), Explosive, Communist, Communist schools, Confrontation, Curfew, Detention, Disturbance(s), Deportation, Demonstration(s), Federation of Trade Unions, Juvenile, Labour(s), Labour front, Left Wing, Leftwing, Prisoner(s), Riot(s), Threat(s), Societies, Soviet activities, Union(s), 暴動, etc.

- End -