



Annual Report

*To be the leading, most
insightful and
resourceful public
archives in Hong Kong
that excels in
preserving and promoting
the documentary heritage
of our city in the
digital era*



2014



Government Records Service

The Government of the Hong Kong
Special Administrative Region



Message from Government Records Service Director for the First Government Records Service Annual Report

This is the first annual report produced by the Government Records Service (GRS).

While it is not common for a small office like GRS which is a division under the Administration Wing, Chief Secretary for Administration's Office, to produce an annual report, in view of the public interface of our work, we have taken this first step to enhance the transparency of GRS. We aim to facilitate public understanding of the different aspects of records management work as well as our archival collection.

2014 is an eventful year for GRS. At the backdrop were the Direct Investigation by The Ombudsman on Public Records Management in Hong Kong and the on-going study by the Law Reform Commission on archives law. They offer opportunities for GRS to reflect on our operations and to seek continuous improvements.

I am glad to report that in 2014, we developed the Vision, Mission and Values statements for GRS with the full participation of our staff. I am proud to share them with readers in Chapter 2. Besides, GRS walked the talk by developing an Electronic Recordkeeping System (ERKS) in GRS during the year. We now have first-hand experience on the preparation required to roll out such a project and the challenges during implementation stage. We are now showcasing our success to fellow government departments with a view to encouraging them to follow suit.

This report seeks to highlight the key statistics on records management activities in the Government and the archival collection of our Public Records Office (PRO) so that members of the public can have a better understanding of the archives landscape in Hong Kong.

I hope you will enjoy reading the first annual report of GRS.

Stanley TO
Government Records Service Director



Content

MESSAGE FROM GOVERNMENT RECORDS SERVICE DIRECTOR FOR THE FIRST GOVERNMENT RECORDS SERVICE ANNUAL REPORT	i
CONTENT	ii
CHAPTER 1 - OVERVIEW	1
CHAPTER 2 - WHO WE ARE	4
ABOUT GOVERNMENT RECORDS SERVICE	4
OUR VISION, MISSION AND VALUES	4
OUR ORGANISATIONAL STRUCTURE	6
OUR STAFF	13
OUR FACILITIES	15
CHAPTER 3 - WHAT WE DO	22
PERFORMANCE PLEDGE AND INDICATORS	22
ARCHIVAL RECORDS	23
ACCESS TO RECORDS	26
PRESERVATION AND CONSERVATION	32
GOOD RECORDS MANAGEMENT PRACTICES	34
SUPPORT TO GOVERNMENT B/Ds	36
SUPPORT TO PUBLIC ORGANISATIONS	40
PROGRAMME / PROJECT HIGHLIGHTS	41
IMPLEMENTATION OF ERKS IN GRS	44
ABBREVIATIONS	46
ANNEX	47



Chapter 1 - Overview

2014 was a challenging but extremely rewarding year for GRS.

We have entered a new era of electronic recordkeeping within GRS as one of the pioneers among bureaux and departments (B/Ds) of the Hong Kong Government by making use of the latest information technology in managing both paper and electronic records. We have maintained, and in many areas accelerated, the momentum of improving the records management work in the Government.

Taking into account the advice and recommendations given in The Ombudsman's Direct Investigation Report on Public Records Management in Hong Kong in March 2014, GRS has put in place a series of improvement measures as highlighted in the following parts of this Report. Meanwhile, the Law Reform Commission of Hong Kong has continued to review the current regime relating to management and preservation of, and access to government or public records for the purposes of considering whether reform is needed and if so, to make such recommendations for reform as appropriate.

In the ensuing paragraphs, we are going to share with you our major work in 2014.

With the growing expectation of the general public on the openness, transparency and accountability of the Government, the role of records management has never been more important. In order to demonstrate the Government's commitment to practise good records management and preserve archival records, a number of mandatory requirements were introduced in 2009 setting the standards for B/Ds to follow. Since then, a number of new publications, guidelines and circulars have been promulgated in order to assist government employees to implement the good practices. In response, B/Ds have been according higher priorities and more resources to enhance their records management.

As the central agency to administer government records by formulating and implementing policies and plans for records management and archives administration, GRS has been providing advice and support to B/Ds. In 2014, we organised about 90 training events and trained over



4,200 government officers in different areas of records management work. We also assisted different B/Ds to implement their own departmental records management programme and training initiatives. In the same year, we invited some 60 public organisations to a seminar as part of our initiative to encourage them to adopt the standards and requirements of the Government and promote the donation of records with archival values to our PRO for permanent preservation.

To promote our archival collection, we have organised a thematic exhibition “Behind the Postman Uniform”. On acquisition of new collections, we have added nearly 600 linear metres of archival records, including announcements of public interest, photographs and files from different B/Ds, as well as digital copy of some records of the Foreign and Commonwealth Office and other offices of the United Kingdom from The National Archives of the United Kingdom. In 2014, we also enhanced our publicity programme, conducted off-site exhibitions and improved our websites so as to enhance the awareness of the public in making good use of our documentary heritage.



Exhibition: Behind the Postman Uniform

On preservation and digitisation, we have extended real-time wireless climatic data-logging system to monitor the storage environment of inactive records repositories and successfully put in place a barrier to protect the Hong Kong Public Records Building (HKPRB) from termite. We have also commenced the digitisation of recently acquired archival records.

Further to the above challenges and work, we are fully aware that the digital world has been changing the way we work. Nowadays, more and more records are created and received in electronic form owing to the e-government initiatives and greater use of information technology and networked computers. GRS has been working hand-in-hand with the Office of the Government Chief Information Officer (OGCIO) and the Efficiency Unit (EU) to encourage more B/Ds to enhance their electronic records management (ERM) and to make use of ERKS. GRS staff has successfully implemented an ERKS and produced relevant practices and guidelines to assist B/Ds in implementing an ERKS in their organisations.



In this Annual Report, we are going to share with you our new Vision, Mission and Values statements which were promulgated to all colleagues of GRS in February 2015.



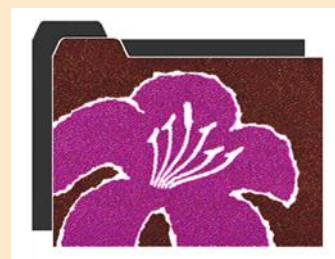
Chapter 2 - Who We Are

About Government Records Service

GRS plays a key role in the management of recorded information for the Government of the Hong Kong Special Administrative Region. It is an office under the Administration Wing of the Chief Secretary for Administration's Office headed by the Director of Administration.

Since its inception in 1989 (formerly known as GRS Division before reorganisation in February 2003), GRS has been responsible for preserving Government archives, formulation, administration and monitoring of Government records management policy and requirements, reviewing records management practices and provision of advice on records management and off-site records centre services. It develops a recordkeeping programme that enables B/Ds to manage information resources appropriate to their purposes.

In this Chapter, we are going to introduce who we are and what we do to the readers.



The logo of GRS shows the bauhinia, the floral emblem of Hong Kong, on the folder icon, representing the preservation of the collective memory of our city.

Our Vision, Mission and Values

Our Vision

To be the leading, most insightful and resourceful public archives in Hong Kong that excels in preserving and promoting the documentary heritage of our city in the digital era.



