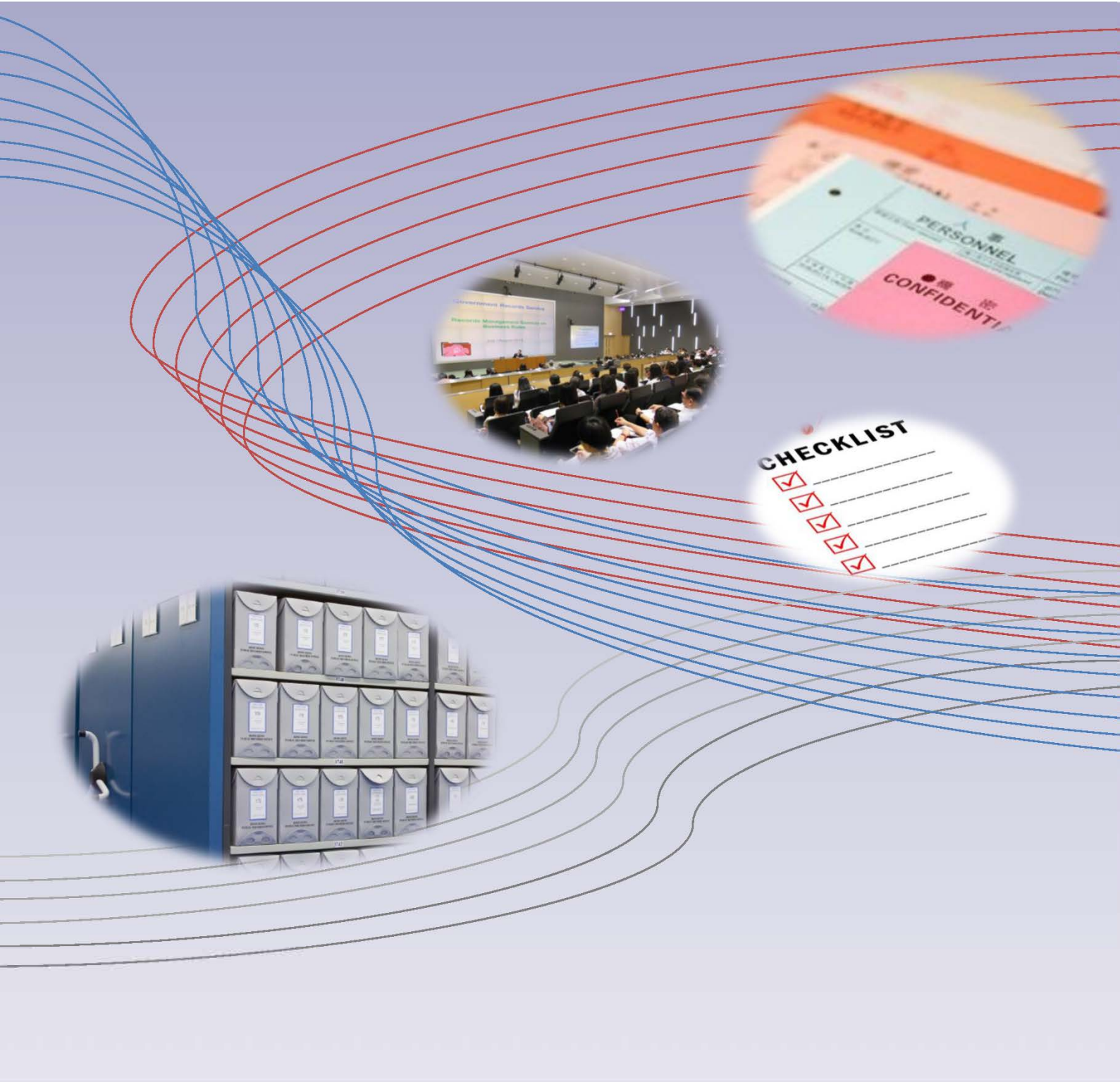


# Topical Guide Cum Checklists For Proper Records Management Practices



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Government Records Service





**Government Records Service**

**Records Management Publication No. 7**

# **Topical Guide Cum Checklists**

**for Proper Records Management Practices**

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# Foreword

## Purposes of this Topical Guide cum Checklists

Records are valuable resources of the Government to support evidence-based decision making, meet operational and regulatory requirements and are essential for an open and accountable government. Heads of bureaux/departments (B/Ds)<sup>i</sup> should accord appropriate priority and resources to implement a proper records management programme throughout their organisations. To ensure their departmental records management programmes are functioning effectively and efficiently, the Government Records Service (GRS) publishes this Topical Guide cum Checklists (hereafter “Topical Guide”) to assist B/Ds in assessing the effectiveness of their records management programme, identifying major problems and setting priorities for improvements. The Topical Guide also provides an overview of the basic components of a comprehensive records management programme. Staff with records management responsibilities may use it as a tool for planning, conducting and evaluating records management activities in their B/Ds.

## Organisation of the Checklists

2. This Topical Guide comprises 11 checklists designed for use by B/Ds at the departmental and operational levels. It includes mandatory requirements and good practices necessary for managing records throughout their life cycle, from creation and collection, to final disposal. Specific checklists are designed for specific records management activities to help B/Ds plan and implement suitable work procedures in accordance with the relevant requirements and good practices. Each checklist consists of a reference guide and a series of questions on specific topics of records management. B/Ds may detach and use any one of the checklists according to their needs.

3. The checklists are grouped into three parts, and the scope of each checklist is as follows:

### Part I - For planning and management at the departmental level

#### Checklist A – Departmental Records Management Policy and Programme

- Departmental Records Management Policy
- Roles and Responsibilities of Records Management Staff
- Recordkeeping System
- Documentation of Records Management Processes
- Monitoring and Review
- Annex to Checklist A – Sample Review Schedule

Part II - For the records management functions and activities in the life-cycle of records

Checklist B – Records Creation and Collection

- Records Creation and Collection
- Business Rules

Checklist C – Records Classification

Checklist D – Filing Practices

- Records Capture and Registration
- Search and Retrieval of Records
- Records Inventory
- Registry Management

Checklist E – Storage and Custody of Records

- Storage of Records
- Access Control and Security
- Movement Tracking

Checklist F – Vital Records Protection

- Vital Records Protection Programme
- Identification of Vital Records
- Protecting Vital Records

Checklist G – Records Scheduling

- Records Retention and Disposal Schedules
- Annex to Checklist G – Guideline cum Checklist for Review of Records Retention and Disposal Schedules (RMO2)

Checklist H – Records Disposal

- Records Disposal
- Transfer and Deferred Transfer of Time-expired Records

Part III - For specific activities

Checklist I – Bulk Relocation of Records

Checklist J – Loss and Unauthorised Destruction of Records

Checklist K – Management of Microfilms

## When to use the Checklists

4. To ensure that the records management programme is functioning effectively, B/Ds should review their records management practices on a regular basis. B/Ds are recommended to work out their review schedules and make use of the appropriate checklists as illustrated in the following table:

Records Management Activities	Checklist	Frequency of Review	Recommended Approving Authority
Departmental Records Management Policy and Programme	A	Every 2 years	Directorate officer overseeing records management, or the endorsement officer of the departmental policy, as appropriate
Business Rules	B	Every 2 years	Officer not below the rank of Senior Executive Officer (SEO) or equivalent
Classification Schemes	C	Every 2 to 3 years	Departmental Records Manager (DRM) or designated officer not below the rank of SEO or equivalent
Filing Practices	D	Regularly	Suitable officer designated in B/D (suggested an officer not below the rank of Executive Officer II (EO II) or equivalent)
Records Storage and Custody	E	Regularly	Suitable officer designated in B/D (suggested an officer not below the rank of EOII or equivalent)
Vital Records Protection Programme and Vital Records Schedules	F	Every 2 to 3 years	Officer not below the rank of Chief Executive Officer (CEO) or equivalent
Disposal Authority (Retention and Disposal Schedule)	G	Every 5 years	Officer not below the rank of SEO or equivalent
Disposal of Time-expired Records	H	Every 2 years	Officer not below the rank of SEO or equivalent

5. For specific activities, e.g. when a B/D is planning for a bulk records relocation exercise, handling cases of loss and unauthorised destruction of records or managing microfilms, specific checklists (namely Checklists I, J and K) have been prepared for B/Ds' reference. B/Ds are encouraged to make use of the above checklists to ensure compliance with the relevant procedures and guidelines.

## How to use the Checklists

6. In answering the questions, a “yes” answer basically indicates the good records management practice has been adopted. A “no” or “in part” answer means that there may be a problem and corrective action may be required. Any comments necessary to explain, clarify or modify an answer should also be recorded for reference. In case any of the questions are not applicable, B/Ds should specify the details in the column “Remarks” in the respective Checklist for documentation purpose.

7. When conducting the evaluation of records management programme, B/Ds should make reference to General Circulars, in particular No. 2/2009 entitled “Mandatory Records Management Requirements” (GC 2/2009), Circular Memoranda issued by the Administration Wing as well as other records management publications and guidelines issued by GRS for information on the Government’s records management policy, mandatory records management requirements and records management good practices. Such reference materials are available on the Records Management Theme Page at [http://grs.host.ccgo.hksarg/cgp\\_intro.html](http://grs.host.ccgo.hksarg/cgp_intro.html), which will be updated from time to time.

8. Unless otherwise specified, the checklists in this Topical Guide are applicable to all records, irrespective of their forms and media, the environment where they were created/collected, or generated, or the recordkeeping systems adopted by B/Ds (e.g. a paper-based recordkeeping system or an electronic recordkeeping system (ERKS)). For B/Ds with an ERKS implemented, “file” (as a noun) used in the checklists also means a folder/sub-folder/part in an ERKS while “to file” (as a verb) also means “to capture” (a record) into an ERKS.

9. While this Topical Guide aims to provide checklists for B/Ds to assess the effectiveness of their records management practices, the questions are in no way exhaustive. B/Ds may modify or add more specific questions to accommodate their specific records and recordkeeping practices tailored to their unique requirements. B/Ds should assess the substance of the findings and draw conclusions about policy compliance and performance. Completed checklists should be properly documented (by completing the form at the end of each checklist) in the B/Ds for internal reference and accountability purpose.

10. Suggestions and enquiries relating to this Topical Guide are welcome. Please direct them to the Records Management and Administration Office (RMAO) of GRS at 2195 7793 or [rmao@grs.gov.hk](mailto:rmao@grs.gov.hk).

Government Records Service  
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(with minor updates in November 2020)

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<sup>i</sup> Abbreviations used in this Topical Guide can be found in the Appendix.



