ANNUAL REPORT 2016

Government Records Service

The Government of the Hong Kong Special Administrative Region

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Government Records Service
Director

Message from Government Records Service Director

GREAT are the five values of the Government Records Service (GRS): Green, Reliability, Efficiency, Accessibility and Transparency. 2016 continued to be a GREAT year for GRS. Guided by the GREAT values, we have achieved the following in 2016:

Green – Entering the digital era, we have been promoting the use of electronic recordkeeping system (ERKS) to replace the paper-based system. In 2016, three more government bureaux or departments (B/Ds) successfully launched their ERKS and even more would join the league soon. To assist them to meet the challenges in pursuing electronic records management (ERM), we updated four ERM standards and guidelines, promulgated new ones to facilitate B/Ds to manage records in a hybrid environment, and conducted briefings and demonstration sessions to interested government B/Ds and public organisations.

Reliability – In 2016, we acquired specialised scanners for our Preservation Laboratory to capture digital image of oversized paper materials, such as maps and architectural plans. By enhancing our equipment with modern technologies, we could preserve reliable records in various sizes.

Efficiency – Having regard to our vision, mission and values, we reviewed our performance pledges last year. Notwithstanding the enhanced standards and introduction of new pledges on internal customers' needs, we are committed to achieving greater efficiency and effectiveness.

Accessibility – In 2016, more archival records dating from 1970s to 1980s were newly opened and copies of archival records relating to Hong Kong were procured from The National Archives of the UK for public access. To promote awareness, appreciation and use of our archival collections, we enhanced the accessibility to our collections through our publicity programme by organising a new on-site exhibition "Great Scenery Along the Way: Exhibition of Street Scenes at Bus Stops on Hong Kong Island in the 1970s" and three roving exhibitions at various venues. We further enriched our Educational Resources Portal by launching new thematic web page and uploading more digitised photo albums on our website. We also developed new topical guides to provide the public with more guidance on searching our popular archival holdings.

Transparency – Starting from 2016, we provided a central platform for B/Ds to publish their records destruction information of the previous year on an annual basis. This measure significantly enhanced the transparency of the destruction of records carried out by individual B/Ds and facilitated public understanding and enabled public scrutiny of B/Ds' disposal of records. We shall continue to explore ways to enhance the transparency.

Last but not least, we built a closer relationship with more overseas counterparts through participating in an international conference and visiting archival institutions abroad. We also promoted good records management practices to more local records management practitioners in public organisations. By fostering a closer partnership with overseas and local institutions, we are able to keep abreast of the latest developments in the archives management field.

GRS' vision is to make ourselves 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. I am glad to set out in this report the many initiatives we have pursued to realise our vision.

Hope you have a great time reading this report.

Zachary Lo
Government Records Service Director

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 (HKSAR). 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, 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.

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.
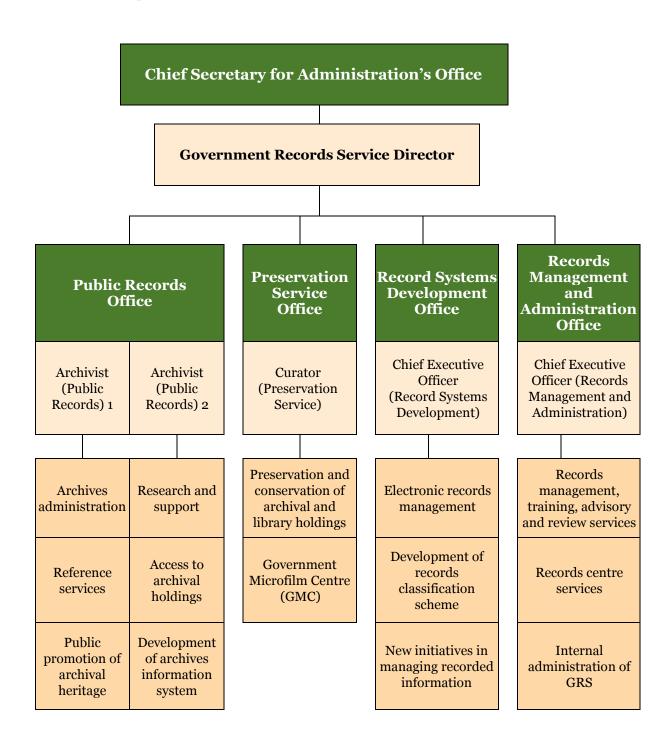
Our Values

Green	Go Green! Be environmentally conscious through developing and promoting electronic records management in the Government and public organisations.
Reliability	Create and preserve reliable records to support evidence-based decisions and to promote the documentary heritage of Hong Kong.
Efficiency	Be efficient in all aspects of records management.
Accessibility	Enhance public access to our archival collections.
Transparency	Be transparent – making our Government more open and accountable through good records management practices.

Our Organisational Structure

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│   Chief Secretary for Administration's Office │
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┌─────────────────────────────────────────────┐
│      Government Records Service Director      │
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Public Records Office		Preservation Service Office	Record Systems Development Office	Records Management and Administration Office
Archivist (Public Records) 1	Archivist (Public Records) 2	Curator (Preservation Service)	Chief Executive Officer (Record Systems Development)	Chief Executive Officer (Records Management and Administration)
Archives administration	Research and support	Preservation and conservation of archival and library holdings	Electronic records management	Records management, training, advisory and review services
Reference services	Access to archival holdings	Government Microfilm Centre (GMC)	Development of records classification scheme	Records centre services
Public promotion of archival heritage	Development of archives information system		New initiatives in managing recorded information	Internal administration of GRS

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)
- the Preservation Service Office (PSO)
- the Record Systems Development Office (RSDO)
- the Records Management and Administration Office (RMAO)

Public Records Office

PRO serves as the central archives for the permanent archives of the Government of the HKSAR.   It is committed to appraising and acquiring records and material of enduring value and making them available for public access.   It offers a rich heritage resource consisting of documents, photographs, films, posters and other records tracing the development of Hong Kong.   Archival holdings are available for viewing under the appropriate conditions for protecting the records.