Our Mission

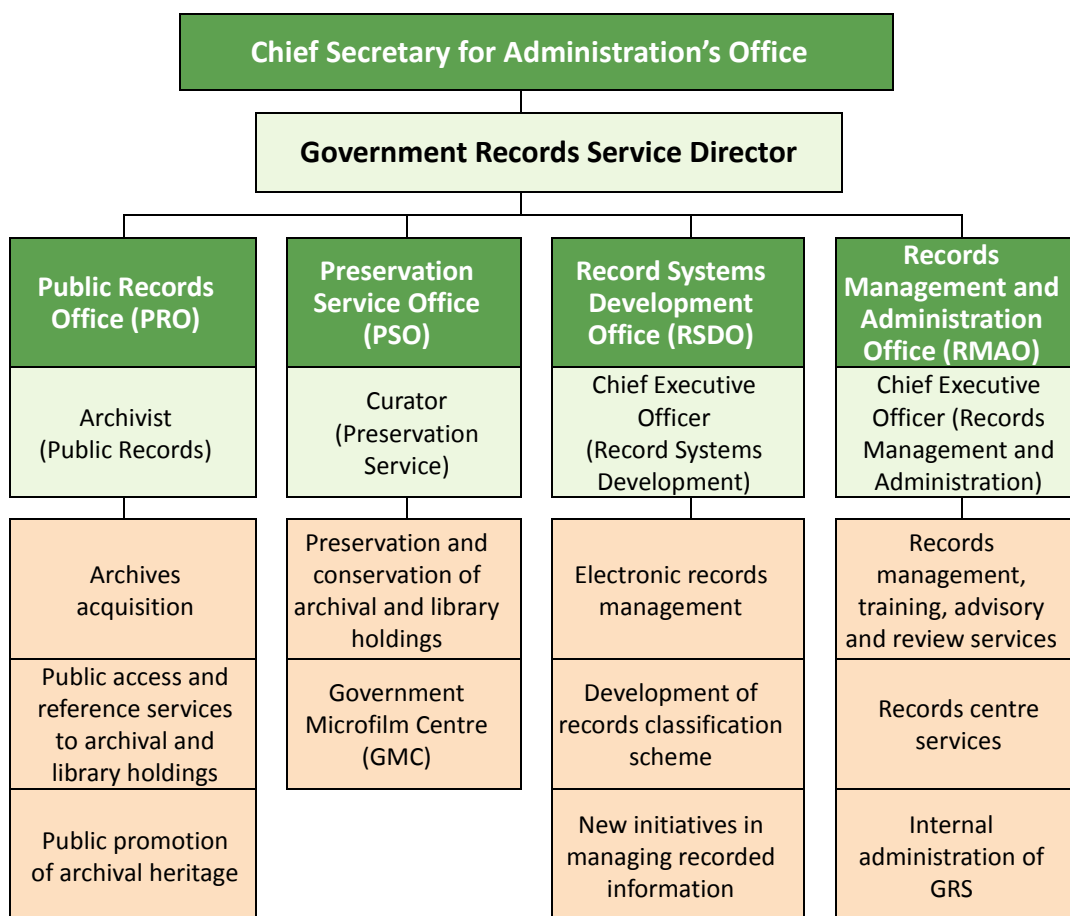
- To build comprehensive and diversified archival collections;
- To provide user-friendly and convenient access to the archival collections;
- To build a digital archive with modern technologies;
- To promote good records management practices among government bureaux and departments and public organisations;
- To provide advanced facilities for storage, preservation and retrieval services;
- To promote awareness, appreciation and proper use of documentary heritage in our community; and
- To foster a closer partnership with other archives.

Our Values

G reen	Go Green! Be environmentally conscious through developing and promoting electronic records management in the Government and public organisations.
R eliability	Create and preserve reliable records to support evidence-based decisions and to promote the documentary heritage of Hong Kong.
E fficiency	Be efficient in all aspects of records management.
A ccessibility	Enhance public access to our archival collections.
T ransparency	Be transparent – making our Government more open and accountable through good records management practices.



Our Organisational Structure



Government Records Service Director

The GRS Director is the head of GRS, who oversees and directs the operation of GRS. GRS consists of four offices, namely the Public Records Office (PRO), Preservation Service Office (PSO), Record Systems Development Office (RSDO) and Records Management and Administration Office (RMAO).





Public Records Office

PRO serves as the central archives for the permanent archives of the Government of the Hong Kong Special Administrative Region. It acquires and provides public access to Hong Kong's archives. It offers a rich heritage resource consisting of documents, photographs, movies, posters and other records tracing the governance and evolution of Hong Kong. Archival holdings are available for viewing under certain conditions to protect the records.

PRO performs the following key archival functions:

- appraisal and accessioning;
- arrangement and description;
- public programming; and
- reference services.



PRO appraises government records to assess their archival value, selecting those that should be transferred to PRO for permanent preservation. PRO then arranges and describes those archival records, preparing inventories, finding aids, guides and indexes to help users identify material relevant to their research interests. To support accountability, PRO has implemented consistent procedures for the appraisal, transfer, arrangement and description of archival records. It provides reference services in the HKPRB and provides information from and about its holdings through its Integrated Information Access System (IIAS) and through other resources available on the GRS website.



Secondary School Curriculum. PRO also organises school presentations and other public events throughout the year.

As part of its public programming duties, PRO organises exhibitions, seminars, workshops, visits and other educational activities. PRO has also developed a webpage, as well as an Educational Resources Portal on the internet that promotes the use of archival records in studying and learning for the New



PRO also manages the Central Preservation Library for Government Publications (CPL) which contains selected government publications, reports and printed materials on Hong Kong as part of its work to preserve local documentary heritage.

Preservation Service Office

PSO provides services to support the preservation and conservation of archival materials, including photography, microfilming, bookbinding, environmental monitoring and control and treatment, repair and restoration of fragile and damaged materials.

PSO is responsible for ensuring the security and stability of the environment in which records and archives held by GRS are housed and for managing GRS' physical facilities, including storage, staff, and public areas within all the buildings used by GRS. PSO carries out repairs to facilities, monitors environmental conditions and provides assessments about needs and options for space and facilities.



PSO also operates the Government Microfilm Centre (GMC), which is responsible for carrying out microfilming work for the Government, as well as supporting microfilm requirements for government archives.



Furthermore, PSO oversees the actual digitisation of archives, once selections have been made by PRO. This work also includes overseeing the outsourcing of digitisation tasks to contracting companies as appropriate and monitoring the work performed to ensure quality is kept at an acceptable level.

PSO sets up exhibits in the gallery of HKPRB once a year. After PRO has selected the subject, story line, and text to be displayed, PSO chooses from a shortlist of possible exhibit items to design the layout of the exhibition, and then mounts the exhibits.

Record Systems Development Office

As stipulated in the Government's Electronic Information Management (EIM) Strategy promulgated by OGCIO in May 2011, B/Ds should take forward ERM as an integral part of the EIM initiative and adopt an ERKS to drive ERM in the Government.

RSDO is responsible for developing records management standards, best practices and guidelines to support government-wide implementation of ERM and ERKS, and providing records management support and assistance to B/Ds to develop or adopt an ERKS to drive ERM in the Government.



ERM refers to the application of records management principles to manage records by using electronic systems, notably an ERKS. ERKS is a computer system for records management. It is capable of collecting, organising, classifying, and controlling the creation, storage, retrieval, distribution, maintenance and use, disposal and preservation of both electronic and non-electronic records. It supports records managers, records management staff and records users to perform day-to-day records management functions and use of records in an efficient and effective manner.



RSDO plays an important role in promoting ERM across the Government and providing essential ERM training for B/Ds in taking forward ERM and ERKS.

RSDO also participates in the Government's EIM Steering Group meetings to provide advice on proper management of electronic records, developing and promoting e-government initiatives.

To enhance compliance with best practices in records management, RSDO is responsible for co-ordinating the reviewing and updating of GRS' records management publications. Besides, RSDO also provides advice to B/Ds on records management issues related to vital records management.

Records Management and Administration Office

RMAO develops and oversees the implementation of a comprehensive system to manage records effectively and efficiently. It provides training, advisory, review and records centre services to B/Ds, as well as administration services to all GRS offices.

The Training and Consultancy Unit provides training and advisory services to B/Ds to support their effective management of government records and application of related policies, guidelines and procedures.



The functions of the Training and Consultancy Unit are to:

- plan, develop and organise various types of service-wide regular records management training courses to assist different levels of records management personnel to perform their records management responsibilities more effectively and efficiently;
- organise ad hoc records management training courses or seminars for B/Ds on a need basis; and



- conduct studies and provide advice and recommendations on records management to B/Ds and render assistance to them in implementing the recommendations.

The Records Management Review Unit is responsible for reviewing the records management practices of B/Ds. These reviews aim to assess B/Ds' compliance with the mandatory records management requirements and adoption of good practices, and identify areas for improvement.

The Records Centre Service Unit facilitates B/Ds to dispose of their inactive records and provides them with intermediate storage facilities to achieve cost-effectiveness.

Specifically, the functions of the Records Centre Service Unit are to:

- authorise records retention and disposal schedules¹ for government records after consulting other offices in GRS;
- approve disposal of government records, in consultation with other offices of GRS where necessary; and
- provide centralised intermediate storage for inactive government records.



The Administration Service Unit advises and collaborates with all offices in GRS to provide effective administrative service in respect of:

- human resources management;
- financial management;
- procurement activities;

¹ **Records Retention and Disposal Schedules**, also known as records disposal schedule, is a systematic listing or description of an organisation's records which indicates the arrangements to be made for their custody, retention and final disposition. Such schedules of government B/Ds should be drawn up with the concurrence of GRS Director.