# Checklist A – Departmental Records Management Policy and Programme

This Checklist is designed for reviewing the effectiveness of the departmental records management policy and programme of the B/D, and for pursuing improvements, where necessary, in a comprehensive and integrated manner. Departmental management may also make reference to some of the questions for improvement of their own records management practices. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Review Covering Period:</b>	

- Heads of B/Ds should accord appropriate priority and resources to implement a proper records management programme throughout their organisations for effective and efficient management of government records as well as for identification and preservation of archival records. [Para. 2 of GC 2/2009 & Para. 3 of CM 5/2012]

## **Departmental Records Management Policy**

- To ensure compliance with the Government’s records management policy, which requires the establishment in each B/D of a comprehensive departmental records management programme, it is incumbent on B/Ds to develop and establish departmental records management policies in their organisations taking their unique business and records management needs into account. A departmental records management policy demonstrates a B/D’s commitment to adopting and practising good records management, serves as guidelines on records management for its staff and is an effective way of cultivating and communicating records management culture within the organisation. Such a policy is also a key component of good corporate governance. [Para. 3 of CM 5/2012]
- A departmental records management policy is a statement which offers an overview of how the B/D should create and manage its records to meet operational, policy, legal and financial purposes. [Para. 5 of CM 5/2012]
- All B/Ds should establish their departmental records management policies and promulgate them to all their staff. If necessary, B/Ds should develop further guidelines and procedures for compliance by their staff. [Para. 8 of CM 5/2012]
- The policies should be re-circulated to all staff at least once every six months. [Para. 9 of CM 5/2012]

- To cope with changing circumstances, B/Ds should review the policies at least once every two years. [*Para. 10 of CM 5/2012*]

**Q1. Is a comprehensive departmental records management policy and programme in place to manage records in your B/D?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In part	No
(i)	Has the records management policy and programme been endorsed by the senior management of your B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has the records management programme been allocated appropriate resources and priority (e.g. human resources, storage space, equipment, funding for migration and maintenance of records to other formats, development of ERKS, training resources, etc.) to enable it to comply with all mandatory requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	In establishing, implementing and reviewing the records management policy, has your B/D made reference to <a href="#">CM 5/2012 on “Establishment of Departmental Records Management Policies”</a> ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has the records management policy defined clearly and adequately the programme authority, objectives, roles and responsibilities of the staff who perform records management duties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Have the records management policy, responsibilities, guidelines and procedures been properly documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Has your B/D circulated the records management policy to all staff at least once every six months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Has your B/D reviewed the records management policy at least once every two years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. In promulgating the departmental records management policy, are procedures and guidelines established to underpin the recordkeeping system(s), functions and processes for compliance by staff?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In part	No
(i)	Has your B/D issued guidelines and procedures for different aspects of records management, from records creation, collection to final disposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have records management guidelines and publications issued by GRS been adopted to provide standardised and consistent records management practices and procedures across the B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have the guidelines and procedures been developed and made known to staff for meeting records related statutory and regulatory requirements of your B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have the implications of relevant legislation and codes, such as the Security Regulations (SR), Code on Access to Information, Evidence Ordinance (Cap. 8), Limitation Ordinance (Cap. 347), Personal Data (Privacy) Ordinance (Cap. 486), Electronic Transactions Ordinance (Cap. 553), etc. been considered and suitably incorporated into the guidelines and procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***Roles and Responsibilities of Records Management Staff***

- While records management is the responsibility of every staff, B/Ds should appoint suitable staff to take up specific roles and responsibilities on records management. [Para. 7 of Annex I to CM 5/2012]
- To ensure that there is adequate attention from the senior management, a **director** officer should be appointed to oversee records management. [Para. 7(a) of Annex I to CM 5/2012]
- **Departmental Records Managers (DRM)** plays a key role in establishing and implementing the departmental records management programme to ensure that GRS' requirements and guidelines on records management are complied with. [Para. 7(b) of Annex I of CM 5/2012] Any replacement of DRM should be reported to GRS not later than two weeks after the replacement. [Mandatory requirement under Para. 5 of GC 2/2009]

- **Assistant DRM(s)** should be appointed to assist DRM to monitor records management activities, and **Records Managers** should be appointed to oversee records management activities in the respective offices/registries. [*Para. 7(c) and (d) of Annex I to CM 5/2012*]
- B/Ds should equip staff with adequate records management knowledge and skills, in particular staff who are responsible for records management or have to create and collect records during their work. [*Para. 13 of Annex I of CM 5/2012*]
- To help B/Ds' staff familiarise with various records management issues, GRS organises regular records management training courses as well as seminars on specific records management topics, and details of which can be found on [http://grs.host.cgo.hksarg/service\\_training.html](http://grs.host.cgo.hksarg/service_training.html).

**Q3. Are the records management responsibilities assigned to staff of appropriate levels and skills, with adequate programme direction and support to perform their records management duties?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In part	No
(i)	Has your B/D designated a directorate officer to oversee records management, which is crucial to the success in the records management programme of B/Ds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D informed GRS of the replacement of DRM not later than two weeks after each replacement? [ <i>Mandatory Requirement under Para. 5 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have Assistant DRMs (who should be generally not below the rank of EO II or equivalent) been appointed to assist the DRM to monitor records management activities in your B/D? [ <i>Para. 7(c) of Annex I to CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have Records Managers (who should be generally not below the rank of EO II or equivalent) been appointed to oversee records management matters in the registries of each section/office? [ <i>Para. 7(d) of Annex I to CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Have registry staff been deployed to handle the day-to-day records management activities in their registries? [ <i>Para. 7(e) of Annex I to CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In part	No
(vi)	Have your staff been well informed of the records management policy, related guidelines and procedures as well as their respective roles and responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	For staff who have been assigned specific records management roles and responsibilities, have such duties been reflected in their job descriptions to facilitate evaluation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	To facilitate the performance of certain recordkeeping duties by your records management staff, have you timely opened new user accounts and removed obsolete ones from the Storage Allocation and Records Centre Information System (SARCIS)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4. Are trainings provided to staff at different levels?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	For new employees, have you circulated the Tips on Records Management for Government Employees (downloadable from GRS' thematic website on Central Cyber Government Office) and conducted briefings to them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have records management training and application system training (for B/Ds where a computer system (including ERKS) has been implemented for recordkeeping purpose) provided to new staff as part of their induction programme?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have refresher courses on records management and application system training (for B/Ds where a computer system (including ERKS) has been implemented for recordkeeping purpose) provided to serving staff regularly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have your records management staff received training on records management conducted by GRS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(v)	For B/Ds where a computer system (including an ERKS) has been implemented for recordkeeping purpose, has the designated system administrator(s) been trained and competent in its application?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ***Recordkeeping System***

- A recordkeeping system is a manual or automated record/information system in which records are collected, organised and classified to facilitate and control their creation, storage, retrieval, distribution, maintenance and use, disposal and preservation. It should include at least a records classification scheme(s) with related index(es), a complete records inventory, records disposal schedules, vital records lists, and procedures and documentation for records coding, filing, retrieval, movement tracking, disposal as well as identification and protection of vital records.
- When designing and implementing a recordkeeping system, B/Ds should ensure that their recordkeeping systems could meet the Government's records management requirements as well as the B/Ds' records management policy and requirements. It could also cover the whole life cycle of records to ensure their authenticity, integrity, reliability and usability. [*Paras. 2.4 and 2.8 of Hybrid*]
- B/Ds should not allow their staff to keep records in personal recordkeeping systems (such as subject officer's desktop computer, shared drive facilities, mailboxes in an e-mail system, etc.) instead of the designated departmental recordkeeping system(s). [*Para. 4.17 of Hybrid*]

**Q5. Are the following documentations included to support your recordkeeping system(s)?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Business rules or self-assessment on records creation and collection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(ii)	For B/Ds where an ERKS has been implemented, departmental rules and practices for capturing records, in particular for records involving multiple recipients in the same office/unit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Classification schemes, related indexes and finding aids	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Accurate inventory of records [ <i>Mandatory requirement under Para. 6 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Records retention and disposal schedules for all programme records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Vital records schedules (A master list of vital records schedules should be maintained by DRM)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Movement register, such as Bar-coding File Management System, movement cards, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Disposal requests and related processing records, including lists of disposed records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	For records managed in a computer system (including an ERKS), complete and up-to-date system documentation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	Review schedule	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q6. Has a reliable, compliant, comprehensive, integrated, systematic recordkeeping system(s) been implemented to manage the records of your B/D?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	<b>Reliability:</b> It should be capable of continuous and regular operation in accordance with established guidelines and procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	<b>Integrity:</b> Access and security measures should be in place to prevent unauthorised access, destruction, alteration or removal of records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iii)	<b>Compliance:</b> It should be managed to comply with all requirements arising from the legal and regulatory environment and business, and expectations in which the B/D operates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	<b>Comprehensiveness:</b> It should be able to manage records in any formats captured from different activities and transactions of the B/D.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	<b>Systematic:</b> It should be able to capture, maintain and manage records systematically.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q7. Does your recordkeeping system(s) meet the following recordkeeping requirements?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Capable of collecting, organising and categorising records so as to facilitate records retrieval, distribution, use, disposal or preservation [ <i>Para. 119 of RMM</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Capable of making and maintaining complete, accurate and reliable evidence of business functions and transactions in the form of the recorded information [ <i>Para. 118 of RMM</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Capable of keeping recorded information to protect legal, financial and public rights and interests relating to the functions, transactions and activities of the B/D [ <i>Para. 120 of RMM</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**Q8. Is suitable technology adopted in keeping records in your B/D?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Does your B/D have a recordkeeping system (e.g. a manual system making use of technology such as barcode system, computerised records inventory or other computer systems for some records management functions and processes) having the necessary functionality to enable it to carry out and support the various records management processes taking account of workflow, records quantity and formats, and operational needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D implemented or considered implementing an ERKS to support more efficient and effective management of electronic records and non-electronic records in a consistent and integrated manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	For B/Ds that are still using paper-based recordkeeping system, are there any plans to explore the use of technology applications that improve records access, control and cost-effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has records technology adopted as mentioned in (iii) above served the business purposes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***Documentation of Records Management Processes***

- Documentation describing records management policy and processes as well as recordkeeping systems should address legal, regulatory, operational and technical requirements. [*Para. 46 of Appendix to Annex I of CM 5/2012*]

**Q9. Has your B/D adequately documented the following records management activities?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Establishment and review of departmental records management policy, procedures and guidelines [ <i>Para. 46(a) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Designation of records management roles and responsibilities of staff [ <i>Para. 46(b) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Establishment and maintenance of recordkeeping system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Guidelines on what records should be created and kept, and business rules for records creation/collection [ <i>Para. 46(c) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	For B/Ds where an ERKS has been implemented, departmental rules and practices for capturing records, in particular for records involving multiple recipients in the same office/unit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Records inventory [ <i>Para. 46(d) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Establishment, adoption, endorsement and review of classification schemes [ <i>Para. 46(e) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Review of records storage [ <i>Para. 46(f) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	Access rights and security of records [ <i>Para. 46(g) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	Movement of records [ <i>Para. 46(h) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xi)	Establishment and review of records retention and disposal schedules [ <i>Para. 46(i) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(xii)	Disposal requests and related processing records, including lists of disposed records, internal endorsement on and GRS' approval for disposal of records [ <i>Para. 46(j) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xiii)	Deferment of transfer of records having archival value or potential archival value to PRO of GRS [ <i>Para. 46(k) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xiv)	Records disposal procedures [ <i>Para. 46(l) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xv)	Bulk relocation of records procedures [ <i>Para. 46(m) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xvi)	Transfer of records to other sections and offices of the B/D, other B/Ds or outside the Government [ <i>Para. 46(n) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xvii)	Investigation and follow-up action on loss or unauthorised destruction of records [ <i>Para. 46(o) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xviii)	Vital records protection programme [ <i>Para. 46(p) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xix)	Monitoring and auditing of records management [ <i>Para. 46(q) of Appendix to Annex I of CM 5/2012</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xx)	Training programme arranged for B/D's staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ***Monitoring and Review***

- To ensure that their records management programme is functioning effectively, B/Ds should review their records management practices regularly. [*Mandatory requirement under Para. 25 of GC 2/2009*]
- An effective records management programme should be regularly evaluated to ensure compliance, rectify weakness and accommodate new requirements. Programme evaluation has the following objectives:
  - Assess the effectiveness and efficiency of the records management programme; and
  - Modify the programme to cope with changes in technologies, legislation/regulations and business functions.
- B/Ds should assess their compliance with the mandatory records management requirements and adoption of good practices as promulgated in the related General Circulars / Circular Memoranda and records management publications including the Records Management Manual. [*Para. 5 of GC 5/2012*]
- To help keep track of the reviews, it will be useful to draw up a Review Schedule (a sample of which attached as **Annex to Checklist A**).