PRO performs the following key archival functions:

- appraisal;
- accessioning 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, and prepares inventories, finding aids, guides and indexes to help users identify materials relevant to their research interests. To enhance accountability, PRO has implemented consistent procedures for the appraisal, transfer, arrangement and description of archival records. It provides reference services in the Hong Kong Public Records Building (HKPRB). It also provides information of its holdings through the Integrated Information Access System and different kinds of online resources available on the GRS website. Besides, various educational resources such as digital albums and more than 40 topical guides about the popular and frequently accessed records series have been prepared to assist members of the public in searching archival holdings more effectively. Each topical guide consists of suggested keywords and a list of selected reference materials of the topic concerned. Archival services face great challenges in the information age. PRO conducts extensive research to support the enhancement of archives administration and new initiatives of GRS.

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.

In the light of the increased complexity and diversity of the work, PRO was reorganised into two teams in September 2016, each headed by an Archivist. Team 1 is responsible for archives management, reference services and public promotion of archival heritage, while Team 2 undertakes matters relating to research and support, including research on ERM and digital archives, as well as access to archival holdings and development of archives information system.

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 and public areas within all the buildings used by GRS. PSO monitors environmental conditions and provides assessments on the needs and options for space and facilities.

PSO also operates the 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 digitisation of archives, once selections have been made by PRO.

PSO sets up exhibits in the gallery of HKPRB for GRS' annual thematic exhibition. After PRO has selected the subject and mapped out the 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 the Office of the Government Chief Information Officer (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 electronic records management standards, best practices and guidelines for government-wide implementation of ERM and ERKS, and providing support and assistance to B/Ds to develop or adopt an ERKS.

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 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, providing 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 a comprehensive system to manage records and oversees its effective and efficient implementation in the Government. 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 regular training courses to assist different levels of personnel to perform their records management responsibilities more effectively and efficiently;

- organise records management training courses or seminars for B/Ds and public organisations on a need basis with a view to promoting good records management practices; 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 time-expired records and provides intermediate storage facilities for B/Ds' inactive records to achieve cost-effectiveness.

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

- authorise records retention and disposal schedules [1] for government records after consulting the archivists and other offices of GRS;

- approve disposal of government records in accordance with the disposal schedules, and in consultation with the archivists and 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;

- administration of a Local Area Network; and

- accommodation and building management.

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

Our Staff

As at 31 December 2016, GRS had a total of 103 staff members. They are from different civil service grades, working together for the betterment of records and archives management in the Government.

Archivist Grade

2   Archivists
6   Senior Assistant Archivists
8   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 3 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 7 Senior Executive Officers 5 Executive Officers I 5 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 61 staff members	They include 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. It 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 houses 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 are carefully monitored by a 24-hour real-time climatic data-logging system. The air-conditioning system is 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.

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 are inspected for possible signs of pest infestation. If suspicious items are found, fumigation treatment will be conducted to eradicate the pests immediately. Pest activities within HKPRB are monitored by means of insect traps and baits.

To address the risk of fire in repositories, FM200 systems are installed which can suppress fire when released in the air, thus avoiding water damage to the archives caused by traditional sprinkler systems.

Climatic monitoring devices

Pest control equipment

FM 200 Fire Suppression System in all repositories

Search Room

We welcome visitors to our Search Room to consult our archival records and library materials. 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. on Monday to Friday, excluding public holidays.

Facilities for public service	Quantity
Seating capacity	30
Personal computer with catalogue	7
Personal computer connected to internet	1
Photocopying machine	1
Audio-visual player	2
Microfilm reader	4
Microfilm hard copy printer	2
Free WiFi connection	Available

Exhibition Hall

Each year, PRO organises a thematic exhibition to introduce its valuable holdings in the Exhibition Hall of HKPRB. In December 2016, the Exhibition "Great Scenery Along the Way: Exhibition of Street Scenes at Bus Stops on Hong Kong Island in the 1970s" was launched, together with a thematic webpage.

Lecture Room

A Lecture Room with a total capacity of 40 seats is available in HKPRB for holding records management training events or educational workshops. Every Friday, it is converted to a Video Room open to the public for viewing the thematic film show "Facets of Hong Kong (1960s-70s)", which comprises footage transferred from the Information Services Department.

Preservation Laboratory

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

PSO works to retard the deterioration of the archival collections to ensure long-term accessibility. 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.

With the rapid advancement in digitisation technology in recent years, PSO has acquired new specialised equipment to embark on digitisation of large-format and oversized archival materials to facilitate access to these items.

Wide Format Rotary Scanner for digitisation of very long archives

Planetary A0-size Scanner for capturing digital image of flat documents up to A0 size

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 provides customer-driven and quality microfilm services for B/Ds.

Records Centres

The Records Centre Service Unit of 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 for maintaining such records. RCs are located in Tuen Mun with a total floor area of 15,200 square metres and have a storage capacity of 116,000[2] linear metres.

The Records Centre Service Unit is tasked to perform the following functions/activities in relation to intermediate storage service:

- 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.

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[2] In 2016, the storage capacity was reduced by around 8,000 liner metres due to conversion of some storage spaces into archival repositories.

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

B/Ds may retrieve their inactive records from RCs when needed. Search rooms are provided for such purpose.

Strong room

Air-conditioning system

Mobile shelving system

Wireless sensors of the climatic monitoring system

Industrial grade dehumidifier

Search room in RC

What We Do

Performance Pledges and Indicators

With a view to engendering a customer service culture and improving the standards across the full range of services, GRS has published its performance pledges on its website since 2009. To ensure that GRS' services meet public expectations and are improved on an on-going basis, GRS reviewed its performance pledges in 2016 and implemented the new pledges with effect from 13 April 2016. Our achievements in 2016 are set out below -

A. Performance Pledges (before 13 April 2016)

	Performance Pledge	Target	Achievement in 2016
1	To make records and library items available to users in the Search Room within two 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%

B. Performance Pledges (with effect from 13 April 2016)

	Performance Pledge	Target	Achievement in 2016
1	**Services provided to the public:**		
	• To make archival records available to users in the Search Room within 60 minutes	95%	99.5%
	• To make library items available to users in the Search Room within 30 minutes	95%	100%
	• To process within four 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%
	• To process an application for group visit to PRO within four working days	95%	100%