- administration of a Local Area Network; and
- accommodation and building management.





Our Staff

As at 31 December 2014, GRS has a total of 106 staff members. They are from different civil service grades, working together for the betterment of records and archives management in the Government.



Archivist Grade

- 1 Archivist
- 5 Senior Assistant Archivists
- 11 Assistant Archivists

All Archivist grade officers have obtained master degrees in history, archives and records management, library science or political science, etc. The Senior Assistant Archivists or above have also obtained a postgraduate diploma in archives and records management and received ongoing professional training in related subjects. The newly recruited Assistant Archivists are provided with in-house training and are required to pass a proficiency test involving written and practical exercises after one year's service. Upon passing the test, they are required to take a postgraduate programme on archives and records management.

Curator Grade

- 1 Curator
- 2 Assistant Curators II



Officers of the Curator grade, which is under the management of the Director of Leisure and Cultural Services (DLCS), are mainly deployed on four different streams, namely Art, Conservation, History and Science. Officers deployed to GRS come from the Conservation Stream, participating in work relating to handling, identification, examination and conservation of archival and library collections and loan exhibits; environmental monitoring and control programmes in archival repositories and display venues as well as the rendering of preventive measures for the preservation of collection items.

Executive Officer Grade

- 1 Principal Executive Officer
- 2 Chief Executive Officers
- 6 Senior Executive Officers
- 5 Executive Officers I
- 6 Executive Officers II

Executive Officers are professional managers who specialise in office administration, personnel, systems and resource management. Among their great variety of duties are records management and the supervision of the operation of filing registries in B/Ds. By the depth of administration experience and breadth of knowledge gathered from postings among different B/Ds, Executive Officers form a versatile cadre in performing various duties relating to records management.

Librarian Grade

- 2 Librarians

Librarians, with their professional knowledge in library studies, are mainly responsible for library services. The Librarian grade is a grade under the management of the DLCS.

Clerical and Other Grades

- 64 staff members, including Senior Clerical Officers, Clerical Officers, Assistant Clerical Officers, Clerical Assistants, Personal Secretary II, Senior Photographer, Photographers I, Photographers II, Photographic Technicians I and Workmen II.



Our Facilities

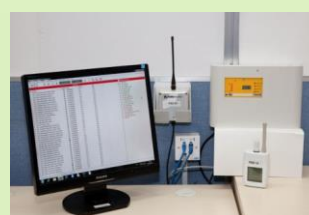
HKPRB at 13 Tsui Ping Road, Kwun Tong, Kowloon was opened in 1997 and is a purpose-built archival facility providing permanent and suitable environment for preservation of the archival and library holdings. In addition to the archival repositories, HKPRB also has conservation laboratories, advanced digital imaging equipment, microfilmers and associated film processing facilities, providing preservation support to the archival and library holdings.

Archival and Library Repositories

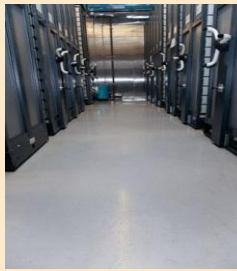
The climatic condition of all archival and library repositories has been carefully monitored by a real-time climatic data-logging system 24 hours daily. The air-conditioning system will be adjusted according to the climatic data recorded against the set values of temperature and relative humidity. All the light sources in the repositories are ultraviolet light free so as to minimise the damage from light.



Air-conditioning system for control of climatic condition in all repositories including dehumidifier, air-handling unit and humidifier



Computer control of air-conditioning system and the climatic condition in all repositories are being monitored by an independent wireless real-time data logging system



Chemically inert and robust floor coating in all repositories

As pests are the common problem in the preservation of archival materials, an integrated pest management programme is implemented in HKPRB. All incoming records from outside HKPRB will be inspected for possible signs of pest infestation.

If suspicious items are found, fumigation treatment by principle of nitrogen anoxia will be conducted to eradicate the pests immediately. The pest activities within HKPRB are monitored by means of insect traps and baits.

Regarding the risk of fire in repositories, instead of the water sprinkler system, FM200 systems are installed which can suppress fire when released in the air, while minimising the damage of water to the archives.



FM200 Fire Suppression System in all repositories

Search Room, Exhibition Hall and Lecture Room in the HKPRB

We welcome visitors to our Search Room to consult our records and other materials.



Personal computers with catalogues



Search Room

This room is designed to provide a suitable environment for the users to conduct research into the archival collections kept by GRS. It is open from 9:00 a.m. to 5:45 p.m. Monday to Friday, excluding public holidays.



The total capacity of the Search Room is 30 seats. At the Search Room, we provide facilities for the public service as follows:

Personal computer with catalogues	7
Personal computer connected to internet	1
Photocopying machine	1
Audio-visual player	2
Microfilm reader	6
Microfilm hard copy printer	2
Free WiFi connection	

Each year, PRO organises a thematic exhibition to introduce its valuable holdings in the Exhibition Hall of HKPRB. In December 2014, the Exhibition “Behind the Postman Uniform” was launched, together with a thematic webpage.



Exhibition Hall



Lecture Room

A Lecture Room is available in HKPRB with a total capacity of 40 seats. On each Friday, the Lecture Room is open for members of the public to view the thematic film show “Legend of the Amah Rock and Hong Kong

Life Style in the 1960s and 1970s” comprising the films transferred from Information Services Department. The Lecture Room may also be used for records management training events or educational workshops.



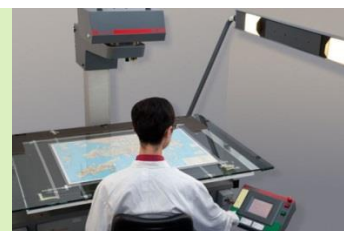
Preservation Service Laboratory

The Preservation Service Laboratory is responsible for preservation and conservation of archival materials including photography, microfilming, bookbinding, and work to conserve and preserve fragile and damaged materials.

Equipment in Preservation Service Laboratory



*Conservation Laboratory
showing the Suction Table*



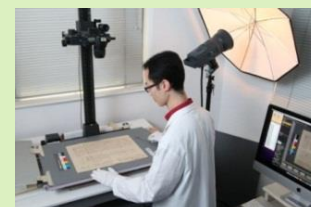
*Large Format Planetary
Microfilmer*



*Specialist Fumehood
for protection of staff in
cleaning items with
mould growth*



*High-quality Water Filter
to produce pure water
for use in conservation
treatment*



*Digital Imaging
Equipment*



*Setting up insect traps in
pest activity monitoring*



*Inspection of insect traps
to monitor pest activities*



*Ultrasonic Encapsulation of 2D flat items with
transparent polyester films*



*Nitrogen Fumigation
Chamber for pest
eradication*



PSO works to retard the deterioration of the archival collections to ensure accessibility for now and in the future. This activity is carried out by using specialised techniques to allow minimal intervention into the original material in accordance with the Ethics for Conservators. Every step is documented for future reference.

Government Microfilm Centre

GMC is an ISO 9001:2008 (Quality Management System) certified unit of PSO. In addition, GMC has adopted the standards issued by the American National Standards Institute and Association for Information and Image Management (ANSI/AIIM) for production of the highest quality microfilm records. With a sophisticated quality management system and a team of professional photographers, GMC commits itself to providing customer-driven and quality oriented microfilm services for B/Ds.

Equipment in the Government Microfilm Centre



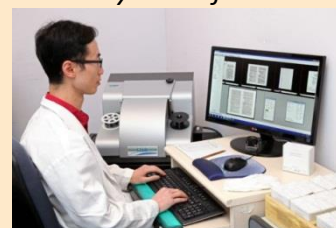
Microfilm Processor for processing and development of microfilm



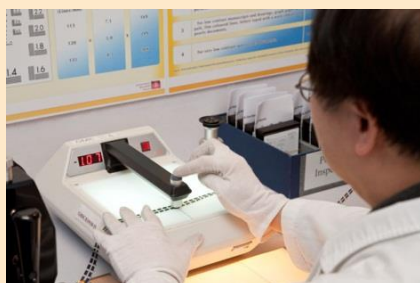
Microfilm Duplicator



Rotary Microfilmer



High-speed Microfilm Scanner



Quality assurance of microfilm using Densitometer



Conducting Methylene Blue Test in quality assurance of microfilm processed



Records Centres

The Records Centre Service Unit of the RMAO operates two Records Centres (RCs) which offer centralised and cost-effective intermediate storage service for inactive records, saving B/Ds from using expensive office space and equipment in maintaining records. The RCs are located in Tuen Mun with a total floor area of 16,300 square metres and has a storage capacity of 124,000 linear metres.