**Q10. Are reviews conducted periodically to ensure compliance with established records management guidelines and procedures, identify weaknesses for improvement and accommodate new requirements?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have regular and random checks of the programme been conducted to ensure that your B/D is in line with the records management policy of the Government?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D reviewed records management practices regularly to ensure compliance? [ <i>Mandatory Requirement under Paras. 25-26 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have all findings of the reviews and assessments been examined with follow-up actions specified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q11. Are there an evaluation mechanism established to monitor and assess the records management programme continually?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have you conducted regular review on records management policy and programme?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have all staff been informed of the roles and responsibilities in respect of the records under their purview?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have suitable officers been designated to conduct the review within the B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have you conducted periodic reviews to identify newly created records and to ensure that they are maintained in accordance with established procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Have you identified areas requiring improvement through regular review of records management practices of sections/units and exception cases (e.g. loss or unauthorised destruction of records)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Have records been created, processed, maintained, accessed to and disposed of in compliance with relevant legislations and regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Have staff suggestions been taken into account for updating the records management practices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Have there been established procedures to ensure that any amendments to the existing records system must be approved by DRM or any appropriate authority?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	Have the results of the programme evaluation been documented and the required actions implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	For B/Ds implemented with an ERKS and obtained GRS' agreement to dispense with the print-and-file practice, has your B/D monitored and reviewed the ERKS functionality and the associated departmental records management policies, practices and procedures having regard to changes to the legal, business, accountability and evidence requirements at least once every three to four years, in accordance with the <a href="#">Manual on Evaluation of an Electronic Recordkeeping System</a> ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



## Sample Review Schedule

To ensure that their records management programme is functioning effectively, B/Ds should review their records management practices regularly. As such, B/Ds (or individual offices and sections) are recommended to work out their review schedules, listing out the requirements of review frequency, endorsement officers, dates of the last review and the plan for the next review of specific activities. A sample review schedule is prepared below for reference:

Records Management Activities	Checklist	Frequency of Review	Endorsement Officer	Date of Last Review	Date of Next Review
Departmental Records Management Policy and Programme	A	Every 2 years			
Business Rules	B	Every 2 years			
Classification Schemes	C	Every 2 to 3 years			
Filing Practices	D	Regularly			
Records Storage and Custody	E	Regularly			
Vital Records Protection Programme and Vital Records Schedules	F	Every 2 to 3 years			
Disposal Authority (Retention and Disposal Schedule)	G	Every 5 years			
Disposal of Time-expired Records	H	Every 2 years			

2. B/Ds should refer to relevant guidelines and procedures for details of the reviews. Each review should be completed within a reasonable period (say two to three months) and a clear target completion date should be set for each review. Where necessary, it may be advisable to set different review dates for different documents of the same activities (e.g. disposal authorities endorsed on different dates could have their own review schedules).

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## Checklist B – Records Creation and Collection

This Checklist is mainly designed to facilitate B/D's evaluation on their creation and collection of records. For the issues of filing practices, please refer to Checklist D – Filing Practices, as appropriate. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### **Records Creation and Collection**

- Records should be created or collected to meet operational, policy, legal and financial purposes, and to document accurately and adequately government functions, policies, procedures, decisions and transactions to serve as reliable evidence. [Para. 2 of GCCR] The creation/collection of records should be adequate but not excessive. [Para.3 of GCCR]
- Unless otherwise agreed by GRS, e-mail correspondence should be printed-and-filed for record purposes. [Mandatory requirement under Para. 7 of GC 2/2009]
- To facilitate their access, use and preservation, records should be created or kept in the most suitable medium and format. [Para. 7 of GCCR] In the case where multiple forms of records are captured and kept, B/Ds should determine which form(s) of records should be considered as the official records. [Para. 4.8 of Hybrid]

### **Business Rules**

- As a systematic approach to records creation/collection, B/Ds should develop **business rules** to document decisions as to what records are to be kept by B/Ds. These business rules should be established, documented and promulgated in a way that can be used by staff in their daily work. [Para. 8 of GCCR]
- To cope with changing circumstances, B/Ds should conduct regular review (e.g. at least once every two years) on the departmental guidelines and business rules on records creation and collection. The review should be endorsed by an officer not below the rank of SEO or equivalent. [Para. 18 of GCCR]
- These rules should be re-circulated to all staff at least once every six months.

**Q1. Are records properly created and collected?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have records been created and collected sufficient to meet policy, operational, legal and financial purposes? [ <i>Para. 2(a) of GCCR</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have all government functions, policies, procedures, decisions and transactions been accurately and adequately documented? [ <i>Para. 2(b) of GCCR</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have records in the recordkeeping system served as reliable evidence of transaction? [ <i>Para. 2(b) of GCCR</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have the captured records included not only the content but also the structure and contextual information necessary to document an official transaction or activity, such as date sent, sender's identity, addressee's identity and routing information, etc.? [ <i>Para. 312 and glossary (contextual information) of RMM</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. Are the creation and collection of records adequate but not excessive? [*Para. 3 of GCCR*]**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D issued guidelines and procedures, such as the business rules on the creation and retention, for those records that are necessary to meet operational, fiscal, legal and other requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has the records management staff in your B/D been informed of the types of records which are required to be created and maintained to meet statutory and regulatory requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has the "print-and-file" requirement of e-mail records been observed in your B/D? [ <i>Mandatory Requirement under Para. 7 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iv)	Has your B/D maintained a monitoring system, such as assigning senior registry staff to oversee filing practices, so as to eliminate filing of unneeded information copies to minimise costs and administrative work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3. Do your business rules cover: (i) what records to be created/collected; (ii) who to create/collect records; (iii) when to create/collect records; and (iv) where to keep records for adoption by staff? [Appendix II to CM 4/2012]**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	In establishing, implementing and reviewing your business rules on records creation and collection, have you made reference to <a href="#">CM 4/2012 entitled “Guidelines on Creation and Collection of Records”</a> ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have you determined what records have to be created and collected having regard to the records creation and collection principles set out in GCCR, such as capturing adequate but not excessive records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D created/collected or kept records in the most suitable medium and format, including printing and filing e-mail records in a paper-based recordkeeping system prior to the implementation of an ERKS in the B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D regularly reviewed whether records created/collected are complete, reliable and adequate to serve as evidence of business?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your B/D clearly specified its staff’s roles and responsibilities of creating/collecting records, particularly for business processes involving the creation/collection of large quantity of records so that records are created/collected routinely by staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Has your B/D evaluated the performance of staff on creating/collecting records in the appraisals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(vii)	Have your staff created/collected records to document the actions or decisions as soon as possible in order to ensure that the reliability and completeness of records will not be adversely affected due to passage of time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Have your B/D's records been kept in designated departmental recordkeeping system(s) (e.g. a paper-based system or an ERKS), but not in personal system(s) (e.g. the subject officer's personal files or e-mail inbox)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	In considering where to keep the records created/collected, have your B/D considered whether the departmental recordkeeping system(s) facilitate authorised users to access the records managed and kept by them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	Has the departmental recordkeeping system(s) been able to keep records in context (e.g. organised according to a proper and systematic records classification scheme) so that their connection to other records relating to the same subject/case/event is apparent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xi)	In considering where to keep the records created/collected, have classified records been managed and kept according to the provisions in SR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4. Have you reviewed the effectiveness of the business rules or self-assessment on records creation and collection?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D implemented adequate controls and measures to ensure that sufficient, complete and accurate records have been created/collected and captured according to the established business rules for records creation and collection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(ii)	Have the establishment and review of business rules been endorsed by an officer not below the rank of SEO or equivalent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D re-circulated the approved business rules to all staff at least once every six months for compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D conducted regular review (e.g. at least once every two years) on the departmental guidelines and business rules on records creation and collection to cope with changing circumstances?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	In case self-assessment was conducted by using the form in Appendix II of “Guidelines on Creation and Collection of Records” attached to CM 4/2012 and that a “No” or “In part” answer indicating inadequacies have been identified, has your B/D taken improvement measures to rectify the problems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



## Checklist C – Records Classification

This Checklist is mainly designed to facilitate B/D's evaluation on their classification of records at departmental or sectional level. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### **Records Classification**

- Records should be systematically organised according to a records classification scheme which is a plan for logical arrangement of records according to the business functions, activities or contents of the records. [*Mandatory requirement under Para. 8 of GC 2/2009*]
- Records are divided into administrative records and programme records.

#### *Administrative Records*

- Administrative records are records created or received during the course of day-to-day administrative activities that deal with finance, accommodation, procurement and supply, establishment, personnel and other general administrative activities. Records of this nature are common to B/Ds.
- B/Ds are required to adopt the standard classification scheme for all their administrative records promulgated by GRS (as detailed in GRS' Records Management Publication No. 3 - Subject Filing). [*Mandatory requirement under Paras. 9-10 of GC 2/2009*]

#### *Programme Records*

- Programme records are records created or received by a B/D whilst carrying out the primary functions, activities or mission for which the B/D was established. Records of this nature are unique to each B/D.
- B/Ds should make reference to the procedures set out in Publication No. 3 to develop their own classification schemes for programme records. [*Para. 11 of GC 2/2009*]
- New classification schemes for a B/D should be approved by its DRM. [*Mandatory requirement under Para. 8 of GC 2/2009*]

- The records classification schemes should be reviewed every two to three years. [*Mandatory requirement under Para. 12 of GC 2/2009*]
  - A Records Manager or Registry in-charge should be designated to control the creation, naming and coding of new files to facilitate accurate capturing and ready retrieval of records. [*Para. 13 of Appendix to Annex I of CM 5/2012*]
  - The DRM is required to have regard to the following in approving a new records classification scheme or reviewing records classification schemes:
    - whether programme records are separated from administrative records;
    - whether the scheme is systematic, logical, consistent and scalable to facilitate accurate and complete documentation of policies, procedures and decisions for the efficient carrying out of the B/D's functions, activities and transactions;
    - whether the scheme can be used easily and the file titles are clear and unique (e.g. avoid the use of the terms “general” or “miscellaneous”) to facilitate accurate capturing and ready retrieval of records; and
    - whether the scheme facilitates segregation of vital records for protection and establishment of disposal schedules to satisfy retention requirement stipulated by legislation (e.g. Personal Data (Privacy) Ordinance) and to separate records which need to be kept for a long period (e.g. those on policy) from those which need to be kept briefly (e.g. routine correspondence).
- [*Appendix II of GC 2/2009*]

**Q1. Has your B/D developed and implemented records classification schemes which cover all records irrespective of the form and media of the records?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have all administrative records created been classified according to the standard classification scheme promulgated in <a href="#">Publication No. 3 - Subject Filing</a> ? [ <i>Mandatory requirement under Paras. 9-10 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have all programme records created been covered by programme records classification schemes of your B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have the records classification schemes covered all records (including paper, audiovisual, cartographic and electronic records) as well as all business functions and activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**Q2. Has your B/D reviewed the records classification schemes?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have all new records classification schemes created after April 2012 been approved by DRM? [ <i>Mandatory requirement under Para. 10 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have you reviewed the records classification schemes at least once every two to three years to cater for changing circumstances (e.g. obsolete subjects due to reorganisation)? [ <i>Mandatory requirement under Para. 12 of GC 2/2009</i> ]?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3. Is your records classification scheme able to facilitate accurate and complete documentation of policies, procedures and decisions for the efficient carrying out of the B/D's functions, activities and transactions?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D adopted a systematic and clear scheme, with a logical arrangement of records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Are the groupings of records, naming and coding consistent throughout the scheme?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has the scheme been designed to be scalable, i.e. allowing for expansion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has the scheme been easy to use and the file titles been clear and unique (e.g. avoid the use of “general”/“miscellaneous”) to facilitate accurate capturing and ready retrieval of records? [ <i>Appendix II of GC2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your scheme linked records to their business context and other related records to provide a continuous history of an activity, a transaction, a case, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Has your scheme enabled robust security and access control of records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(vii)	Has your scheme enabled distribution of responsibility for management of records and distribution of actions, e.g. records are grouped into different records series for geographically separated offices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Has your scheme enabled segregation of vital records for protection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	Has your scheme enabled establishment of records retention and disposal schedules?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	Has your scheme supported timely and effective disposal by segregation of records with different retention periods, e.g. policy records, normally having a longer retention period, should be separated from routine records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Remarks** (If any of the above answers is “No” or “In Part”, please specify the records management problems identified.)