Performance Pledge	Target	Achievement in 2016
2 Services provided to B/Ds in the Government:		
• To make records stored in RCs available to B/Ds within three working days	95%	100%
• To determine and advise on matters relating to microfilming requests within three working days	95%	85.7%
• To achieve an acceptance rate of 98% for GMC's products	98%	100%

C. Other Performance Indicators

| Performance Indicator	Target	Achievement in 2016
1 To acquire archival records (linear metres)	600	620
2 To render reference and research services to the public:		
• No. of visitors	5,600	5,664
• No. of enquiries	10,500	10,731
• No. of visits	25	45
• Exhibition	1	1
3 To conduct departmental records management studies / reviews	2	2
4 To conduct training for departmental records managers and their assistants on records management (no. of government officers trained)	2,400	2,604
5 To publish records management manuals, handbooks and newsletters	2	2
6 To provide intermediate storage facilities for inactive government records in terms of utilisation rate	95.0%	95.9%
7 To microfilm records for other government B/Ds (no. of images)	2,750,000	2,696,538
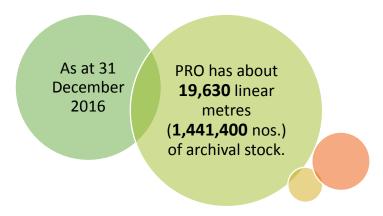
Archival Records

Archival Stock

PRO has around 2,149 Hong Kong Record Series[3] and 206 Hong Kong Manuscript Series[4] in various formats, including files (713,400 nos.), bound volume records (3,800 nos.), maps and plans (7,000 nos.), photographic materials (15,700 nos.), audio-visual materials (2,500 nos.) and microforms (699,000 nos.). They were transferred from over 100 government B/Ds, offices or agencies, public organisations, private institutions and individuals, and accessioned by PRO, adding up to about 19,630 linear metres (1,441,400 nos.).

GRS holds archival materials in all media and formats, as summarised below:
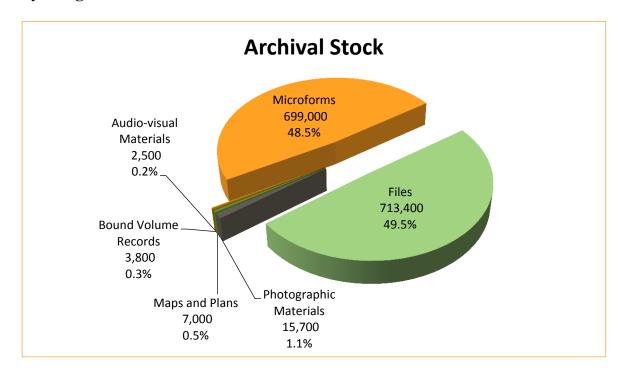
- Approximately 19,300 linear metres of government archives from over 100 different government B/Ds, offices or agencies. These government archives include paper files, bound volumes, maps and plans, photographs, films, videotapes, and computer disks, dating from the 1840s to the present day; and

- About 330 linear metres of non-government records of public organisations, private institutions and individuals associated with the history and development of Hong Kong.

As at 31 December 2016

PRO has about **19,630** linear metres (**1,441,400** nos.) of archival stock.

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[3] The Hong Kong Record Series comprises selected government records created or received by Government agencies in the course of their business.

[4] The Hong Kong Manuscript Series comprises private records and personal papers donated to the PRO as well as copies of records relating to Hong Kong purchased from other overseas archival institutions.

The breakdown of GRS' archival stock, including non-government records, by categories is as follows:

Archival Stock

Microforms
699,000
48.5%

Audio-visual
Materials
2,500
0.2%

Files
713,400
49.5%

Bound Volume
Records
3,800
0.3%

Maps and Plans
7,000
0.5%

Photographic
Materials
15,700
1.1%

Records Appraisal and Acquisition of Archival Records

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 ascertaining the archival value of government records, GRS places much emphasis on this task.   Our Archivist grade officers adopt a set of appraisal guidelines based on the experience of and standards adopted by other overseas jurisdictions.

Records likely to be selected as permanent archives should possess one of the following qualities:

- Be able to document or reflect the organisation, functions and activities of the Government's agencies;

- Be able to document the formation process, implementation and outcome of significant policies, decisions, legislation and actions of the Government;

- Be able to document the impact of the decisions, policies and programmes of the Government upon the physical environment, community, organisations and individuals;

- Be able to document the interaction between the public and the Government as well as between the physical environment and the Government;

- Be able to document the legal rights and obligations of individuals, groups, organisations and the Government; and

- 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.

Following the guidelines, Archivist grade officers will study carefully the records and ascertain if the records possess archival value for permanent retention by GRS. The records with 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 2016, 620 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's Office

Files relating to conservation and agricultural development matters from the Agriculture, Fisheries and Conservation Department

Files relating to school curriculum, school management, Chinese language support and kindergarten education from the Education Bureau

Files relating to government organisation and structure, policy matters and anti-corruption policy from the Chief Secretary for Administration's Office

Files relating to Energy Efficiency Advisory Committee, Asia-Pacific Cooperation and renewable energy from the Electrical and Mechanical Services Department

Files relating to environmental protection and district matters from the Environmental Protection Department

Files relating to the Board of Management of the Chinese Permanent Cemeteries, Chinese Temples Committee and Trust Funds and Temples Joint Secretariat from the Home Affairs Bureau

Files relating to crime operation and management, and crime prevention from the Hong Kong Police Force
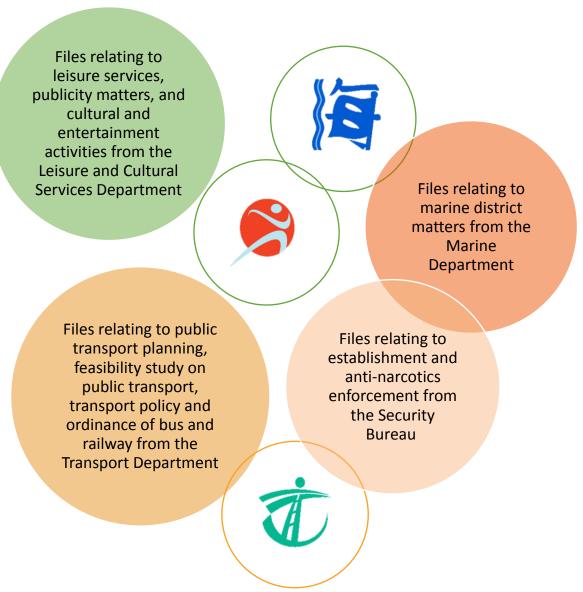
Files relating to street and building management, planning, development works and community facilities from the Home Affairs Department