*Tuen Mun Records Centre and
YKK Records Centre*

The Records Centre Service Unit is tasked to perform the following functions/activities:

- Receive and process transfers of inactive records from B/Ds,
- Store, maintain and safeguard the deposited inactive records economically and efficiently;
- Provide reference and retrieval services for client B/Ds; and
- Arrange disposal of records according to the approved records retention and disposal schedules.



Storage facilities



Security control

RCs are equipped with various facilities to provide quality storage service to B/Ds, such as strong room, air conditioners, mobile racks, climatic sensors and dehumidifiers. To maintain a stable environment for storing inactive records, strict climatic control is imposed on RCs. PSO will conduct analysis on the climatic data gathered from the sensors regularly. If irregularities are observed, remedial actions will be carried out promptly.



After the inactive records are stored in RCs, B/Ds are allowed to retrieve the records for reference when in need. A search room is provided in RCs for such purpose.





Chapter 3 - What We Do

Performance Pledge and Indicators

GRS' performance pledge and indicators for the calendar year 2014 are as follows:

	Performance Pledge / Indicator	Target	Achievement in 2014
1	To make records and library items available to users in the Search Room within 2 hours	90%	100%
2	To process within five working days an application for permission to use the holdings of GRS for publication or production, where the copyright of the holdings rests with the Government	95%	100%
3	To process an application for group visit from Hong Kong residents within five working days	100%	100%
4	To acquire archival records (linear metres)	370	596
5	To render reference and research services to the public: <ul style="list-style-type: none">• No. of visitors• No. of enquiries• No. of visits• Exhibition	3,700 8,500 25 1	4,756 8,681 40 1
6	To conduct departmental records management studies / reviews	2	2



	Performance Pledge / Indicator	Target	Achievement in 2014
7	To conduct training for departmental records managers and their assistants on records management (no. of attendees)	2,400	2,426
8	To publish records management manuals, handbooks and newsletters	2	2
9	To provide intermediate storage facilities for inactive government records in terms of utilisation rate	95%	97.3%
10	To microfilm records for other government B/Ds (no. of images)	2,800,000	2,707,195

Archival Records

Archival Stock

PRO has around 1,300 Hong Kong Record Series in various formats including files (591,000 nos.), bound volume records (3,800 nos.), maps and plans (4,700 nos.), photographics (14,000 nos.) and audio-visual materials (2,100 nos.) and microforms (699,000 nos.). They were transferred from over 100 government B/Ds, offices or agencies, adding up to about 18,200 linear metres (1,315,000 nos.)

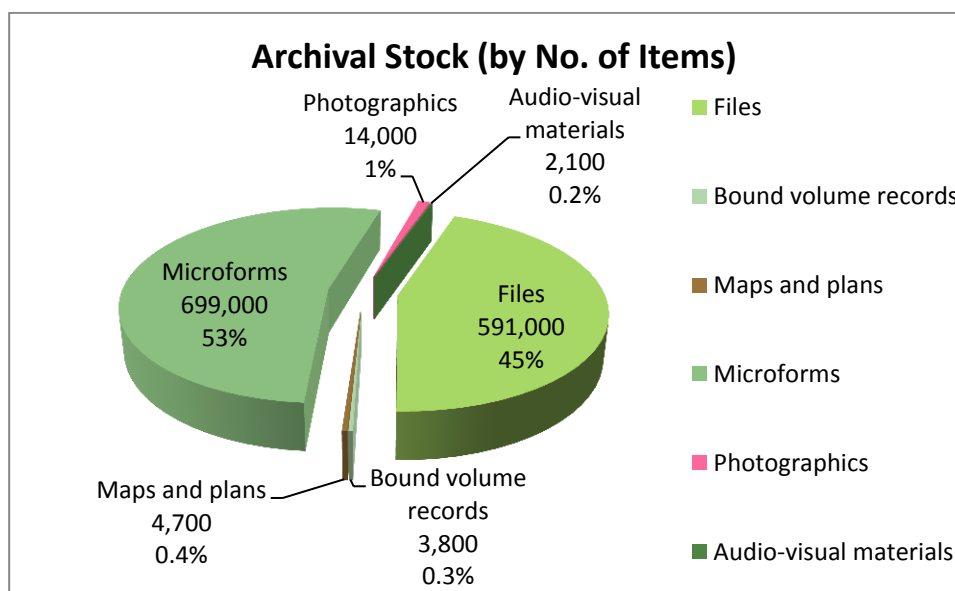
GRS holds archival materials in all media and formats, as summarised below:

- Approximately 17,900 linear metres of government archives from over 100 different government B/Ds, offices or agencies. These government archives include paper files, bound volumes, maps and plans, photographs, films, videotapes, and computer disks, dating from the 1840s to the present day; and



- Over 300 linear metres of non-government records of public organisations, private institutions and individuals associated with the history and development of Hong Kong.

The breakdown of GRS' archival stock by categories is as follows:



Records Appraisal

GRS appraises government records to determine which records possess archival value and should be permanently retained or otherwise could be destroyed. Since records appraisal is an important process for assessment of the archival value of government records, GRS places much emphasis on this task. We adopt a set of appraisal guidelines based on the main appraisal theories and the experience of other jurisdictions. Following the guidelines, Archivist grade officers of GRS will study carefully the records in question and ascertain if the records possess archival value for permanent retention by GRS.

Acquisition of Archival Records

GRS receives records with archival value from government agencies for permanent retention. These records, having been appraised to possess archival value, are transferred to GRS when their retention periods in the government agencies expire according to the relevant records retention and disposal schedules.



In 2014, 596 linear metres of archival records were transferred to GRS for permanent retention.

Some notable series include:

- Minutes and papers of the Executive Council from the Chief Executive Office;
- Records relating to Announcements of Public Interest from Information Services Department;
- Documentary TV programmes, e.g. In Perspective (並無虛言), Tuesday Briefing (蛻變中的香港), Weekly Magazine (識析相關), etc., from Radio Television Hong Kong;
- Files relating to Town Planning Board from Planning Department;
- Files relating to Regularity Audit and Value for Money Audit from Audit Commission;
- Files relating to modernisation and electrification of railway system from the Highways Department;
- Files relating to port control from the Marine Department;
- Files relating to adult education, rural schools from the Education Bureau;
- Photographs about the development of Tsuen Wan and Tsing Yi from Civil Engineering and Development Department;
- Files relating to District Administration of Sai Kung and Islands from Home Affairs Department;
- Files relating to Legislations and Statistics on Civil Aviation from Civil Aviation Department;
- Files relating to Clean Hong Kong Campaign from Food and Environmental Hygiene Department; and



- Files relating to the Prevention of Corruption Ordinance, community relations from the Independent Commission Against Corruption.

Moreover, in 2014, GRS also procured digital copy of 179 archival records relating to Hong Kong from The National Archives of the United Kingdom. These records are mainly related to the following subjects:

- Relations between Hong Kong and China;
- Kowloon Walled City;
- Future of Hong Kong;
- Visit of the United Kingdom Prime Minister to China, Hong Kong & Japan in 1982; and
- Vietnamese refugees.

The information of these procured digital records will be available for public viewing in the second quarter of 2015.

Access to Records

Number of Records Open for Public Access

Access to archival records kept by GRS is managed through the Public Records (Access) Rules 1996 (see **Annex**). In general, public will be 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.

In 2014, a total of 9,654 archival records were newly opened for public inspection. As a result, the number of total archival records open for public access has reached 726,866.

Among the archival records newly released in 2014, there are a wide variety of records dating from 1960s to 1980s, covering the following subject matters:



- **Land development policy (including industrial land)**

These records were about the Land Development Policy Committee which was chaired by the then Chief Secretary, attended by other Branch Secretaries and Director of Lands, discussing about policies and procedures in relation to planning, land, and buildings matters, territorial development strategy, such as application of the land use for transportation, tertiary education, key infrastructure projects, port development strategy, district development with observations on job balance, job self-containment and industrial mobility, etc. The records also include various reports on district development, harbour reclamations & urban growth study, Investigations Reports on North Lantau Development, rezoning the industrial land, and planning standards & guidelines.