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This form is completed by:

Reviewing Officer	
<b>Name:</b>	<b>Tel:</b>
<b>Post:</b>	<b>E-mail:</b>
<b>Rank:</b>	<b>Date:</b>
<b>Recommendations:</b>	
<input type="checkbox"/> All the answers in the Checklist are “Yes”. No further action is proposed.	
<input type="checkbox"/> Some “No” or “In Part” answers are identified. The following remedial actions, plan and expected completion date to rectify the problems are proposed:	
(Please ✓ as appropriate)	

This form is endorsed by:

Endorsement Officer	
<b>Name:</b>	<b>Tel:</b>
<b>Post:</b>	<b>E-mail:</b>
<b>Rank:</b>	<b>Date:</b>
<b>Result:</b>	
The result of the review is endorsed / not endorsed* (delete if inappropriate).	
Remarks, if any:	

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## Checklist D – Filing Practices

*This Checklist is mainly designed to facilitate B/D's evaluation on their filing practices. For the issues of records creation and collection, please refer to Checklist B – Records Creation and Collection, as appropriate. For questions that are not applicable to your B/D, you may skip them as appropriate.*

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### ***Records Capture and Registration***

- All records of the B/D should be captured into departmental recordkeeping systems, e.g. authorised paper-based systems managed by confidential registries, general registries and personal secretaries, ERKSs and business IT systems with adequate records management functionality. [Para. 9 of Annex I to CM 5/2012] B/Ds should not allow their staff to keep records in personal systems, such as the subject officer's desktop computer, shared drive facilities, mailboxes in an e-mail system, etc. instead of the departmental recordkeeping systems. [Para. 4.17 of Hybrid]
- The captured records should be complete: a record should contain not only the content but also the structure and contextual information necessary to document an official transaction or activity. [Para. 312 of RMM]
- A record is registered when it is captured into the recordkeeping system, providing evidence that it has been created/collected. In a paper-based system, a record captured into a file should be registered through entering such contextual information as the type of record (e.g. memo), date of record, and name of originator/addressee(s) of the record on the file. [Para. 8 of Appendix to Annex I of CM 5/2012]

### ***Search and Retrieval of Records***

- Records should be identifiable, retrievable, accessible and available as needed using systems and methods that verify their existence and enable them to be found quickly and easily. [Para. 400 of RMM]

- For paper and electronic records of the same records series, cross references to the electronic records should be clearly indicated in the paper records (e.g. on the file cover or on the minute sheet) and vice versa to facilitate retrieval. Similarly, proper linkage should be made to those non-electronic records other than those paper records in paper files keeping in different locations and environment, due to the size of the records (e.g. oversized maps and plans) or the media where the records are recorded (e.g. microfilm). [*Para. 312 of RMM and Chapters 5-6 of Hybrid*]

### **Records Inventory**

- An accurate inventory of records is a prerequisite for good records management because it facilitates efficient control and retrieval of records and provides basic information to support records management activities (e.g. establishing records disposal schedules). Such records inventory should be regularly updated to cater for changes. A records inventory on files should at least include: (a) file title; (b) file reference number; (c) date opened and date closed; and (d) storage location (e.g. room/floor). [*Mandatory requirement under Para. 6 of GC 2/2009*]

### **Registry Management**

- Registry management is an important aspect within the broader context of records management. Good registry management ensures that records in their active stage are properly controlled and maintained. [*Para. 11.1 of Publication No. 2*]

## **Q1. Are records timely captured and registered into proper recordkeeping system?**

<b>Item</b>	<b>Reviewing Question</b>	<b>Response (Please ✓)</b>		
		<b>Yes</b>	<b>In Part</b>	<b>No</b>
(i)	Have records been captured in designated departmental recordkeeping system(s) as soon as possible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D checked, from time to time, whether your staff have properly captured records in designated departmental recordkeeping systems instead of personal systems or unauthorised devices or digital storage medium? [ <i>Para. 4.17 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iii)	Have different forms of records been captured into an appropriate recordkeeping system? For instance, have paper records been captured into the departmental paper-based recordkeeping system, while electronic records been properly stored and managed on appropriate removable storage media (irrespective of whether the removable storage media are kept together with the paper files or separately)? [ <i>Para. 3.7(b) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. Have the following procedures on receipt and handling of paper documents been observed in the registries?** (applicable to B/Ds without an ERKS)

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have incoming documents been stamped with the date (and/or the time where necessary) of receipt? [ <i>Para. 13.5 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have attachments of the incoming documents been checked and affixed to avoid omission? [ <i>Paras. 13.6-13.7 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your registry input remittance, registered mail or classified documents on an appropriate register? [ <i>Para. 13.9 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your registry used despatch slip (GF121) and chit book (GF53) to ensure the receipt of outwards correspondence? [ <i>Para. 13.33 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your registry used tags (such as “Urgent”, “Action Required”) to draw attention of the subject officers? [ <i>Para. 15.20 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(vi)	Has your registry registered records by entering contextual information, such as the type of record (e.g. memo, letter, report, etc.), date of record, and name of originator/addressee(s), and where appropriate the subject matter of the document, on the file? [ <i>Para. 15.11 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	When filing documents issued in Chinese, has the same language been used in recording information of the document? [ <i>Para. 41 of <a href="#">Guidelines on Filing Practices</a></i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Has your registry underlined the entry of incoming correspondence on the minute sheet? [ <i>Para. 15.11 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	Has your registry numbered and placed documents on the enclosure side of the file in chronological order according to the date of receipt of the document, with the latest document/enclosure on the top? [ <i>Para. 15.7 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	Has your registry marked cross-references (e.g. “Reply to encl ( )”, “Replied by encl ( )”) on related correspondence or file? [ <i>Paras. 15.18-15.20 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xi)	For documents copied, extracted or removed to another file, have reference notes been written on the documents and in the margin of the minute sheets of both files for reference?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xii)	Has your registry passed on the file to the subject officer concerned for action after filing? [ <i>Para. 11.5(e) of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xiii)	Has your registry brought up files and maintained a BU diary to facilitate follow-up action to be taken? [ <i>Paras. 18.6-18.10 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xiv)	Has your registry arranged transmission, storage and disposal of classified records according to the requirements of SR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**Q3. Have the following procedures in handling files / parts / loose minutes been observed?** (applicable to B/Ds without an ERKS and/or the ERKS is not fully operational)

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have records been closed (cutoff) and new parts opened at regular intervals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have new files and loose minutes been opened prudently on a need basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have loose minutes been incorporated into main files as soon as practicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has the loose minute register been updated every time upon creation of new loose minutes or incorporation of loose minutes into the main files? [ <i>Para. 17.9 of Publication No. 2</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your registry updated the opening, closure and movement of files on appropriate recordkeeping systems, such as ERKS, the Bar-coding File Management System, or file inventory list and movement record?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4. Has your B/D implemented the following procedures to facilitate timely access to and retrieval of records?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have finding aids such as indexes, captions, data sheets, review sheets, catalogues, etc. been maintained for records of specific sizes and formats, such as audiovisual records, cartographic and architectural records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has each registry designated a responsible staff member to control the creation, naming and coding of new files to facilitate accurate capturing, classification and ready retrieval of records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have the records manuals, plans and indexes been updated as soon as practicable when changes occurred?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q5. Are cross-references maintained to link closely related records to facilitate their retrieval?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Link textual records with audiovisual, cartographic and architectural records and other non-electronic records, such as oversized maps and plans, microfilms, etc. being kept in different locations and environment [ <i>Para. 5.18 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Link paper and electronic records co-existed for various subjects [ <i>Para. 5.15 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q6. Has your B/D implemented measures to ensure compliance of the records inventory with the mandatory requirements and its accuracy?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your records inventory included file title, file reference number, date opened, date closed and storage location (e.g. file storage room for paper files, computer server room for electronic records)? [ <i>Mandatory requirement under Para. 6 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D conducted regular physical checks to ensure the inventory of records is accurate and timely updated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D conducted regular inspections to replace worn folders and locate misfiles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q7. If multiple forms of records are created under the same records series, does your records inventory include the following information in addition to those listed in Q6(i)?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Security classification [ <i>Para.3.4(c) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Quantity of records (e.g. number of files or quantity in linear metre (lm) for paper records, number of containers or objects for other non-electronic records and amount of disk space occupied in gigabyte for electronic records, etc.) [ <i>Para. 3.4 (b) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Form of records (e.g. paper records, microfilms, electronic records, etc.) [ <i>Para. 3.4 (a) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Records retention and disposal schedules [ <i>Para. 3.4(h) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Responsible officers for managing the records [ <i>Para. 3.4(i) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Other relevant information, such as the media (e.g. optical discs or microfilms), tools (e.g. file cabinet for paper records, computer system for electronic records online), format and applications used for the electronic records, and recordkeeping systems in which different forms of records under a business function, process and transaction are maintained [ <i>Para. 3.4(d), (e), (f) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q8. Does your records inventory cover the following records under the custody of your B/D?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	records covered by obsolete records classification schemes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	case records (e.g. personal files and staff report files)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	records stored off-site (e.g. in GRS' records centres)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	different forms of records such as electronic and non-electronic records under the B/D's custody	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q9. For B/Ds where an ERKS has been implemented, are records properly captured and registered into the ERKS?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have records regardless of their form and media been captured into the ERKS? For paper records that were not suitable for scanning or record required to be kept in their original form to meet regulatory/legal requirements (e.g. contracts and tender documents), have they been kept and maintained in an appropriate part of a physical folder managed by the ERKS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D set out departmental rules and practices and designated officers responsible for capturing records, in particular for records involving multiple recipients in the same office/unit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	If workflow is implemented in your B/D's ERKS, has workflow information (e.g. seeking approval/comments on a document) been captured into the ERKS if they are qualified as records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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## Checklist E – Storage and Custody of Records

This Checklist is mainly designed to facilitate B/D's evaluation on their storage and custody of records. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### ***Storage of Records***