Files relating to employment services to persons with disabilities, and trade, industry and economic development from the Labour Department

Files relating to investment promotion from the Invest Hong Kong

Files relating to heritage conservation from the Development Bureau

Files relating to leisure services, publicity matters, and cultural and entertainment activities from the Leisure and Cultural Services Department

Files relating to marine district matters from the Marine Department

Files relating to public transport planning, feasibility study on public transport, transport policy and ordinance of bus and railway from the Transport Department

Files relating to establishment and anti-narcotics enforcement from the Security Bureau

Moreover, in 2016, GRS procured digital copy of 193 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
- future of Hong Kong
- constitutional affairs
- maps and plans of Hong Kong (1865 - 1903)
- photos about the scenery of Hong Kong (1860-1969)

They have been available for public viewing since the third quarter of 2016.

Access to Records

Number of Records Open to Public Access

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

In 2016, a total of 10,862 archival records were newly opened. As a result, the number of total archival records open for public access has reached 760,830.

Among the archival records newly released in 2016, there are a wide variety of records dating from 1970s to 1980s, covering the following subject matters:

Basic Law and future of Hong Kong

The Basic Law is the constitutional document for the HKSAR. The Basic Law was drafted by the Drafting Committee for the Basic Law of HKSAR composed of members from both Hong Kong and the Mainland. The Basic Law Consultative Committee formed purely by Hong Kong people was established in 1985 to canvass views in Hong Kong on the drafts. The records concerned are about press cuttings, summary of media coverage and reference materials on the Basic Law, thematic press cutting files relating to polls and surveys on the future of Hong Kong, Basic Law Consultative Committee, telegrams sent from Hong Kong to the Foreign Commonwealth Office about news coverage on the future of Hong Kong.

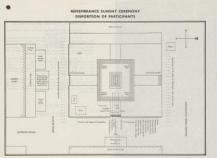### Death Of Sir Edward Youde, former Governor Of Hong Kong

Sir Edward Youde served as the Governor of Hong Kong between 20 May 1982 and 5 December 1986. He died during an official visit to Beijing on 5 December 1986. These are records about the press cuttings on the death and funeral arrangement of Sir Edward Youde and 101 volumes of the condolence books.

Remembrance Day

Ceremonies and services are observed on Remembrance Day to commemorate the ending of the two World Wars and the armed forces that died in the line of duty. The file covers documents from 1973 to 1982, recording the arrangement and formalities of conducting the Remembrance Day ceremonies at the Cenotaph in Central and at the Chinese War Memorial, the reassessment of Remembrance Day ceremonies, the design process and addition of Chinese characters to the Cenotaph, the assessment of public impression on the ceremonies, etc. Moreover, the file includes correspondences among various government branches/departments such as the Protocol Division and the Home Affairs Branch, discussion papers for the Chief Secretary's Committee, press cuttings, police traffic operation plan, lists of participants, calligraphic design sketches and architectural drawings of the Cenotaph.
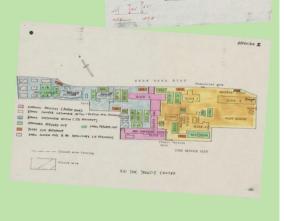
Community Affairs

Community Affairs Policy Group was one of the four policy groups set up by the Chief Secretary's Committee in July 1985. Chaired by the Chief Secretary and attended by various departmental secretaries, these records from around 1985 to 1986 were formerly retained by the Administrative Services and Information Branch concerning important policy issues to be brought up for discussion. The files mainly contain minutes of meetings, discussion papers and legislative drafting programme relating to a huge variety of policy and social issues including broadcasting policies, law translation, civic education, film censorship, use of Chinese within Government, sports and music development, data protection and privacy, the future of the Radio Television Hong Kong, population imbalance, Vietnamese refugees, etc.

Vietnamese Refugees

Hong Kong had faced the Vietnamese refugees problem since mid-1970s. The tide of refugees continued to flow in the 1980s. The records cover the period from 1984 to 1986. They document the Government's first information report on the situation of the new arrival of Vietnamese refugees, management of open and closed camps, proposed amalgamation of Jubilee Transit Centre and Kai Tak Transit Centre, adjudication reports from the Immigration Department, figures of visits to detainees by relatives and friends, length of stay of refugees in closed camps, request for transfer to other camps or early settlement from refugees, provision of services by charity organisations, etc.

Establishment of Hospital Authority

Prior to the establishment of the Hospital Authority (HA) in December 1990, the overall management and control of all public hospitals were under the purview of the Medical and Health Department. To improve the quality of medical services as well as to enhance the efficiency and effectiveness of management, the Government commissioned a consultant firm, W.D. Scott Pty Company, to review the management of the public hospital system in 1985. One of the essential recommendations of the report was the establishment of a statutory HA responsible for the overall management of Government and subvented hospitals. Besides, the HA was to be independent of the Civil Service and thus able to operate in private sector management and financial means.

Arising from the report, working groups were set up in the Medical and Health Department to consider the report. The records cover information of the working groups in 1986 on topics such as the feasibility of the proposed HA, its role and structure, staff reaction and comment, funding arrangement, feedback of stakeholders etc.