- **Industry and economic development**

These records include the agenda and minutes of the Industry Development Board which was to advise the Government on all industrial matters other than labour and those falling within the purview of the Textiles Advisory Board. The Board was chaired by the Financial Secretary. It studied reports on Hong Kong electronics industry, industrial support facilities, quarterly and half-yearly economic positions, and Hong Kong-China economic development, particularly the Hong Kong-Shenzhen Joint Working Group about the links between two sides, such as land traffic links, marine links, border control, etc.

- **Unemployment situation**

This record was about monthly reports on unemployment/employment situation and performance of local industries, such as garment, textile, electronics, plastics; feedback reports on the current mood of the Hong Kong people about the economic situation, including employers' mood, workers' mood towards economic development, and regular reports on unemployment/underemployment situation. The said report included general household survey, press reports and comments on unemployment.



- **Tertiary education (site for second Polytechnic and the third university)**

These records were about the proposal of the site and name for the second polytechnic and the site for the third university. There were information minutes and papers from the Land Development Policy Committee about the selection of site for the third university.

- **Illegal immigration**

These records were about meetings, roles and progress reports on the Joint Maritime Operation (Marine Police, Royal Navy, Gurkha Forces, Army Forces and Royal Hong Kong Auxiliary Air Force) taken in the 1980s to counter illegal immigration from China and Vietnamese refugees.

- **Telecommunications policy**

These records contained minutes of meetings of the Needs of Hong Kong Sub-committee and the Cantonese Programmes Sub-committee of the Broadcasting Review Board, which was established to examine various matters related to television and sound broadcasting industries, and make recommendations on the future development of the industries as well as award of licences. Files also contained report on the television audience attitude survey, report on television and sound broadcasting in Hong Kong, discussion papers such as the survey of the needs for television and sound broadcasting. In addition, various topics were discussed including the establishment of a Children's Programme Advisory Group, penalty on breaches of television regulation, assessment of future needs of the local population for TV and sound broadcasting and the monitoring of TV advertisements, etc.

- **Home ownership**

These records were about the Home Ownership Scheme (HOS). They contain planning briefs and reports, and meeting minutes of the Working Party on Home Ownership, which was to review the HOS, Private Sector Participation Scheme & Middle Income Housing Programme (MIHP). These records also addressed the issues of the selling of Tuen Mun Melody Garden (a housing project), the eligibility of the MIHP scheme and public reactions in particular. A steering group was also formed to identify problem areas and to expand the schemes.



- **Transport policy (including taxi policy and road traffic links with China)**

These records documented meetings of the Transport Policy Co-ordinating Committee, which was chaired by the then Secretary for the Environment to review and oversee the implementation of the policies set out in the White Paper on Internal Transport Policy. These records cover the discussion of the Public Omnibus Services (Amendment) Bill, study of transportation requirements of the Mid-levels and Central, bus services, MTR bus feeder services, double toll charges for taxi journeys through the Cross Harbour Tunnel, meetings of the Taxi Review Working Group about the taxi services, meetings with the Shenzhen representatives to discuss the arrangement of border crossings at Man Kam To, Sha Tau Kok and Lok Ma Chau, terminus for cross-border coach services, and border control point at Lok Ma Chau and Sha Tau Kok, etc.

- **Royal visits**

British Royal Family members paid official visits to Hong Kong repeatedly in the 1970s and 1980s, including the Queen, the Duke of Edinburgh, Prince of Wales, Princess Anne, Princess Alexandra, and the Duke and Duchess of Kent. The Protocol Division was responsible for arranging and preparing for the Royal Visit programmes. It also liaised with the UK Government, with the Governor and other government departments involved. Some of these records contained memoranda, telegrams, operational orders, maps, guest lists, programme outline and briefing notes, uniquely documenting the administrative decisions made behind the spectacle of every royal visit.

- **Visit of Mrs. Margaret Thatcher to China and Hong Kong**

1984 was a year of historic significance to Hong Kong because of the signing of the Sino-British Joint Declaration. Mrs. Margaret Thatcher, the then UK Prime Minister, signed the Declaration in Beijing and paid a short visit to Hong Kong afterwards. The Protocol Division, which was responsible for the administrative arrangement of official visits of foreign dignitaries and officials, documented the preparation for Mrs. Thatcher's official visit. These records contained an array of papers including minutes, memoranda, telegrams from the Foreign and Commonwealth Office and from Beijing, Executive Council notes, programme

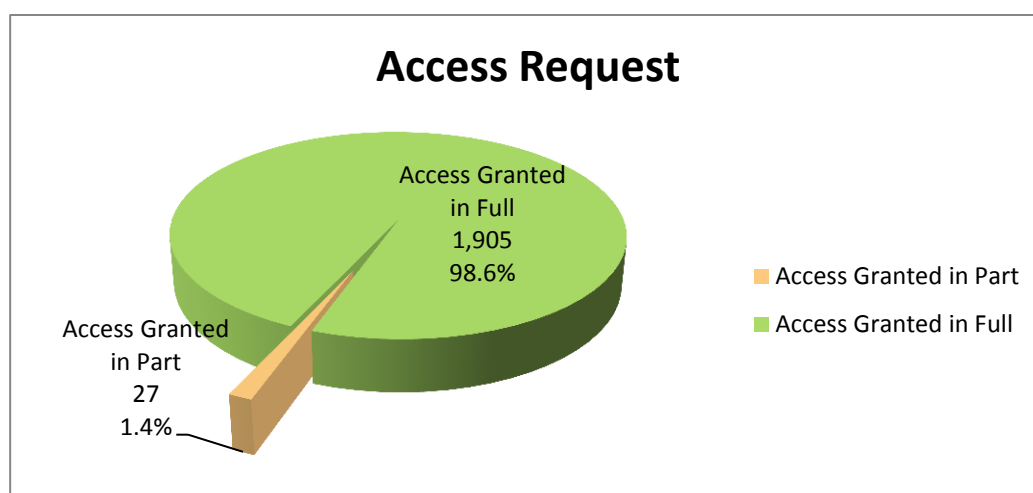


outline and briefing notes, various sets of police operational orders, maps, application forms and plans for media and transport arrangements, all shedding light on the careful planning and execution of the Prime Minister's visit.

Access Requests

When there are requests for access to archival records which are less than 30 years old, the PRO will consult the transferring B/Ds on the access status. B/Ds are encouraged to allow access to the record(s). If the B/D considers that the closed record is not suitable for public access, it is required to provide GRS with reasons with reference to Part 2 of the Code on Access to Information. In 2014, there were 1,880 access requests for open records and 52 access requests for closed records. Their access results are given as follows:

Nature of Request	Nos. of Request	Access Granted in Full	Access Granted in Part	Access Denied
Open records	1,880	1,880 (100%)	0	0
Closed records	52	25 (48.1%)	27 (51.9%)	0
Total	1,932	1,905 (98.6%)	27 (1.4%)	0





PRO staff provide guidance and assistance to users in identifying and inspecting the archival records from PRO's holdings. Users can search the records descriptions and some digitised holdings through IAS. Access to public records at PRO is free of charge. PRO provides reproduction services on a charging basis for users to obtain a copy of the public records for the purposes of research and private study. In addition, users may also use their own photographic device to take photograph of some of the PRO holdings.

Highlights of Collection of the Central Preservation Library for Government Publications

GRS also operates the Central Preservation Library for Government Publications (CPL), which selects and preserves government publications and printed materials with permanent value.

CPL contains selected government publications, reports and printed material on Hong Kong to preserve local documentary heritage. It holds publications, reports, committee papers, pamphlets, photographs, posters, maps, etc., originated by B/Ds from as early as the 1840s up to the present day. They are held in different formats ranging from files, bound volumes, photographs, posters, maps and plans to films. They are described according to international standards in the Online Catalogues. Many are digitised for convenient on-line and remote access. As at end of December 2014, the CPL had preserved more than 42,000 publications.

Reference Services

PRO serves people from all walks of life with a variety of interests and needs. It provides advisory services and information/material to journalists, government officials, lawyers, teachers, students, and visitors engaged in activities such as writing newspaper articles, identifying claims, researching judicial and administrative issues, tracing family and organisation history, preparing school projects and writing term papers, etc.

In 2014, PRO handled 8,681 enquiries and received 4,756 visitors. The GRS website recorded 1,033,155 hits.