- Records should be stored in such a manner so as to facilitate user access and protected from unauthorised access, use, disclosure, removal, deterioration, loss or destruction. Records should therefore be stored in proper facilities (e.g. filing cabinets, filing racks) in a clean and dry environment. Consideration may be given to making use of GRS' records centres as an intermediate storage for inactive records not requiring frequent retrieval. [*Mandatory requirement under Para. 23 of GC 2/2009*]
- Records should be kept in a suitable medium, system and environment that are compatible with the form and characteristics of the records, their retrieval requirements and preservation needs. [*Para. 7.2 of Hybrid*]
- Records (including paper records, electronic records and other non-electronic records) should be stored and protected in ways that reflect their security classification. B/Ds should adhere to SR to protect and store classified records. [*Para. 7.3 of Hybrid*]
- B/Ds should consider shortening the retention period of inactive paper records in their storage by transferring the records to GRS for intermediate storage [*Para. 629 of RMM*] or preserving them by microfilming. [*Para. 19 of Appendix to Annex I of CM 5/2012*]

**Q1. Has your B/D put in place arrangements to ensure proper custody and storage of records?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have your B/D maintained the records storage areas in a clean, tidy, secure way and which are free from water and fire hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Are your records storage areas large enough to hold all records with ease of access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D reviewed the storage areas and needs regularly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. Are your B/D's records stored in an environment compatible to their formats?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have drawings, plans, microfilm, magnetic tapes or other special records formats been stored in suitable storage units to avoid damage or loss?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have maps and drawings been stored in suitable cabinets or cases rather than being folded or rolled up?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D selected the storage media, storage system and storage environment of electronic records based on business and records management considerations? [ <i>Para. 7.12 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has the security of electronic records (both physical and logical) in respect of the storage and handling of classified records met the requirements set out in SR, Baseline IT Security Policy (S17), IT Security Guidelines (G3) and other relevant guidelines? [ <i>Para. 7.12 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your B/D maintained proper documentation to demonstrate that sufficient security arrangements are in place to ensure the electronic records have not been tampered with? [ <i>Para. 7.12 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(vi)	Has your B/D formulated strategies, practices and procedures relating to the backup, restoration and migration of electronic records? [ <i>Para. 7.13 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Has your B/D adopted good practices and measures to preserve electronic records (e.g. refresh storage media, migrate electronic records and validate data integrity)?  <i>(Note: B/Ds may refer to the publication <a href="#">A Handbook on Preservation of Electronic Records</a> for more information on preservation of electronic records.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3. For records having long-term (30 years or over) or permanent value, are they stored separately in a 24-hour air-conditioned and dust free environment with stable and controlled temperature and humidity that satisfy their preservation needs as follows?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	For paper based records, have they been stored in a clean and proper environment with temperature at 20°C +/- 2°C and relative humidity 50% +/- 5%?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	For microfilm records, have they been stored in a clean and proper environment with temperature at 14°C +/- 2°C and relative humidity 40% +/- 5%?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	For electronic records, have they been stored in a clean and proper environment with temperature at 18°C +/- 2°C and relative humidity 40% +/- 5%?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	For audiovisual records (particularly colour films and photographs), have they been stored in a clean and proper environment with temperature at 4°C to 16°C and relative humidity not higher than 40% with minimum fluctuations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	For permanent maps and drawings, have they been stored in acid free containers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(vi)	Has your B/D considered shortening the retention period of paper records in your storage at their early inactive stage by transferring the records to GRS for intermediate storage or preserving them by microfilming?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Has your B/D considered moving inactive electronic records to offline and/or off-site media to reduce storage costs, avoid loss or accidental destruction of records? [ <i>Para. 7.19 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4. Has your B/D adopted the following good records-handling practices?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has the storage of active records been separate from inactive records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D chosen the most appropriate storage media and formats for its records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have records been stored properly in area and equipment exclusively for storing records (i.e. not to be mixed with other office supplies, furniture or personal belongings), without stacking them on the floor or placing them on the top of cabinets and racks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has records storage equipment such as file cabinets, drawers and racks been labelled correctly and legibly to facilitate records retrieval?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ***Access Control and Security***

- To provide sensitive information with adequate protection, records are to be classified according to their level of sensitivity at a particular time. [*Para. 430 of RMM*]
- Access control and security should be established and implemented in the recordkeeping systems of B/Ds to protect the security and integrity of records stored therein. It should ensure that records and the associated metadata and audit trails are:
  - protected from tampering, unauthorised alteration and erasure;
  - protected according to the relevant security classifications as stipulated in the SR; and
  - accessible by authorised users only. [*Para. 8.2 of Hybrid*]
- SR should be complied with for handling and storing classified records and information. To ensure security of electronic records and information stored in computer systems (e.g. an ERKS or a business system), the Office of the Government Chief Information Officer’s information technology security policy and guidelines should be followed. [*Para. 17 of Appendix to Annex I of CM 5/2012*]

**Q5. To prevent loss and unauthorised access of records, has your B/D implemented appropriate control measures to ensure safe custody of the records and their access by authorised persons only?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have your records storage areas been secured against unauthorised access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has the access control and security of your B/D’s recordkeeping systems, whether they are paper-based, electronic or otherwise, met the Government and departmental security requirements? [ <i>Para. 11.10(h) of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D put in place adequate security measures to protect records from unauthorised access and to prevent unauthorised and accidental loss or destruction of records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iv)	Has your B/D established a mechanism to monitor and review the access control and security of records? [ <i>Para. 8.5 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your B/D reviewed and updated the access control and security of records regularly and as and when necessary (e.g. after a major reorganisation of the B/D)? [ <i>Para 8.6 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Has your B/D maintained proper documentation in order to demonstrate that sufficient control is in place to ensure the overall security and integrity of the recordkeeping systems? [ <i>Para 8.7 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	For records managed in a computer system, has such system passed the recent security risk assessment and audit? Have recommendations on security measures identified by the recent security risk assessment and audit been implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	For records managed in a computer system, have audit trails been properly maintained to document the use and movement of electronic records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	For records managed in a computer system, has your B/D ensured the audit trail data being authentic, understandable and available when required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q6. Are your B/D's sensitive records and information classified according to their level of sensitivity in order to provide them with adequate protection?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have classified and sensitive records been kept and managed according to SR?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has DRM in your B/D reviewed the classified records in his/her custody at least once every five years to downgrade suitable items? [ <i>Para. 443 of RMM</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iii)	Have procedures been developed within your B/D and implemented to review, downgrade and dispose of classified records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q7. Has your B/D managed access to records and information according to the legal and regulatory requirements as listed below?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	SR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Code on Access to Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Personal Data (Privacy) Ordinance (Cap. 486)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Others, if any (Please specify: _____ )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***Movement Tracking***

- Movement of records should be registered by the Bar-coding File Management System, file movement cards (GF448) or other effective means. Files should be passed through general registries or responsible staff so that their movement can be properly kept track. Records management staff should take stocks of records and check the completeness of files regularly to minimise missing of records. [Paras. 27-28 of Appendix to Annex I of CM 5/2012]
- Movement and use of electronic records should also be tracked. [Para 8.15 of Hybrid]

**Q8. Has your B/D adopted effective means to track the whereabouts and movement of files, as well as other non-electronic records (e.g. oversized maps and bulky books) and electronic records stored on removable storage media (e.g. DVDs)?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D maintained an updated records inventory?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D implemented a system, such as the Bar-coding File Management System or movement cards, to track the movement and use of records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	If movement cards or any other manual methods are being used, has your B/D considered making use of latest technology (e.g. Bar-coding File Management System) to track the physical movement of records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have all the movements of records, such as passing of a file from one officer to another, been properly recorded by the registry?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your B/D implemented measures, such as designating appropriate staff to monitor the move and using appropriate packing materials (e.g. carton boxes, plastic cases, etc.), to ensure the safe custody of files during transit and the completeness of files after transit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Have the right records been always delivered to users timely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Have outstanding actions of a record been always brought up timely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Have regular stocktaking exercises been conducted to ascertain the locations of records, which records are held by whom and for how long?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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## Checklist F – Vital Records Protection

*This Checklist is mainly designed to facilitate B/D's evaluation on vital records protection at departmental or sectional level. For questions that are not applicable to your B/D, you may skip them as appropriate.*

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### ***Vital Records Protection Programme***

- Vital records are those records containing information essential to the continued and effective operation of an organisation during and after an emergency or a disaster. [*Para. 24 of GC 2/2009*]
- B/Ds should establish and implement a vital records protection programme to ensure uninterrupted operation of major business functions. The programme should be reviewed and updated regularly, say every two to three years and as and when necessary to ensure that it meets the changing business and operational needs of B/Ds.
- A vital records protection programme should contain the following elements:
  - analysis of potential disasters and hazards that need to be addressed;
  - establishment of preventive and recovery procedures to identify, protect, restore and update vital records;
  - availability of suitable equipment, supplies and services for records protection, recovery and restoration;
  - a work plan indicating when and how the programme is to be activated;
  - designation of programme responsibilities;
  - staff training; and
  - programme testing, updating and revision. [*Para. 2.6 of Publication No. 6*]
- In case where no vital records are identified in a B/D (or in some of its offices), the B/D concerned should set up a mechanism, as part of the vital records protection programme, to review regularly whether any records should be identified as vital records due to changing business functions and operational needs.

**Q1. Has your B/D implemented a vital records protection programme?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D set up a vital records committee (or a similar governance structure) to oversee the implementation and on-going management and maintenance of the departmental vital records protection programme?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D assessed its potential records hazards (e.g. fire, flooding, typhoon, landslide, prolonged power failure, network failure, chemical spills, vandalism) that need to be addressed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D conducted staff training and testing on the vital records protection programme periodically (e.g. annually) to ensure its effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D reviewed and updated the procedures of the vital records protection programme on a regular basis to ensure its adequacy and completeness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your B/D documented essential information (e.g. responsible party for maintaining and protecting records, records storage medium, volume, location etc.) about those vital records in the Vital Records Schedules, which have been endorsed by an officer not below the rank of CEO or equivalent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Has your B/D reviewed the Vital Records Schedules every two to three years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ***Identification of Vital Records***

- B/Ds should identify their vital records from a corporate level and adopt consistent selection criteria across their organisations in identifying their vital records. In particular for vital records required for major business functions and operations that span across divisions/sections, consistent selection criteria should be adopted to ensure uninterrupted operation of major business functions during and/or after an emergency or a disaster.
- Some vital records are required to deal with emergencies and disaster situations. Examples may include emergency plans and directives, building plans, infrastructure and utility plans, emergency staffing assignments (including personnel assigned to emergency duties and their contact lists), and records vital to public order, health and safety. B/Ds may make reference to their disaster management or business continuity plan for activities and related records needed during and/or after such exceptional events.
- Some vital records are required for maintaining the major business functions and/or operations of a B/D, or for continuing the provision of essential public services during and/or after an emergency or a disaster. Examples may include business continuity plans, emergency personnel lists, operation policies, directives and procedures, and records relating to major decisions and plans. B/Ds should review the statutory and regulatory responsibilities of their respective organisations in identifying the records required for maintaining the major business functions and/or operations.
- Some vital records are required to protect and/or re-establish legal, financial and functional status of a B/D. Records in this category may include legislations, orders of succession, delegation of authority, contracts, agreements and other records relating to entitlements and obligations, lease and deeds records, expenditure and revenue records, and insurance and investment records.
- Some vital records are required to preserve the rights of the Government, a B/D, the B/D's employees and clients, and members of the public. Examples of such vital records may include contracts, titles, and other signed legal records, records relating to current or potential litigation, customer records, registers of licences issued, employee details (including payroll and leave records), records relating to patents and trademarks, citizenship and immigration records, social security and adoption records.