Police Cadet School

The Hong Kong Police Cadet School was founded in September 1973 in temporary accommodation at the Fan Gardens Camp in Fanling. The establishment of the cadet school, till its closure in 1990, aimed to prepare the youths for entry into the Police Force or other

LOCATION PLAN: POSSIBLE POLICE CADET SCHOOL SITES

disciplined services as well as to offer them a professional training course outside those of the traditional middle schools. Feasibility studies on the future of the Police Cadet School were conducted by the Royal Hong Kong Police Force in the 1980s. The record covers the period from 1973 to 1986. Observations and recommendations on the functions of the school, site selection, school structure, staff establishment, financial implication, situation of constable recruitment, demographic development are documented.
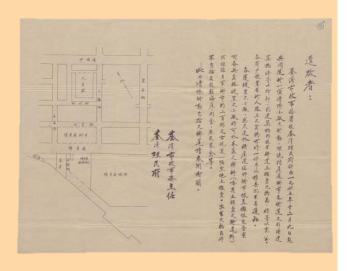
Fight Crime Committee

In March 1973, the Fight Violent Crime Committee was set up to tackle the problem of the rising trend of crime since the early 1970s. The Committee was chaired by the Secretary for Home Affairs and comprised official members only. Its terms of reference were to plan, organise and co-ordinate Government and public efforts to assist the Royal Hong Kong Police Force in combating violent crime. In 1975, the Fight Violent Crime Committee was renamed the Fight Crime Committee (FCC) with an expanded membership to include non-official members.

In May 1983, FCC was reconstituted with the Chief Secretary as its Chairperson. It was tasked to draw up plans to reduce crime, coordinate efforts in fighting crime, monitor the results and report progress to the Governor. The records contain minutes of the meetings of FCC. They are grouped by districts, such as Mong Kok District, Wanchai District, Eastern District, Tai Po District, North District and Yuen Long District, etc.

Hawker Policy

In 1970, the Government decided to stop the new issue of most types of hawker licences in order to discourage hawking and to attempt to persuade would-be hawkers to obtain employment in industry.

After initial success, the hawkers population, especially those of unlicensed ones, however increased again in the mid-1970s. Discussions on the causes and solutions were made in the Government. One suggested solution was to implement the Hawker Permitted Areas Pilot Scheme (HPAPS). The fundamental aim of HPAPS was to set aside areas where both licensed and unlicensed hawkers could operate together.

The pilot scheme was first launched in March 1975 lasting for six months. 36 sections of streets in Kowloon were selected for the scheme. The records contain discussions between government branches/departments on hawker issues from 1974 to 1986, such as HPAPS, reordering and licensing of hawkers, triad activities in hawker areas, proposal to empower staff of General Duties Teams to have powers of charging, bailing and prosecuting, hawker policy enforcement, etc. Besides, a report of "A Consultative Document on Hawker and Market Policies – being The Report of a Working Party of the Urban Council Markets and Street Traders Select Committee to Review Hawker and Related Policies" published by the Urban Council in 1985 is also enclosed.

Civic Education

A working party involving various government departments such as the City and New Territories Administration, the Education Department, the Information Services Department, and the Councils and Administration Branch was set up in 1984 to review and evaluate government's role in civic education outside existing civic education curriculum. The record concerned covers documents from around 1984 to 1986 on the inter-departmental working party which formulated policies and coordinated the promotion of civic awareness, as well as the publicity on future constitutional changes and development of representative government.

Public Light Bus

Public light bus (PLB) was legally permitted to operate since the late 1960s. It had become an auxiliary mode of public transport in Hong Kong since then. In order to properly regulate the provision of PLB services, the government initiated surveys on them annually. The record concerned relates to studies and surveys of the operation of PLB by the Transport Department and the Traffic & Transport Survey Division (TTSD) of the Public Works Department in the late 1970s and early 1980s. Included are survey reports, data records, correspondence between TTSD and the Transport Department, raw figures on PLB operation, meeting minutes, transport inspection reports as well as other surveying summaries.

The information covers a wide range of topics relating to PLB operation, such as bus routes, fares, operating expenses and revenues, passengers' responses, passengers' volume, location maps and route maps etc.
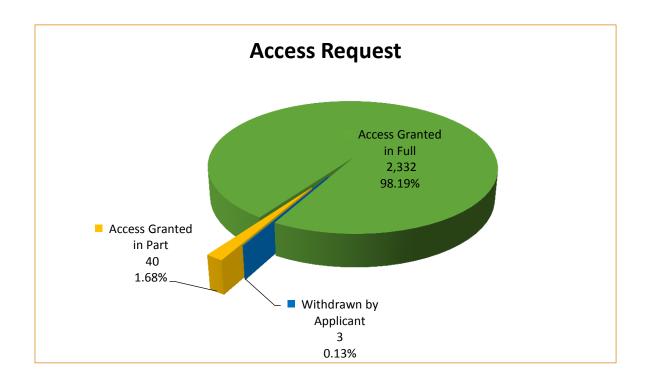
(Revised on 20 September 2017)

Access Requests

When there are requests for access to archival records which are less than 30 years old, 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 2016, there were 2,301 access requests for open records and 74 access requests for closed records.   The results are as follows:

Nature of Request	Nos. of Request	Access Granted in Full	Access Granted in Part	Access Denied	Withdrawn by Applicant
Open records	2,301	2,301 (100%)	0	0	0
Closed records	74	31 (41.89%)	40 (54.05%)	0 (0%)	3 (4.06%)
Total	2,375	2,332 (98.19%)	40 (1.68%)	0 (0%)	3 (0.13%)

To provide better service to the public, we have institutionalised the appeal channel on access to records by enabling the public to appeal to the Director of Administration against GRS' decision, and to lodge a complaint with The Ombudsman if they are concerned about any maladministration in the handling of their request.

Our 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 the Integrated Information Access System.   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.   Users may also use their own photographic device to take photographs of some of the PRO holdings.

Highlights of Collection of the Central Preservation Library for Government Publications

GRS also operates the CPL, which selects and preserves government publications and printed materials with permanent value.

As at end of December 2016, CPL had preserved around **43,000** publications.

CPL contains selected government publications, reports and printed materials on Hong Kong to preserve local documentary heritage.   Its holdings date back to as early as the 1840s.   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 access.

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, lawyers, teachers, students, and visitors who may be 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 2016, PRO handled **10,731** enquiries and received **5,664** visitors.   The GRS website recorded **1,357,866** 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.

50,252
frames of image were **microfilmed** for the purpose of preservation and public access in the reporting year.

(b)   Encapsulation

Encapsulation is used to protect fragile and brittle objects from possible damage in handling and display. Selected objects are enveloped between two transparent polyester films with the use of an ultrasonic welding machine.