Preservation and Conservation

Preservation Work

a) Preservation Microfilming

35mm microfilm copies are produced for public access in place of fragile originals and upon the public request. Besides, surrogate copies are produced for public access in order to preserve the fragile original materials. In the reporting year, 32,580 frames of image were microfilmed for the purpose of preservation and public access.

b) Encapsulation

Encapsulation is used to protect fragile and brittle objects from possible damages in handling and display. Selected objects are enveloped between two transparent polyester films with the use of an ultrasonic welding machine. In 2014, a total of 75 sheets of poster, 4 maps and plans and 26 sheets of document were encapsulated to provide physical support and protection during access.

c) Rehousing/ Preservation Enclosure made

To retard the deterioration of archive and library materials caused by ultraviolet light and dust attack, holdings in repository are relocated to acid free containers. Items, which do not fit into the standard folders and boxes, are given tailor-made containers.

d) Assessment of the physical condition of archival records loaned out

To safeguard the condition of archival records, PSO conducts physical condition assessment for the archival records before and after they are loaned out. A total of 1,719 items of archival records were assessed in the year.

e) Integrated Pest Management Programme

As part of the pest control strategy, all incoming files and books are inspected for insect finding and the soiled items are surface-cleaned. In addition, records with pest infection or under such doubt will be transferred into the fumigation chamber for fumigation. Each



fumigation cycle lasts for two weeks. In 2014, a total of 21,543 items of general and classified records were inspected. 82.48 linear metres of PRO's archives with risk of pest infestation were fumigated.

Conservation Treatment

Conservation preparation and treatment are conducted to preserve and repair the deteriorated archives and library. Most of the archival and library items undergone conservation treatment are in the form of documents.

The number of archival and library items which underwent conservation treatment in 2014 was 24,490.

Highlights of Items Treated

Among all the items treated in the year, 50 volumes of Government Gazette's binding were readjusted to improve their condition and robustness in handling.

Digitisation of Archival Records

GRS has been making steady efforts to digitise its holdings in order to make them more accessible by the public. Since 2001, we have planned for digitising GRS holdings based on criteria commonly adopted by overseas archives/libraries, e.g. physical condition of the items; users' demand or frequency of use; copyright restriction and personal data consideration.

In general, while digital images produced from digitisation of records allow more convenient access, digitisation itself is an expensive and resource demanding process. Taking into consideration the preservation and access needs of the archival items, GRS has adopted the following guiding principles for the selection of items for digitisation:

- 1) Building online digitised holdings – GRS is committed to preserving the archival records of Hong Kong SAR Government. GRS will digitise from its own holdings to enhance access and



preserve at-risk archival records. The first priority is to digitise GRS holdings with significant value or risk.

- 2) Preserving archival records – GRS will provide digital surrogates for fragile archival records and ensure their accessibility over time. GRS will migrate or reformat content from at-risk media to digital formats for continued preservation and access.
- 3) Meeting user demand – GRS intends to satisfy the information needs of current and future users. Priority will be given to the archival records with high accessibility rate.
- 4) Respecting intellectual property rights – GRS will comply with all legal requirements including but not limited to those set out in the Copyright Ordinance (CAP. 528). GRS will clear copyright issues for works to be digitised if they fall within copyright protection. However, priority will be given to those where the copyright protection has expired or GRS is the copyright holder.
- 5) Adhering to standards and best practices – GRS adheres to widely accepted international standards and best practices, ensuring that the physical well-being of the archival records and the quality of digitised materials will not be compromised.

In 2014 a total number of 125,493 digital images were produced from digitising selected archival items and scanning microfilm collection in order to facilitate public access to these archival records.

Good Records Management Practices

GRS has promulgated and updated regularly a wide range of records management requirements, publications, guidelines and best practices with a view to providing clear and concrete guidance for B/Ds to perform their records management activities. A set of mandatory records management requirements covering various components of records management work was issued in April 2009 for compliance by B/Ds. Subsequently, some additional guidelines were also promulgated on specific records management topics, such as departmental records management policy and creation and collection of records, to help B/Ds improve their records management practices.



Records Management Review

In the interest of continuous improvement and compliance monitoring, GRS has adopted a two-pronged approach to review the records management practices in B/Ds. This approach comprises two components, namely self-assessment by B/Ds and departmental records management reviews conducted by GRS.

The self-assessment exercises, where B/Ds carry out an assessment on their compliance with the mandatory records management requirements and adoption of other good practices, are conducted on a regular basis and coordinated by GRS. The last exercise was conducted in 2012 and the next one is scheduled for 2015.

To complement the self-assessment by B/Ds, from the fourth quarter of 2012 onwards, GRS has started to conduct departmental records management reviews for individual B/Ds. These comprehensive and in-depth reviews will cover all important aspects of records management practices of the B/Ds concerned and make recommendations for the B/Ds to improve their practices. Two such review exercises were conducted in 2014 and another two will start later in 2015.

Authorisation of Destruction of Records

According to the mandatory records management requirements, B/Ds are required to designate senior officers to consider disposal of records and obtain the prior agreement of GRS Director before destroying any government record. This is to safeguard against premature disposal of records and destruction of records having archival value. GRS will process B/Ds' records disposal requests according to the retention and disposal requirements set out in the respective disposal schedules. During the process, time-expired records having archival value will be identified and transferred to GRS for permanent retention while those without archival value will be approved for destruction. For those records disposal requests which do not meet the retention and disposal requirements, e.g. if records are not yet due for disposal, GRS will not grant approval for their pre-mature destruction. The B/Ds concerned are required to resubmit the requests to GRS when the requirements are met in full.



In 2014, GRS approved the destruction of 89,277 linear metres of records which are without archival value. Of these records, many are of routine nature, e.g. arrival and departure cards and case files relating to immigration matters which contained personal data, computer printouts relating to tax returns, reports of tax-related systems, etc. All these records were confirmed to have no archival value and have met the relevant retention and disposal requirements, as well as those set out in the governing legislation and regulations.

Support to Government B/Ds

Training and Advisory Services

GRS is responsible for advising and supporting B/Ds on issues and solutions relating to records management. Various kinds of training services are organised including classes, topical or in-house seminars, briefings and workshops for records management personnel and general records users.

To make further improvement, GRS has reviewed its strategy in providing the training service so as to ensure its effectiveness in meeting the heightened demands in terms of the number of staff trained, variety and comprehensiveness in topics, and efficiency and responsiveness in service delivery. While refining the learning objectives of each training activity, including helping B/Ds recognise the importance of records management, equipping B/Ds with sufficient knowledge of best practices and mandatory requirements, new initiatives have been and will be introduced, such as the Train-the-trainer Programme, web-based training and self-learning materials as well as easy guidebooks and tips. Opinions and new ideas will also be sought from user B/Ds so as to improve the training service quality.

The accumulative number of officers trained in 2014 has reached 2,426, thus meeting the annual training target of 2,400. This figure covered the regular courses for records managers, registry supervisors and registry staff, induction and training courses for Executive Officers and a refresher course for Confidential Assistants. There were totally 70 such events organised.



Besides regular courses, seminars and workshops were also conducted on a need basis to meet the specific needs of individual B/Ds or to address specific topics. In 2014, 19 events had been held as detailed below:

<i>Training Seminars and Workshops</i>	<i>Number of Events</i>	<i>Number of Attendees</i>
Records Management Seminar for specific B/Ds	3	176
Records Management Seminar on Business Rules	8	1,328
Workshops on Establishing Business Rules	8	341
Total	19	1,845

In sum, 4,271 government staff had been trained by GRS in 2014 on various records management topics (excluding ERM and ERKS briefings).

ERM Training for B/Ds

In 2014, GRS conducted five briefings on key concepts of ERM and Government's ERM requirements for B/Ds intending to develop their organisational EIM strategies and over 130 officers attended the briefings.

GRS also conducted briefings and seminars for B/Ds intending to implement an ERKS in their respective organisations. Four briefings and one seminar were conducted for officers of 17 B/Ds involving over 190 attendees.



Training sessions on ERKS

GRS delivered four classes of records management training including ERM for 130 Executive Officer grade members who normally perform the role of records managers in B/Ds. Besides, GRS conducted two seminars on records management including ERM and implementation of an ERKS for officers of the Marine Department. Over 90 officers attended the seminars.