**Q2. Has your B/D identified the records essential to the continued and effective operation of your B/D during and after an emergency or a disaster, having regard to your B/D's unique functions and responsibilities?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D identified any records which are required to deal with emergencies and disaster situations for protection as vital records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D determined the most critical business activities and public services which must be carried out during and/or after an emergency or a disaster and identified the records containing information needed to support such business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D identified any records which are required to protect and/or re-establish legal, financial and functional status of your B/D for protection as vital records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D identified any records which are required to preserve the rights of the Government, your B/D, your employees and clients, and members of the public for protection as vital records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Have a consistent selection criteria been adopted across the B/D when selecting vital records and identified vital records from a corporate level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ***Protecting Vital Records***

- Methods such as dispersal, duplication, on-site storage and off-site storage are commonly applied in protecting and preserving vital records and they may be used in combination.
- B/Ds should select the protection methods having regard to the business needs (e.g. records of rescue plans may need to be kept on site to facilitate timely retrieval during and after an emergency or a disaster), cost implications as well as expertise and skills required of the B/D concerned.

**Q3. Has your B/D determined appropriate protection methods for its vital records so that they are accessible during and after an emergency or a disaster, having regard to the business needs, cost implications as well as expertise and skills required?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D determined records protection methods (e.g. duplication of paper records through means such as scanning and microfilming for off-site storage and dispersal of records in different office locations) to ensure the vital records (or duplicates) are accessible during and after an emergency or a disaster?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Do the storage media and the locations of vital records (or duplicates of those vital records) permit quick and easy access and retrieval during emergencies, e.g. in the event of power failure or system breakdown, duplicate copies of the vital records in paper form are available for immediate retrieval or the vital records in electronic form are immediately available electronically off-site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	For vital records (or duplicates of those vital records) managed in a computer system, has the relevant system documentation of such computer system been identified as vital records for protection as well to facilitate prompt records retrieval as and when required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D prepared or identified sources of supplies, equipment and services for records protection and recovery?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has your B/D implemented appropriate procedures for regular back-up and updating of the identified vital records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



## Checklist G – Records Scheduling

This Checklist is mainly designed to facilitate B/D's evaluation on their records scheduling. For the implementation issues of records disposal, please refer to Checklist H – Records Disposal, as appropriate. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### ***Records Retention and Disposal Schedules (Disposal Schedules)***

- Disposal schedules are systematic listings or descriptions of records which indicate the arrangements to be made for their custody, retention and final disposition.
- To dispose of administrative records, B/Ds should adopt the set of disposal schedules detailed in Publication No. 4 - General Administrative Records Disposal Schedules (GARDS).
- For programme records, B/Ds should develop disposal schedules which stipulate the length of time that records should be retained and the ways of disposal having regard to the administrative, operational, fiscal and legal requirements and archival values of the records with the concurrence of the GRS Director.
- B/Ds should forward draft disposal schedules to GRS within a period of two years for all new series of programme records.

*[Mandatory requirement under Paras. 13-15 of GC 2/2009]*

- Approved disposal schedules should be reviewed at least once every five years to determine whether amendments are required. *[Para. 617 of RMM]*
- The Guideline cum Checklist for Review of Records Retention and Disposal Schedules (see **Annex to Checklist G**) sets out in greater detail the criteria B/Ds should make reference to when reviewing their disposal schedules and deciding whether changes would be required. It facilitates B/Ds to set the length of the retention period at the duration required to meet the operational, policy, legal and fiscal requirements on one hand and to transfer records with archival value to GRS in an expeditious manner on the other.

**Q1. Are your records scheduling procedures compliant with the relevant mandatory requirements?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have all programme records in your B/D been covered either by approved disposal schedules (i.e. RMO2), or draft disposal schedules (i.e. RMO1) pending GRS' agreement? [ <i>Mandatory requirement under Paras. 13-15 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has the endorsement from an officer not below the rank of SEO or equivalent been obtained for the draft disposal schedules before consulting GRS? [ <i>Mandatory requirement under Para. 15 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	After consulting GRS, has the agreement from an officer not below the rank of SEO or equivalent been obtained to confirm the finalised disposal schedule? [ <i>Mandatory requirement under Para. 15 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D forwarded draft disposal schedules to GRS within a period of two years for all new series of programme records created after April 2012? [ <i>Mandatory requirement under Para. 15 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. Has your B/D taken appropriate measures to review the approved disposal schedules for programme records?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have you reviewed all approved disposal schedules at least once every five years to see whether amendments are required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have you made reference to the "Guideline cum Checklist for Review of Records Retention and Disposal Schedules" (see Annex to Checklist G) in reviewing your disposal schedules?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iii)	Has the endorsement from an officer not below the rank of SEO or equivalent been obtained to submit proposed amendments of disposal schedules to GRS as well as to confirm finalised amendments? [ <i>Mandatory requirement under Para. 15 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have user accounts been created for the reviewing officer and the endorsement officer to submit requests through SARCIS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3. Does your existing set of disposal schedules meet the business needs of your B/D?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has the existing set of disposal schedules (including draft disposal schedules) covered all records (i.e. paper records, electronic records and other non-electronic records) within your B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Have legal, regulatory and operational requirements (including the Personal Data (Privacy) Ordinance, Cap. 486) been taken into consideration on the retention and disposal requirements of different forms of records? [ <i>Para. 9.5 of Hybrid</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Have the descriptions of records series titles been appropriate and free of unnecessarily sensitive or classified information, security classification, personal data or third party information the disclosure of which may cause misinterpretation/misunderstanding to the public or violate relevant laws?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Have the retention and disposal requirements been consistent with other records series which have similar nature, retention values and regulatory and financial requirements within your B/D?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Have all disposal schedules within your B/D been mutually exclusive, i.e. they are not duplicating with each other?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



## Guideline cum Checklist for Review of Records Retention and Disposal Schedules (RMO2)

According to paragraphs 13 and 15 of the *General Circular (GC) No. 2/2009* entitled *Mandatory Records Management Requirements*, Government bureaux and departments (B/Ds) are required to draw up records retention and disposal schedules (“disposal schedules”) to cover all their programme records<sup>1</sup> to ensure systematic planning and orderly implementation of records disposal. With the agreement of Government Records Service (GRS), such draft disposal schedules will be approved in the form of Disposal Authority (abbreviated as “DA”, with the form number as RMO2)<sup>2</sup>.

2. B/Ds are also responsible for implementing and reviewing appropriate policies and practices for records disposal in compliance with the government records management requirements, in particular the mandatory records management requirements as stipulated in the *GC No. 2/2009*.

3. To ensure that the approved disposal schedules could always meet the operational, administrative, legal and regulatory, records management, financial requirements etc., all disposal schedules should be reviewed at least once every 5 years to determine whether amendments are required<sup>3</sup>.

4. This Guideline cum Checklist for Review of Records Retention and Disposal Schedules (the “Checklist”) provides a set of detailed and specific guidelines and facilitates B/Ds to carry out reviews in a focussed and comprehensive manner, taking into account all relevant factors. On completion, a copy of this Checklist should be documented for record purpose and/or returned to GRS if amendments or cancellation are proposed to the disposal schedule.

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<sup>1</sup> **Programme records** are records created or received by a B/D whilst carrying out the primary functions, activities or mission for which the B/D was established. Records of this nature are unique to each B/D. On the other hand, **administrative records** are records created or received during the course of day-to-day administrative activities that deal with finance, accommodation, procurement and supply, establishment, personnel and other general administrative activities. Records of this nature are common to B/Ds. B/Ds should refer to *GRS’ Records Management Publication No. 4: General Administrative Records Disposal Schedules* for the retention and disposal schedules of administrative records and there is no need to compile additional disposal schedules except in the circumstances stated in paragraphs 3.6.1 and 3.7.1 of *GRS’ Records Management Publication No. 1: A Practical Guide to Records Scheduling and Disposal*.

<sup>2</sup> More details of records scheduling and disposal are given in *GRS’ Records Management Publication No. 1: A Practical Guide to Records Scheduling and Disposal*.

<sup>3</sup> See paragraph 617 of the Records Management Manual (RMM) and paragraph 3(c) of GC No. 5/2006.

5. Enquiries relating to this Checklist should be directed to the Records Management and Administration Office (RMAO) of GRS at 2460 3772 or [admin\\_rcinfo@grs.gov.hk](mailto:admin_rcinfo@grs.gov.hk).

Bureau / Department:	
Branch / Division / Section / Office:	
DA No:	
Date of Issue of DA / Last Review (whichever the later):	

## Part I Issues for Review

Please answer the following questions. (A “Yes” answer to any of the following questions may indicate a need for amendment.)

### Section A – Change in Recordkeeping Requirements

Most records disposal schedules will periodically require some changes to meet new recordkeeping requirements. All changes to records disposal schedules should be agreed with the GRS Director. A request for amendment should be lodged with the Records Management and Administration Office (RMAO) of the GRS in the first instance. (*Paragraph 616 of Records Management Manual (RMM)*)

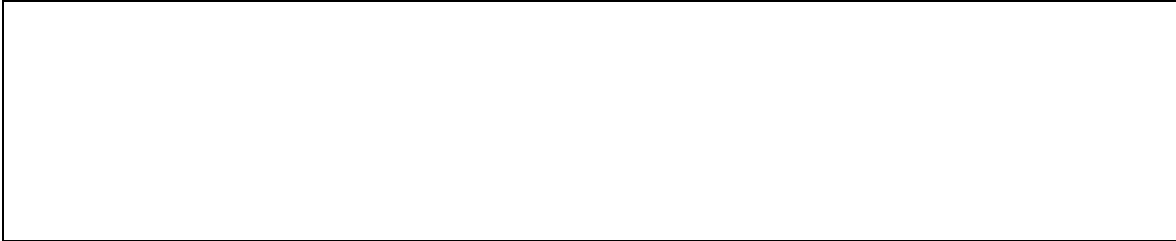
Q1 Has any of the following situations occurred, thereby affecting the nature, content, classification or storage of the records concerned?

Reviewing Question	Response (Please ✓)	
	Yes	No
(i) Reorganisation of the B/D, or the section/office/unit	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Change in departmental policies, procedures, programmes or activities	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Change in legislations, regulations, guidelines and instructions, etc.	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Outsourcing, sale or transfer of the function to non-government bodies or private organisations	<input type="checkbox"/>	<input type="checkbox"/>
(v) Corporatisation of functions to become a government business enterprise <sup>4</sup>	<input type="checkbox"/>	<input type="checkbox"/>
(vi) Adoption of and migration using new technology in records documentation and information management	<input type="checkbox"/>	<input type="checkbox"/>

***Remarks (if any of the above answers is “Yes”, B/Ds need to specify the changes of situations having been identified.)***

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<sup>4</sup> Corporatisation of a public service, in which a corporation may be established to carry out specified activities in accordance with established commercial principles, with the Government being the sole or main shareholder whilst the corporation is not part of the civil service, may result in a transfer of records custody and ownership. According to Chapter 8 of the RMM, such transfer requires the agreement of the GRS Director.