310 **maps**
were encapsulated to provide physical support and protection in 2016.

(c)   Rehousing/ Preservation Enclosure

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 **1,450** items of archival records were **assessed** in 2016.

(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 2016, **26,273** items of general and classified records were **inspected**.

32.61 linear metres of PRO's archives with risk of pest infestation were **fumigated**.

(f)   Preservation of Motion Picture Film Material

The motion picture film collection items need further preservation work such as repair of perforation damages, re-making the deteriorated splices and splicing new head and tail leaders to prepare them for long-term storage and access.

A total of **433** reels of **motion picture film** were preserved in 2016.

(g)   Preservation of Oversized Paper Material

3,050

items of **oversized maps** and **architectural plans** were preserved in 2016.

The oversized paper items were treated after appraisal procedures have been completed so as to facilitate the subsequent accessioning work by PRO. Owing to their oversized nature, the objective of treatment workflow is to relax the items from their original folded and creased state to flat and robust condition and provide the necessary physical support by encapsulating each one between polyester sheets, and eventually their images would be captured in digital format for access in order to minimise unnecessary handling in the future.

Before preservation treatment
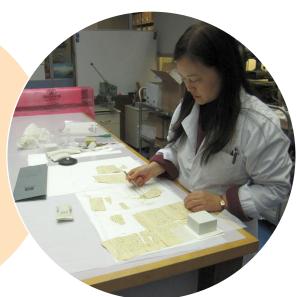
After preservation treatment

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 2016 was **28,553** **sheets of document** from 1,168 files, 10 volumes of books and 28 maps.

Digitisation of Archival Records

GRS has been making continuous 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 five guiding principles for the selection of items for digitisation.

In 2016, a total of **228,312** digital images were produced from digitising selected archival items, scanning microfilm collection, and oversized map and architectural plan items in order to facilitate public access to these archival records.

Guiding principles for the selection of items for digitisation:

1) Building online digitised holdings

   GRS is committed to preserving the archival records of HKSAR Government. GRS will digitise its holdings to enhance access and preserve at-risk archival records, with priority given to those of significant value.

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 strives 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. 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 condition of the archival records and the quality of digitised materials will not be compromised.

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. Besides, additional guidelines were 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.

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. They are also required to obtain the prior agreement of GRS Director before destroying any government records. 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 records retention and 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 2016, GRS approved the destruction of around 57,000 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.

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 of 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, whereby each B/D carries out an assessment on its compliance with the mandatory records management requirements and adoption of other good practices, are conducted on a regular basis and coordinated by GRS. In 2016, a service-wide review was coordinated by GRS to obtain updated information on B/Ds' compliance with the mandatory requirements as promulgated by the Government in 2009. In response to the GRS' review covering the calendar year of 2016, the majority of B/Ds reported that they had complied with the mandatory requirements. All B/Ds confirmed that they had maintained accurate records inventories, printed and filed e-mail records in official paper based files, and put in place arrangements to ensure proper custody and storage of records.

There was nevertheless some slippage in the compliance in the following areas:

- Some of the records classification schemes in three B/Ds had not been reviewed in the past three years;

- Three B/Ds had not drawn up and submitted draft retention and disposal schedules for some new series of programme records to GRS for approval within two years after creation;

- Some of the time-expired records in six B/Ds had not been reviewed for disposal in the past two years; and

- Four B/Ds had destroyed some of their records without obtaining prior agreement from the GRS Director.

The B/Ds concerned have been advised to take remedial actions to address the problems. GRS will continue to conduct similar reviews regularly.

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 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 2016 and another two will be carried out in 2017.

Dissemination of Records Destruction Information

To enhance accountability and transparency, GRS publishes the information of records approved for destruction in all B/Ds in the previous year from 2016 onwards on an annual basis. The first batch of information covering the figures of 2015 was uploaded to GRS' website in June 2016.

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.

In 2016, GRS has provided the following training services to government employees:

a)   Classroom Training Courses

The accumulative number of officers participated in our classroom training courses reached 2,604, meeting the annual training target of 2,400. This figure covered the regular courses for records managers, registry supervisors and registry staff as well as the induction and training courses for Executive Officers. There were totally 73 such events organised.

b)   Records Management Seminars and Briefings

To reach out to more B/Ds, GRS conducted records management seminars and briefings on a need basis to meet the specific requirements of individual B/Ds or to address specific topics. Eight events had been held, with a total attendance of 1,192. These events covered general records management topics as well as some specific issues such as filing practices and disposal of records.

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, GRS has been working on developing web-based training and self-learning materials. The project will help government employees recognise the importance of records management in their daily operations and equip them with key concepts and knowledge of records management through the use of web-based technology. Opinions and new ideas will also be sought from B/Ds so as to improve the training service quality.

Talk on Archives Administration

GRS delivered a talk on management of archival records to the Land Registry in September 2016. GRS briefed more than 30 senior officers of the Land Registry about the importance of archives and the major functions of the PRO. We also shared with them more than 20 valuable archival records transferred from the Land Registry and other B/Ds.

ERM Training for B/Ds

In 2016, GRS conducted three briefings to promote ERKS. Over 230 attendees from nine B/Ds attended the briefings. GRS also conducted two briefing sessions on key concepts of ERM and Government's ERM requirements for the Highways Department to facilitate the development of its organisational EIM strategy. Over 110 officers attended the briefing. GRS delivered four classes of records

management training including ERM for over 100 Executive Officer grade members who normally perform the role of records managers in B/Ds.