ERM Publications and Guidelines

To assist B/Ds to meet the challenges in implementing an ERKS, GRS has developed a series of ERKS implementation guidelines to provide guidance to B/Ds to initiate, plan and implement an ERKS in their organisations. In 2014, a set of implementation guidelines entitled “Guidelines on Implementation of an Electronic Recordkeeping System: Key Considerations and Preparation Work Required” was being prepared for B/Ds to undertake preparatory work including reviewing and enhancing records classification scheme(s) prior to implementing an ERKS. Good practices adopted by other countries in planning for the implementation of an ERKS were also included in the guidelines for reference by B/Ds.

To underpin effective and efficient records management under an ERKS, a handbook entitled “A Handbook on Records Management Practices and Guidelines for an Electronic Recordkeeping System” was being drawn up to provide guidance for B/Ds to manage an ERKS. This handbook prescribes records management principles and best practices to manage aggregations, records and their associated recordkeeping metadata and audit trails in an ERKS.

GRS was also reviewing its Records Management Publication No. 1 “A Practical Guide to Records Scheduling and Disposal” and had started the review of Records Management Publication No. 3 “Subject Filing” in 2014.

Records Centre Service

As explained in the section “Our Facilities” in Chapter 2, the RCs of GRS provide centralised records centre services for government B/Ds in order to save B/Ds from using expensive office space in storing inactive records. The two RCs operated by the Records Centre Service Unit, namely Tuen Mun Records Centre (also known as Tuen Mun Government Storage Centre) and YKK Records Centre (in YKK Commercial Building), are located in Tuen Mun. This Unit provides intermediate storage service for inactive records of B/Ds, establishes records retention and disposal schedules and processes disposal requests from B/Ds.



The total capacity of storage of the two RCs is 124,000 linear metres. In 2014, the annual average utilisation rate was 97.28% (against the annual target of 95%). The Records Centre Service Unit has achieved 100% target in retrieval requests from B/Ds, i.e. within three working days for normal requests and within one working day for urgent requests.

The Records Centre Service Unit also coordinates the destruction of records deposited in the RCs, or transfer of such records to PRO when the retention periods of the records expire as stipulated in the corresponding records retention and disposal schedules. One month prior to the expiry of the prescribed retention period, the Records Centre Service Unit will send a concurrence memorandum to the transferring B/Ds concerned to make sure that records so deposited can be disposed of as scheduled, taking into account whether all related legal or regulatory requirements have been met and whether there is no outstanding action.

As a good records management practice, it is important to establish records retention and disposal schedules to ensure systematic planning and orderly implementation of records disposal after records have been kept the right length of time to meet the purposes they are created for and in compliance with legal or statutory requirements. This also facilitates subsequent transfer of inactive records to GRS' records centres for intermediate storage, transfer of archival records to PRO for permanent retention or destruction of records no longer required operationally or possessing no archival value. In April 2009, B/Ds were required to prepare draft disposal schedules covering all their programme records, as stipulated under the mandatory requirements. GRS, upon receipt of such draft disposal schedules, will consider and discuss with the B/Ds concerned regarding the proposed retention periods and disposal actions with a view to finalising the disposal schedules. Since the issue of the said mandatory requirements, the accumulative number of draft schedules received was 13,519 as at 31 December 2014 and actions were completed for 5,979 (44%) of them. The target completion date will be the end of 2015.

For B/Ds' requests for agreement for destruction of records, the Records Centre Service Unit and PRO together approved in total 2,785 requests for destruction, covering 92.2 million record items (89,277 linear metres)



in 2014. All these records had been appraised by PRO as having no archival value.

Support to Public Organisations

GRS issued a publication “Good Records Management Practices” to 49 public organisations in 2011 and organised a seminar for statutory bodies on records management in October 2013. In 2014, the list was updated and expanded to cover 62 public organisations. GRS had written to encourage these organisations to make reference to or adopt the Government’s good practices and standards on records management.

Furthermore, a Records Management Seminar for Public Organisations was organised in early December 2014 to urge public organisations to follow the Government’s requirements and standards on records management and further promote donation of their records with archival value to GRS. The event was well-received and 247 participants from 33 public organisations attended.



Records management seminar for public organisations

We will continue to provide support and advice to public organisations approaching GRS for assistance. A meeting with a public organisation seeking our advice was arranged in June 2014 to discuss their records management practices and donation of archival records to GRS. A tour-around to the PRO’s repository facilities and the PSO’s offices had also been arranged for its representatives.

Moreover, at the request of the Hong Kong Examinations and Assessment Authority, PRO appraised the examination results of the public examinations for secondary schools in Hong Kong from 1937 to 1992 kept by the Authority. 594 volumes were found to have archival value. Arrangements are being made to transfer the records to GRS for permanent retention.



Programme / Project Highlights

To support life-long learners and the education sector at all levels and to inform the general public more about the PRO holdings and services, PRO organises visits, seminars, workshops, thematic film shows, exhibitions and other educational activities. A web page “Educational Resources Portal” has been developed to promote appreciation of documentary heritage and the use of archival records in studying and learning. The public programmes in 2014 include:

Onsite Exhibitions

Two onsite exhibitions, namely “Memories we share: Highlights of archival records on government publicity materials” (December 2013 to November 2014) and “Behind the Postman Uniform” (December 2014 to November 2015), were launched in 2014.



Ms. Kitty Choi, Director of Administration, (right) and Mrs. Jessie Ting, Postmaster General, (left) officiated at the opening ceremony of the exhibition entitled “Behind the Postman Uniform”.





Roving Exhibition

A roving exhibition entitled “Memories we share: Highlights of Archival Records on Government Publicity Materials” was held in Tamar Central Government Complex in April 2014.



Co-organised Exhibition

A historical photo exhibition “Hong Kong: A Century of Metamorphosis Historical Photo Exhibition” co-organised by Jao Tsung-I Academy and GRS was launched from May to October 2014. Over 38,000 visitors viewed this Exhibition.

A historical photo exhibition “Hong Kong: A Century of Metamorphosis Historical Photo Exhibition” was co-organised by Jao Tsung-I Academy and GRS.



Visits and Workshops

A total of 40 group visits to PRO and educational workshops on the use of archival records were organised.



Thematic Film Show

To promote the appreciation of archival holdings, PRO has selected some films transferred from the Information Services Department and edited them into a 40-minute thematic film clip, entitled "Legend of the Amah Rock and Hong Kong Life Style in the 1960s and 1970s". About 100 sessions of the thematic film show were organised in 2014.



Film: "The Magic Stone", 1966



Film: "Report to the Gods", 1968



Film: "East West Island", 1970s

Enhancement of Educational Resources Portal

To promote the use of archival records and provide convenient access to digital resources, GRS enhances the contents of the Educational Resource Portal regularly. The new thematic web pages, namely "Behind the Postman Uniform: Deconstructing Post Office's Records" and "Image of the Month" were launched in 2014. To assist the users to understand the collection, eight new topical guides were also uploaded.



Educational Resources Portal



Implementation of ERKS in GRS

GRS launched its ERKS in May 2014 for use by its staff and a few senior officers in the Administration Wing of the Chief Secretary for Administration's Office. GRS' ERKS provides comprehensive, integrated and coherent records management functionalities to manage both electronic and non-electronic records throughout their records life cycle. A commercial off-the-shelf package was selected as the ERKS solution for GRS with necessary system configurations and a certain degree of customisation to meet the prescribed functional requirements of an ERKS.

In implementing an ERKS, GRS reviewed its own records classification scheme (commonly known as file plan), developed a single records classification scheme covering both administrative and programme records of all GRS offices, re-defined records management roles and responsibilities and drew up specific records management practices and guidelines to support the use of an ERKS. Change management activities including briefings, visits, training and workshops were organised and conducted to assist all GRS records users and records management staff to equip with the essential knowledge to use and manage the ERKS.

The ERKS provides a central store for staff of GRS to capture their digital documents and information and helps reduce the risk of inadvertent loss or inappropriate destruction of important information. With appropriate security setting, the records can be accessed concurrently by different officers at the same time, irrespective of their office locations. In comparison with a paper-based recordkeeping system, ERKS provides improved security and access control of records by storing records in a secure electronic environment which guards against unauthorised access, deletion and alteration, and provide audit trails for actions taken and changes made on records. With ERKS, officers do not need to print out records in hardcopy for filing. This has resulted in less paper consumption, promoting environmental-friendly records management practice and saving storage cost. ERKS also helps GRS officers to make better decisions because accurate information is readily available through reliable and authentic records. With ERKS, all processes relating to gathering, organising, distributing, collaborating, and analysing records can be streamlined and improved. Productivity can also be enhanced by performing different tasks simultaneously



rather than sequentially.