Further References

*More information relating to the establishment of disposal schedules and on managing records for administrative changes could be found in:*

- *Paragraphs 13-20 of GC No. 2/2009*
- *Chapter 6 of RMM (Records Scheduling and Disposal)*
- *Chapter 8 of RMM (Managing Records for Administrative Changes)*

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## **Section B - Change of Records Classification Scheme and Segregation of Records**

A records classification scheme allows modifications such as addition of new records series to cater for changing circumstances. To ensure that each scheme remains effective to cope with changes over time and to identify scope for improvement, the Departmental Records Manager (DRM) is required to review the records classification schemes every two to three years, having regard to the principles set out in Appendix II. The results of the review and any follow-up action taken should be documented. (*Paragraph 12 of GC No. 2/2009*)

DRM is required to have regard to the following in approving a new records classification scheme or reviewing records classification schemes:

- (a) whether programme records are separated from administrative records;
- (b) whether the scheme is systematic, logical, consistent and scalable to facilitate accurate and complete documentation of policies, procedures and decisions for the efficient carrying out of the B/D's functions, activities and transactions;
- (c) whether the scheme can be used easily and the file titles are clear and unique (e.g., avoid the use of "general"/"miscellaneous") to facilitate accurate capturing and ready retrieval of records; and
- (d) whether the scheme facilitates segregation of vital records for protection and establishment of disposal schedules to satisfy retention requirement stipulated by legislation (e.g., Personal Data (Privacy) Ordinance) and to separate records which need to be kept for a long period (e.g., those on policy) from those which need to be kept briefly (e.g., routine correspondence).

(*Appendix II to GC No. 2/2009*)

Q2 Upon any change of records classification scheme, relevant disposal schedules may need modification accordingly. Reviewing the scopes of records series<sup>5</sup> and/or disposal classes<sup>6</sup> may also improve the effectiveness of the disposal exercises. Is there any need to revise the disposal schedules in respect of the **scopes of records series and/or disposal classes**?

Reviewing Question	Response (Please ✓)	
	Yes	No
(i) Is it necessary to re-define/re-group the records series in accordance with any changes to classification schemes?	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Does the records series cover administrative records? (Disposal of administrative records should normally follow General Administrative Records Disposal Schedules.)	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Is it necessary to re-define/re-group the records series/disposal classes so as to segregate records with longer retention period requirements (e.g. policy records <sup>7</sup> ) from those with shorter (e.g. routine records <sup>8</sup> ) or predefined requirements (e.g. case files comprising personal data) <sup>9</sup> ?	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Is it necessary to re-define/re-group the records series so as to facilitate segregation of vital records <sup>10</sup> for protection?	<input type="checkbox"/>	<input type="checkbox"/>
(v) Are the current records series title and disposal classes unclear or inconsistent for records capturing and retrieval?	<input type="checkbox"/>	<input type="checkbox"/>

<sup>5</sup> A **records series** is a group of records with the following characteristics: (a) created, received and maintained for specific activities or purposes; (b) arranged according to a particular filing system; and (c) sharing a particular physical form. Based on the nature, functions and organisation of the records, they can be grouped to form different records series.

<sup>6</sup> A **disposal class** is a group of records in a records series which being of similar function, content and retention value merits the same disposal treatment.

<sup>7</sup> **Policy records** are records documenting major decisions, rulings, regulations, procedures and arrangements. Their relevant retention periods are normally longer than those of routine records. (See Appendix D (ii) Explanatory Notes to the Records Inventory Form in *GRS' Records Management Publication No. 1: A Practical Guide to Records Scheduling and Disposal*)

<sup>8</sup> **Routine records** are records documenting activities or arrangements of a minor nature. (See Appendix D (ii) Explanatory Notes to the Records Inventory Form in *GRS' Records Management Publication No. 1: A Practical Guide to Records Scheduling and Disposal*)

<sup>9</sup> B/Ds should note that a records series / disposal class can consist of more than one record type (such as records, papers, documents), or security classification (such as Restricted (Administration), Confidential), or format / storage medium (such as paper, electronic, microfilm), provided that the records under the records series are under the same subject matter, and the records within a disposal class are having the same criterion for defining inactive records, retention period and disposal actions.



Reviewing Question	Response (Please ✓)	
	Yes	No
(vi) Are the descriptions of subject matters in the disposal schedule out-of-date?	<input type="checkbox"/>	<input type="checkbox"/>

***Remarks (if any of the above answers is “Yes”, B/Ds need to specify the reasons behind, factors considered, or observations made.)***

***Further References***

*More information on classifications and related matters could be found in:*

- *Paragraphs 8-12 of GC No. 2/2009*
- *Paragraphs 414-424 of RMM*
- *Chapters 3-5 of GRS’ Records Management Publication No. 2: Managing Active Records: File Management*
- *GRS’ Records Management Publication No. 3: Subject Filing*
- *GRS’ Records Management Publication No. 4: General Administrative Records Disposal Schedule*
- *GRS’ Records Management Publication No. 6: Manual on Vital Records Protection*

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**Section C - Changes to the Disposal Schedule and Arrangements**

***Establish Disposal Schedules***

It is important to establish 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 and in compliance with legal or statutory requirements. This will facilitate subsequent transfer of inactive records to GRS’ Records Centres for intermediate storage, transfer of archival records to the Public Records Office (PRO) of GRS for permanent retention or destruction of

<sup>10</sup> **Vital Records** are records containing information essential to the continued and effective operation of an organisation during and after an emergency or disaster. (See paragraph 24 of GC No. 2/2009)

unwanted records. (Paragraph 13 of GC No. 2/2009)

### ***Determine the Retention Period***

Permanent retention of records in a B/D is usually valid only when required by legislation. (Paragraph 619 of RMM)

The nature and operational requirements of the records are often closely related to the length of their retention. Generally speaking, it is not advisable to keep inactive records for more than 7 years unless there are longer retention requirements specified in enforcing legislation, regulations and codes. (Please refer to paragraphs 4.2.32 - 4.2.33 of GRS' Records Management Publication No. 1: A Practical Guide to Records Scheduling and Disposal)

### ***Review the Retention Period with regard to Public Expe***

Government should also review the requirements on disposal schedules, having regard to the circumstances and public expectations, to determine whether there is a need for a longer retention period for certain kind of records. (Paragraph 4.21 of The Ombudsman's Direct Investigation Report on Public Records Management in Hong Kong)

### ***Timely Closure of Records***

As according to the Public Records (Access) Rules 1996, public records which have been in existence for not less than 30 years shall in general be available for public inspection, the community has an expectation to be able to access files reaching 30 years old. Hence we should adopt the practice of critically and regularly reviewing files created over 30 years to see if they can be closed or disposed of. (Paragraph (c) of the Letter of Director of Administration to Permanent Secretaries and Heads of Departments dated 21.3.2014)

Q3 Is there any need to revise the **criterion for defining inactive records** and the **retention period**?

Reviewing Question	Response (Please ✓)	
	Yes	No
(i) Is the criterion for defining inactive records <sup>11</sup> unclear or indefinite?	<input type="checkbox"/>	<input type="checkbox"/>

<sup>11</sup> **Criterion for defining inactive records** is specified in the disposal schedule to define when the records are considered inactive. Examples are “after completion of a study/project/audit”, “after acceptance/rejection/withdrawal of an application”, “after settlement of accounts/claims”, “after file closed”, etc.

Reviewing Question	Response (Please ✓)	
	Yes	No
(ii) Is the current retention period of inactive records <sup>12</sup> unable to satisfy operational, policy, legal and fiscal requirements?	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Is the criterion for defining inactive records or the retention period of similar records from different sections/offices inconsistent with each other?	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Do records of different retention requirements exist within the same records series that should be separated into different disposal classes?	<input type="checkbox"/>	<input type="checkbox"/>
(v) For records without archival value (i.e. having “Destruction” as disposal action), is there a need for a longer retention period having regard to the operational or legal requirements, or public expectations? For example, are there any records series which may require longer retention period as the B/D’s decision can still be appealed against or the time allowed for seeking appeal or judicial review from the Court has yet to expire?	<input type="checkbox"/>	<input type="checkbox"/>
(vi) For records having archival / potential archival value, is the retention period unduly long, after meeting the criterion for defining inactive records?	<input type="checkbox"/>	<input type="checkbox"/>

***Remarks (if any of the above answers is “Yes”, B/Ds need to specify the reasons behind, or factors considered, or observations made.)***

<sup>12</sup> **Retention period of inactive records** means the time the records are to be kept after meeting the criterion for defining inactive records but before their final disposal.

Q4 Is there any need to revise the **disposal actions**?

Reviewing Question	Response (Please ✓)	
	Yes	No
(i) Does the existing disposal action contain “R.A.” (i.e. Review by Agency) or “R.A.P.” (i.e. Review by Agency and PRO)? Please provide justification if such arrangement is to be retained <sup>13</sup> .	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Is the disposal action of similar records from different sections/offices inconsistent with each other?	<input type="checkbox"/>	<input type="checkbox"/>

***Remarks (if any of the above answers is “Yes”, B/Ds need to specify the reasons behind, or factors considered, or observations made.)***

Q5 Have the options of alternative storage venue, format or media for inactive records to be retained for a long duration been sufficiently considered?

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<sup>13</sup> To ensure systematic planning and orderly implementation of records disposal, B/Ds should take the most appropriate disposal actions, having regard to the residual value(s) of the records series after the expiry of the retention period. The disposal actions “R.A.” (Review by Agency) and “R.A.P.” (Review by Agency and PRO) should be deployed only when definite actions, such as “D” (Destruction) or “P.P.” (Permanent Retention by PRO), cannot be determined at the time of establishing the RMO2 and should be reviewed whenever appropriate (such as after the enactment of certain legislation governing the creation and retention of the records series). This helps eliminate the chance of deferral of transfer of records with archival value to PRO, or the accumulation of records without archival value in the B/Ds, due to indefinite disposal actions in the RMO2.

Reviewing Question	Response (Please ✓)	
	Yes	No
(i) Is there a lack of consideration to use GRS Records Centre for intermediate storage of inactive records <sup>14</sup> ?	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Is there any change in office accommodation, thus resulting in the need to consider making use of GRS' Records Centre for intermediate storage of inactive records?	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Is there a lack of consideration to transform storage media, such as microfilming?	<input type="checkbox"/>	<input type="checkbox"/>

***Remarks*** (if any of the above answers is “Yes”, B/Ds need to specify the reasons behind, or factors considered, or observations made.)

*Further References*

*More information relating to records disposal could be found in:*

(a) *Records Scheduling:*

- *Paragraphs 13-20 of GC No. 2/2009*
- *Chapter 6 of RMM (Records Scheduling and Disposal)*
- *Chapter 4 of GRS' Records Management Publication No. 1: A Practical Guide to Records Scheduling and Disposal*

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<sup>14</sup> **Records Centre (RC)** is a centralised records repository located in the relatively low-rent area for housing and servicing of inactive records whose reference rate does not warrant their retention using expensive office space and equipment. The RC of GRS is located in Tuen Mun.