ERM Publications and Guidelines

To assist B/Ds to meet the challenges in implementing an ERKS, GRS has devoted considerable efforts to develop the ERM standards and guidelines to support B/Ds to develop or adopt an ERKS. GRS has so far developed 10 sets of ERM standards and guidelines for reference and compliance by B/Ds. In 2016, GRS, in collaboration with OGCIO, updated four of the ERM standards and guidelines to incorporate the requirements for the management of confidential records in an ERKS. They include:

a) ***Functional Requirements of an Electronic Recordkeeping System***: This publication specifies a set of functional requirements of an ERKS for compliance by B/Ds in designing, developing and implementing an ERKS. The updated version has incorporated the requirements for the management of confidential records.

b) ***Recordkeeping Metadata Standard for the Government of the Hong Kong Special Administrative Region*** (RKMS): This standard specifies a core set of recordkeeping metadata to be created, captured, used, managed and maintained in an ERKS for compliance by B/Ds when developing or adopting an ERKS. The standard has been updated taking into account the implementation experience of ERKS in B/Ds.

c) ***Recordkeeping Metadata Standard for the Government of the Hong Kong Special Administrative Region: Implementation Guidelines***: This publication provides guidance to B/Ds to comply with the recordkeeping metadata requirements set out in RKMS when developing or adopting an ERKS.

d) ***Manual on Evaluation of an Electronic Recordkeeping System:*** This publication aims to assist B/Ds to evaluate and validate whether an ERKS complies with the Government's records management policy and ERM requirements, and to seek prior agreement from the GRS to dispense with the print-and-file requirement of e-mail records as appropriate. The publication has been updated to include checkpoints for evaluating the capability of an ERKS to manage confidential records.

GRS will continue to develop new ERM standards and guidelines and to review the existing ERM standards and guidelines as appropriate.

To provide specific and practical guidelines to B/Ds to manage records in a hybrid environment consisting of paper, electronic and other forms of records, a set of guidelines entitled "Guidelines for Managing Records in a Hybrid Environment" was promulgated in 2016. It seeks to prescribe records management principles and best practices, outline the key considerations and specify practices and procedures for B/Ds to manage records in a hybrid environment in an integrated, consistent and effective manner.

GRS started the review of Publication No.2 "Managing Active Records: File Management" and Publication No.3 "Subject Filing" in 2016 and had scheduled for their promulgation in 2017.

Records Centre Service

As explained in the section on "Our Facilities", RCs of GRS provide centralised records centre services for 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 116,000 linear metres. In 2016, the annual average utilisation rate was 95.9% (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 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 seek confirmation from the transferring B/Ds concerned 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 RCs for intermediate storage, transfer of archival records to PRO for permanent retention or destruction of records no longer required operationally and possessing no archival value. In April 2009, B/Ds were required to prepare draft records retention and disposal schedules covering all their programme records, as stipulated under the mandatory requirements. GRS, upon receipt of such draft records retention and 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 records retention and disposal schedules. Since the promulgation of such mandatory requirements, the accumulative number of records retention and disposal schedules established reached 10,851 as at 31 December 2016.

For B/Ds' requests for agreement for destruction of records, the Records Centre Service Unit and PRO worked together to approve the destruction of around 57,000 linear metres of records in 2016. All these records had been appraised by PRO as having no archival value.

To support the Records Centre Service Unit to deliver quality services to all B/Ds in an efficient, effective and automated manner, GRS is developing a comprehensive web-based computer system, namely the Storage Allocation and Records Centre Information System (SARCIS), which is to be built with capabilities for storage allocation management, physical object management, database management and workflow management. Upon implementation of SARCIS, the various business processes of RCs will be streamlined and sped up. B/Ds will be able to conveniently submit requests for transfer of records to RCs and disposal of records, as well as draft records retention and disposal schedules on-line through SARCIS. The Records Centre Service Unit will process and approve the requests and records disposal schedules on-line. A centralised, systematic and well-managed database of the storage management activities in RCs and the different work processes of the Records Centre Service Unit will also be established in SARCIS. The system is expected to be rolled out in the first quarter of 2017.

Electronic Records Management

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. The system was enhanced in September 2015 for management of records of security classification at confidential level. GRS' ERKS provides comprehensive, integrated and coherent records management functionalities to manage both electronic and non-electronic records throughout their records life cycle.

Implementation of an ERKS in GRS has resulted in less paper consumption, hence promoting environmental-friendly records management practice and saving storage cost. ERKS also helps GRS officers 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 reviewing specific records management needs, conducting business process re-engineering and organising change management activities. 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.

Implementation of ERKS and ERM in other B/Ds

There are five early adopters of ERKS and they are the Efficiency Unit, GRS, the Communications and Creative Industries Branch of the Commerce and Economic Development Bureau, the Rating and Valuation Department and the Drainage Services Department. 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, six B/Ds have been recruited in the second phase of implementation which started from late 2015. Among the six B/Ds, the Intellectual Property Department, OGCIO and the Administration Wing of the Chief Secretary for Administration's Office successfully launched their ERKS in 2016. For the remaining three B/Ds, namely the Architectural Services Department, the Civil Engineering and Development Department and the Marine Department, the ERKS will be implemented by phases starting from 2017 onwards.

Reaching Out

Support to Public Organisations

Many public organisations are responsible for providing essential services to the community and there is a public expectation of proper management of their records to ensure accountability and transparency.

GRS has been conducting records management seminars for public organisations annually since 2013 with a view to urging them to follow the Government's requirements and standards on records management and promoting donation of their records with archival value to GRS. In November 2016, GRS conducted the fourth annual seminar in a row and invited 83 public organisations to the seminar. This Seminar focused on two major topics, namely (1) Records and archives management and (2) Electronic records management and electronic recordkeeping system. We shared our experience in implementing an ERKS with the participants through a demonstration of the key functionality of GRS' ERKS. More than 270 participants from 36 public organisations attended and provided positive feedback to GRS.

Moreover, at the invitation of the Hospital Authority and The Ombudsman, GRS held briefing sessions to introduce the Government records management system for the training staff of these organisations. We also shared our teaching materials with the Mandatory Provident Fund Schemes Authority upon their request. The above greatly facilitated the sharing of the Government's records management requirements, standards and practices with the public organisations and enabled them to develop and review their own corporate records management systems.

Visit by Overseas Delegations

We welcome overseas delegations visiting GRS to exchange views on issues of mutual concern.   In 2016, two delegations visited GRS.

In March, the GRS Director met with a delegation led by Mr Sangjin Lee, President of National Archives of Korea, to exchange views on archival management and co-operation opportunities between the two archival institutions.   Mr Lee also invited GRS to participate in the quadrennial International Council on Archives Congress 2016.