The implementation of an ERKS has enabled GRS to acquire valuable experience in developing an ERKS and organising change management activities, reviewing business processes and specific records management needs. GRS has shared its experience by conducting demonstration sessions of its ERKS to other B/Ds which have interest to implement an ERKS in their organisations.

To enable the ERKS to manage confidential records, GRS and OGCI0 have been working together to enhance the system functionality. The enhanced system functionality of GRS' ERKS will also serve to set an example for other B/Ds to follow. This will be a priority task for 2015.

Implementation of ERKS and ERM for B/Ds

The EIM Steering Group convened by the Government Chief Information Officer has reviewed the implementation progress of EIM as well as the implementation plan for B/Ds to carry out initiatives relating to ERKS and ERM. Taking into account the experience of the first round of ERKS implementation, Members of the EIM Steering Group, including GRS, OGCI0 and EU are reviewing the capacity to sustain the wider rollout of ERKS in the Government. A number of B/Ds of a larger scale, with more complex recordkeeping requirements, will be recruited in the next stage of development, enabling implementation issues to be tested and covered on a wider basis and a more concrete evaluation of costs and benefits to be made for an informed decision on the full extension of ERKS across the Government.



Abbreviations

AIIM	Association for Information and Image Management
ANSI	American National Standards Institute
B/Ds	Government bureaux / departments
CPL	Central Preservation Library for Government Publications
DLCS	Director of Leisure and Cultural Services
EIM	Electronic Information Management
ERKS	Electronic Recordkeeping System
ERM	Electronic Records Management
EU	Efficiency Unit
GMC	Government Microfilm Centre
GRS	Government Records Service
HKPRB	Hong Kong Public Records Building
HOS	Home Ownership Scheme
IIAS	Integrated Information Access System
MIHP	Middle Income Housing Programme
OGCIO	The Office of the Government Chief Information Officer
PRO	Public Records Office
PSO	Preservation Service Office
RC	Records Centre
RMAO	Records Management and Administration Office
RSDO	Record Systems Development Office

PUBLIC RECORDS (ACCESS) RULES 1996

Citation	1. These Rules may be cited as the Public Records (Access) Rules 1996.
Interpretation	<p>2. (1) In these Rules unless the context otherwise requires -</p> <p>"Government Records Service" means the Government Records Service of Hong Kong.</p> <p>"Government Records Service Director" means the officer appointed from time to time to administer the Government Records Service.</p> <p>"Closed records" means any public records which are not available for public inspection by virtue of Rules 3 and 6.</p> <p>"Government Department" means any department, office or agency or instrument of any kind of the legislative or judicial or executive Government of Hong Kong administered by a Head of Department.</p> <p>"Head of Government Department" means an officer of the Civil Establishment who is designated as a head of department or as an officer occupying a post of equivalent status, or who is so designated as the administrative head of an independent office or organization.</p> <p>"Public records" means all record materials of any kind, nature or description which have been made, received or acquired in the course of legislative, judicial or executive transactions, together with all exhibits and other material evidence which form part of or are annexed to or are otherwise related to any record, which may be transferred to or be acquired by the Public Records Office of the Government Records Service.</p> <p>"Search Room" means the room designated as such within the Government Records Service in which public records may be inspected.</p> <p>(2) Where any public records are bound, sewn, stapled or otherwise attached to closed records so as to form a bound volume, file or other compilation, the whole of the records contained in such bound volume, file or compilation shall be deemed to be closed records.</p>
Records available for public inspection	<p>3. Subject to the provisions of these Rules and the laws of Hong Kong, public records</p> <p>(a) which have been in existence for not less than thirty years; or</p> <p>(b) the contents of which have at any time been published or otherwise wholly disclosed to the public,</p> <p>shall be available for public inspection.</p>
Application	4. Nothing in these Rules shall apply to any public records drawn up, made, received, acquired or used in the course of proceedings of any court in Hong Kong.

Rules of conduct	5. All persons inspecting public records in the Government Records Service shall observe the rules of conduct prescribed in the Second Schedule to these Rules, and any person failing to observe such rules may be denied permission to continue his inspection.
Restriction of access to Public Records	<p>6. Without prejudice to the generality of Rule 3</p> <p>(a) if it appears to the Chief Secretary, upon advice to that effect by the Head of any Government Department which has deposited public records in the Public Records Office of the Government Records Service, that any such records contain information the disclosure of which would not be in the public interest, such records shall not be available in the Government Records Service for public inspection even after the expiration of the period determined under Rule 3;</p> <p>(b) if it appears to the Chief Secretary, upon advice to that effect by the Head of any Government Department which has deposited records in the Public Records Office of the Government Records Service that they contain information which was obtained from members of the public under such conditions that the opening of those records to the public after the period determined under Rule 3 would or might constitute a breach of good faith on the part of the Government or on the part of the persons who obtained the information, such records shall not be available in the Government Records Service for public inspection even after the expiration of the said period except in such circumstances and subject to such conditions, if any, as the Chief Secretary and the Government Records Service Director may approve, or, if the Chief Secretary and the Government Records Service Director think fit, after the expiration of such further period as they may approve.</p> <p>7. (1) The Government Records Service Director may, in his discretion and in accordance with general instructions given to him by the Chief Secretary, permit any person to inspect closed records which are held in the Government Records Service.</p>
Undertaking	(2) Persons permitted to inspect closed records may be required to sign an undertaking in the form prescribed in the First Schedule to these Rules.
Application to inspect records	8. (1) Subject to the provisions of Rule 8(4), any person wishing to inspect public records in the Government Records Service shall apply in writing to the Government Records Services Director stating the purpose for which he requires access and the general nature of the records which he wished to inspect.

(2) Each application made under the provisions of the last preceding paragraph shall be accompanied by a reference from the institution to which the applicant is attached, or, where the applicant is not attached to any institution, from a prominent and responsible person resident in Hong Kong.

(3) Every application accompanied by the reference referred to in the last preceding paragraph shall be submitted by the Government Records Service Director to the Chief Secretary for his consideration and the decision of the Chief Secretary thereon shall be final.

(4) Notwithstanding the provisions of the preceding paragraphs of these Rules, the Government Records Service Director may, in his discretion and in accordance with general instructions given to him by the Chief Secretary, permit access to public records without requiring the written application or the reference referred to in paragraph (1) and (2) of this Rule.

Search room

9. Such public records as are, under the provisions of these Rules, permitted to be inspected shall be made available to the public in a search room in the Government Records Service.

10. The Public Records (Access) Rules 1994 are hereby revoked.

FIRST SCHEDULE

**UNDERTAKING GIVEN IN ACCORDANCE WITH RULE 7(2)
OF PUBLIC RECORDS (ACCESS) RULES 1996**

1. I agree to submit for inspection by the Chief Secretary or Head of Department or Agency, as appropriate, any work based on closed records of the Government of Hong Kong held in the Government Records Service to which I may be granted access prior to publication or otherwise making it available to the public.
2. I further agree to make any amendments to the work that may be required in respect of information obtained from the closed records, the publication of which would not be in the public interest or might constitute a breach of faith on the part of the Government or person who obtained the information.
3. It is understood that these conditions do not apply to any conclusions or analysis I may draw from or make of such records.

Signature of Application

Date

Signature of Witness

Date

SECOND SCHEDULE

RULES TO BE OBSERVED BY PERSONS GRANTED ACCESS TO PUBLIC RECORDS

1. Personal belongings such as bags, umbrellas and other items not reasonably required during the inspection of records must be left at the entrance of the search room or in such other place as may be indicated by the officer in charge of the search room.
2. All persons must conduct themselves in an orderly and quiet manner in the search room.
3. Smoking, eating and drinking is not permitted in the search room.
4. No record is to be written on, marked, mutilated or textually or otherwise altered in any way.
5. No ink, paste or other substance which may damage records may be introduced into the search room.
6. Only pencils may be used for writing when using records in the search room.
7. Lap-top computers, typewriters dictaphones may be used for taking notes in the search room providing they do not cause any inconvenience or disturbance to others.
8. No object is to be placed upon any record produced for inspection in the search room.
9. Opened bound volumes must not be placed face downward on a desk or table and no object other than plain paper may be used as a bookmark.
10. Tracing of records is not permitted.
11. Records must be handled with care at all times.

**Government Records Service
Annual Report
2014**