Visit of the delegation from the National Archives of Korea

Visit of the delegation from the National Archives of the Republic of Indonesia and National Election Commission

In October, a delegation led by Dr M Taufik, Deputy Director General of Archives Administration of the National Archives of the Republic of Indonesia visited GRS.   We shared with them the archives management framework in Hong Kong as well as our experience in preserving archival records in GRS.   They also toured around the facilities in HKPRB.

Communications with Archives Profession

To foster a closer partnership with other archives, GRS visits overseas archives and participates in international records management conferences and seminars as appropriate.

In June, the GRS Director led a delegation with four GRS officers to visit three institutions in Australia, including the National Archives of Australia, National Library of Australia, and National Film and Sound Archive of Australia. The purpose of the visit is to study the Australian experience in appraising government records, preserving and providing access to records, and addressing the challenges of paradigm shift brought by digital technology on records and archives management. The delegation also exchanged views and shared experience with our counterparts on subjects related to web archiving, digital preservation of archival records of various types and formats, as well as the Digital Transition and Digital Continuity policies of the Australian Government.

In September, a delegation of five GRS officers attended the quadrennial International Council on Archives Congress 2016 held in the Republic of Korea with the theme "Archives, Harmony and Friendship". The purpose of participating in this international conference is to foster a closer partnership with other archives over the world and at the same time to keep pace with the latest development of digital information and records management as well as the new trend in electronic records and archives management. During the conference, the delegation learned from overseas countries the updated international standards and best practices relating to long-term preservation of electronic records and the overseas' experience of setting up digital archives. GRS also took the opportunity to promote its work through participating in manning the exhibition booths for the East Asian Regional Branch of the International Council on Archives, of which GRS is a founding member.

With the aims to deepen Assistant Archivists' understanding of archival work and to establish connections with other archival institutions, two GRS delegations conducted a day visit to the Guangdong Provincial Archives (GPA) and the Archives of Macao (AoM) in October and November respectively. GPA and AoM and the delegations shared experience on the archives records management, digitisation and development of e-resources and professional development and training, etc.

Programme / Project Highlights

To support life-long learners and the education sector at all levels and to let the public know 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 2016 included:

Onsite Exhibitions

Two onsite exhibitions, namely "Under the Same Roof: Resettlement in the 1950s of Hong Kong" (December 2015 to November 2016) and "Great Scenery Along the Way: Exhibition of Street Scenes at Bus Stops on Hong Kong Island in the 1970s" (December 2016 to November 2017), were launched.

December 2015 to November 2016

Under the Same Roof: Resettlement in the 1950s of Hong Kong

Great Scenery Along the Way: Exhibition of Street Scenes at Bus Stops on Hong Kong Island in the 1970s

December 2016 to November 2017

Roving Exhibitions

Roving exhibitions entitled "Under the Same Roof: Resettlement in the 1950s of Hong Kong" were held in Ping Shan Tin Shui Wai Public Library (April to May 2016), Hong Kong Central Library (May 2016), and Sha Tin Public Library (September 2016).

Co-organised Exhibition

A historical photo exhibition "Hong Kong Over the Past 100 Years Historical Photo Exhibition" co-organised by Jao Tsung-I Academy and GRS was launched from March to August 2016. Around 71,000 visitors viewed the exhibition.

Visits and Workshops

A total of 45 group visits to PRO and educational workshops on the use of archival records were organised.

Thematic Film Shows

PRO selected films transferred from the Information Services Department and edited them into a 40-minute thematic film clip, entitled "Facets of Hong Kong (1960s-70s)". 98 sessions of the thematic film show were organised in 2016.

A Week in Hong Kong, 1967

Homes for Hong Kong, 1972

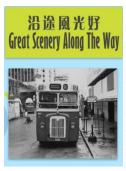*Put it in the Bin, 1972*

Hong Kong Today No.17, 1960s

Enhancement of Educational Resources Portal

To promote the use of archival records and to provide convenient access to our records, GRS has prepared different kinds of online resources, such as dozens of online exhibitions and digital albums, more than 40 Topical Guides, various thematic webpages, etc. We enhance the contents of the Educational Resources Portal regularly.

In 2016, the following items were developed –

- A new thematic web page, entitled "Great Scenery Along the Way: Exhibition of Street Scenes at Bus Stops on Hong Kong Island in the 1970s" was launched; and

- 4 digital photo albums entitled "Hawkers in 1950s", "Air Crash at Lyemun, 1956", "Canteens at Bus Termini" and "Damages and shipwrecks caused by Typhoon Wanda, 1962" were developed.

Abbreviations

AIIM	Association for Information and Image Management
ANSI	American National Standards Institute
AoM	Archives of Macao
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
FCC	Fight Crime Committee
GMC	Government Microfilm Centre
GRS	Government Records Service
GPA	Guangdong Provincial Archives
HA	Hospital Authority
HKPRB	Hong Kong Public Records Building
HKSAR	Hong Kong Special Administrative Region
HPAPS	Hawker Permitted Areas Pilot Scheme
OGCIO	Office of the Government Chief Information Officer
PLB	Public light bus
PRO	Public Records Office
PSO	Preservation Service Office
RC	Records Centre
RKMS	Recordkeeping Metadata Standard for the Government of the Hong Kong Special Administrative Region
RMAO	Records Management and Administration Office
RSDO	Record Systems Development Office
SARCIS	Storage Allocation and Records Centre Information System
TTSD	Traffic & Transport Survey Division of Public Works Department

PUBLIC RECORDS (ACCESS) RULES 1996

Citation   1. These Rules may be cited as the Public Records (Access) Rules 1996.

Interpretation 2. (1) In these Rules unless the context otherwise requires -

"Government Records Service" means the Government Records Service of Hong Kong.

"Government Records Service Director" means the officer appointed from time to time to administer the Government Records Service.

"Closed records" means any public records which are not available for public inspection by virtue of Rules 3 and 6.

"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.

"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.

"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.

"Search Room" means the room designated as such within the Government Records Service in which public records may be inspected.

(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.

Records available for public inspection	3. Subject to the provisions of these Rules and the laws of Hong Kong, public records

(a) which have been in existence for not less than thirty years; or

(b) the contents of which have at any time been published or otherwise wholly disclosed to the public,

shall be available for public inspection.

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	6. Without prejudice to the generality of Rule 3

(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;

(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.

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.

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.