(b) Records Storage and Disposal:

- *Paragraphs 21-24 of GC No. 2/2009*
- *Chapters 5 and 6 of GRS' Records Management Publication No. 1: A Practical Guide to Records Scheduling and Disposal*
- *Notes on Transfer of Records to the Records Centre*  
[[http://grs.host.ccgo.hksarg/file/2.3.15\\_Records\\_Transfer.pdf](http://grs.host.ccgo.hksarg/file/2.3.15_Records_Transfer.pdf)]

(c) Microfilming Service:

- *GRS' Records Management Publication No. 5: The Microfilming User Manual*

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**Section D - Early Destruction of Original Records**

*(This section is applicable to disposal schedules involving early destruction of original records.)*

**Original records** are non-electronic records, e.g. a letter or a microfilm in its original form and such records have been separately digitised and stored in a digital form. **Early destruction** denotes the destruction of original records as approved by GRS after digitisation and before expiry of the retention period specified in the approved disposal schedules for the original records<sup>15</sup>. The implication is that the digitised records will be relied upon in lieu of the original records for all purposes. *(Please refer to paragraphs 2.1 and 2.2 of Disposal of Original Records (for records that have been digitised and stored in a digital form) for more details.)*

A prudent approach should be adopted to assess the risks<sup>16</sup> associated with early destruction of original records, particularly with reference to possible adverse impacts on the legal, business, evidence and accountability needs of the Government. Such risks should be monitored and reviewed on a regular basis, say once every two years or more often as necessitated by its unique circumstances such as after a relevant court ruling. *(For more details, please refer to paragraphs 5.1 and 18.1 of Disposal of Original Records (for records that have been digitised and stored in a digital form)).*

<sup>15</sup> In the case where a disposal schedule has not been drawn up for the original records, early destruction means the destruction of the original records prior to disposal of the associated digitised records.

<sup>16</sup> Prior to seeking approval from GRS for the destruction, B/D should conduct a risk analysis to assess whether the likelihood, the magnitude and the possible impacts of risks have changed by means of Annex 3 of the guidance document entitled "*Disposal of Original Records (for records that have been digitised and stored in a digital form)*", which is accessible at <http://grs.host.ccgo.hksarg/erm/s04/415.html>.

Q6 Upon completion of the risk analysis on the early destruction of original records (see footnote 16), the disposal arrangements may need modifications having regard to legal, business, evidence and accountability needs. Has the risk analysis been reviewed regularly and timely to reflect such a need?

Reviewing Question	Response (Please ✓)	
	Yes	No
(i) Are you proposing any early destruction of original records for which a review (see footnote 16) on the associated risks has <u>not been conducted</u> in the past two years?	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Are there any changes to legal, business, accountability and evidence requirements or any other factors that call for a review of the early destruction of the original records since the last risk analysis was conducted?	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Does the result or finding of the risk analysis necessitate the update of the disposal schedules (e.g. revoke the early destruction of original records for a particular record series)?	<input type="checkbox"/>	<input type="checkbox"/>

***Remarks*** (if any of the above answers is “Yes”, B/Ds need to specify the reasons or factors that have been considered.)

***Further References***

*More information relating to early destruction of original records could be found in:*

- *Disposal of Original Records (for records that have been digitised and stored in a digital form) [<http://grs.host.cgo.hksarg/erm/s04/415.html>]*

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**Section E - Other Issues**

In addition to the reviews and studies carried out by the GRS, it is important for the records management function to be examined by the departmental management periodically. It is recommended that the DRM in each B/D should, as far as possible, conduct an evaluation of the records management function every 5 years or more often. *(Paragraph 915 of RMM)*

Q7 Are there any other considerations that may necessitate the amendment of the disposal schedule? (Please specify.)

Q8 Please list the documents, e.g., ordinances, circulars, directives, manuals, etc. that have been referenced to and/or authorities/ subject officers consulted in conducting the above review of disposal schedule –

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**Part II Result of the Review**

Having considered the issues mentioned in Part I, we consider that:  
(Please ✓ as appropriate)

- All the answers in Part I are “No” and no amendment to this DA is required.
- No amendment to this DA is required despite a “Yes” answer to some of the questions in Part I. Reasons are as follows:

- This DA should be cancelled. Reasons are as follows:

*(Please forward this Checklist under covering email to RMAO of GRS for action.)*

- Amendment to this DA is required.

*(The request to amend the DA should be submitted to GRS through the “Storage Allocation and Records Centre Information System” (SARCIS)<sup>17</sup>. Please also forward this Checklist and any relevant supporting documents<sup>18</sup> to RMAO of GRS for action.)*

(P.T.O.)

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<sup>17</sup> SARCIS is accessible through the Department Portal of individual B/Ds.

<sup>18</sup> With respect to review of disposal schedules of original records stated in Q6 above, if a B/D, after the review, intends to propose a shorter retention period as compared with the approved retention period specified in the RMO2 and/or propose to change the disposal action of the original records to “destruction”, the B/D concerned should submit a copy of duly completed risk analysis in the format of Annex 3 attached to the guidance document entitled *Disposal of Original Records (for records that have been digitised and stored in a digital form)* and other relevant considerations warranting the attention of GRS but have not been included in the risk analysis, to GRS to support the request. Please refer to paragraphs 14.1, 14.2 and 14.4 of the guidance document for the details.

Prepared by Reviewing Officer	<p>_____ (Name)</p> <p>_____ (Rank/Post)</p> <p>_____ (Tel)</p> <p>_____ (Lotus Notes e-mail)</p> <p>_____ (Date of Review)</p>
Endorsed by Endorsement Officer <sup>19</sup>	<p>_____ (Name)</p> <p>_____ (Rank/Post)</p> <p>_____ (Tel)</p> <p>_____ (Lotus Notes e-mail)</p> <p>_____ (Date of Endorsement)</p>
Supplementary remarks, if any	

### **Explanatory Notes**

1. If it is found that no change to the DA is necessary after review, B/D will only be required to retain the Checklist for record purpose and does not need to forward it to GRS. Otherwise, please submit this document and supporting documents, if any, to the GRS Director (Attn: SEO(RM)2) by e-mail (Email addresses: ADMIN\_RCINFO/GRS/HKSARG (Lotus notes) or [admin\\_rcinfo@grs.gov.hk](mailto:admin_rcinfo@grs.gov.hk) (internet)), as well as a request to amend the DA through SARCIS. **Please do not submit by paper or fax as GRS has already implemented its electronic recordkeeping system.**
2. If the email to GRSD is not sent by the Endorsement Officer, please copy to the Endorsement Officer for information. When the amendment to / cancellation of DA is approved, GRS will inform the Endorsement Officer and copy to the Reviewing Officer.

<sup>19</sup> The endorsement officer should be at a rank not below Senior Executive Officer or equivalent, i.e. under the present context, an officer the maximum pay point of whose rank is not lower than MPS Point 44 or equivalent.

## Checklist H – Records Disposal

This Checklist is mainly designed to facilitate B/D's evaluation on their disposal of records. For the issues of records scheduling, please refer to Checklist G – Records Scheduling, as appropriate. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### *Records Disposal*

- Records disposal takes the forms of records destruction, records transfer to the Public Records Office (PRO) of GRS for permanent preservation, records migration to different storage media (such as microfilm or electronic form) for prolonged retention and transfer of records outside government control. Regular disposal of records facilitates easy retrieval of records in active use, and minimises costs for maintaining and storing records.

### *Mandatory Requirements*

- B/Ds should dispose of time-expired records at least once every two years for all administrative records (which are covered by GARDS) and for all programme records with approved disposal schedules.
- In the interest of proper internal control, disposal of records, including destruction of records, should be considered and endorsed in writing by a senior officer not below the rank of SEO or equivalent in the B/D.
- B/Ds must obtain the prior agreement of the GRS Director before they destroy any government records.
- To minimise the risk of inadvertent unauthorised destruction of records during the disposal process, B/Ds should designate an officer not below the rank of EO II or equivalent to ensure that the disposal process is properly supervised and the records disposal procedures as set out in Appendix IV of GC 2/2009 are complied with.

[Mandatory requirements under Para. 17-20 of GC 2/2009]

- B/Ds should regularly review records created over 30 years but still kept in B/Ds to see whether they can be closed and disposed of.

***Transfer and Deferred Transfer of Time-expired Records***

- B/Ds should transfer their records having archival value to PRO according to the respective disposal schedules. [*Mandatory requirements under Para. 16 of GC 2/2009*]
- No government records should be transferred outside the Government unless with the prior agreement of the GRS Director. [*Mandatory requirements under Para. 20 of GC 2/2009*]
- B/Ds should transfer time-expired records having archival value or potential archival value to GRS on time. Deferrals are highly undesirable and will be heavily criticised as delaying tactics in preventing public access to those aged documents. Where it is absolutely necessary to defer the transfer of time-expired records having archival value or potential archival value for more than two years due to operational need, B/Ds should obtain the written agreement of a directorate officer in the B/D concerned at the level of deputy secretary/deputy head of department and consult GRS in advance.

**Q1. Does your B/D conduct the records disposal exercise in a systematic, compliant, consistent and beneficial way?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have your B/D followed the requirements of GARDS in disposing of your administrative records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D maintained central control over records disposal throughout the organisation, e.g. by coordinating regular departmental disposal exercises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D conducted regular review (at least once every two years) to systematically and consistently dispose of time-expired records according to approved disposal schedules? [ <i>Mandatory requirement under Para. 17 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D disposed of time-expired records within the past two years with due consideration and endorsement in writing by an officer not below the rank of SEO or equivalent? [ <i>Mandatory requirement under Para. 17 of GC 2/2009</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(v)	Has your B/D obtained prior agreement from the GRS Director before destruction of any government records? [Mandatory requirement under Para. 18 of GC 2/2009]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Has your B/D ensured that the records disposal process was properly supervised by an officer not below the rank of EO II or equivalent? [Mandatory requirement under Para. 19 of GC 2/2009]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Has your B/D made the best use of the intermediate storage service for inactive records provided by the Records Centre (RC) of GRS before final disposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Have procedures been in place for the physical destruction of time-expired records to avoid inadvertent destruction and leakage of sensitive information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	Has your B/D adopted suitable methods for the final disposal of records which are compatible with the forms and media of records, and the sensitivity and security classification of their contents? [Para. 9.13 of Hybrid]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	Have the classified records been destroyed in accordance with the requirements set out in SR as well as IT security instructions and guidelines as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xi)	For destruction of time-expired electronic records, has there been a mechanism to ensure that the concerned records, associated metadata and backups are irrecoverable after destruction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xii)	Has your B/D considered the use of the Government waste paper recycling contractors to dispose of unwanted records as and where appropriate in the course of records disposal? [Para. 6.3.6 of Publication No. 1]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(xiii)	Have user accounts been created for responsible officers to submit disposal request to GRS through SARCIS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. Has records transfer of your B/D been properly managed?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have all records possessing archival value or potential archival value as indicated in GARDS / the respective approved disposal schedules been transferred to the PRO of GRS for appraisal / permanent retention when they were time-expired and due for disposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	On transfer of records to PRO, has your B/D followed the <a href="#">“Guidelines for Transferring Records to PRO of GRS for Appraisal”</a> and the <a href="#">“Guidelines for Transferring Records to PRO of GRS for Permanent Retention”</a> ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	If there were any government records required to be transferred outside the Government, has your B/D acquired the prior agreement of the GRS Director before transfer? [Mandatory requirement under Para. 20 of GC No. 2/2009]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3. Has the process of deferred transfer been properly managed?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	For records transfer requiring deferral, have the records possessing archival or potential archival values (i.e. having “P”, “SOP”, “RP”, “PP”, “RAP” as disposal actions”) been confirmed to be time-expired according to the respective inactive criteria and retention periods stipulated in the approved disposal schedules?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has the period of deferment been confirmed to be more than two years after time-expired?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has the request for deferral been supported by well-justified and specific reasons, rather than simple reasons such as “operation need” or “for reference”?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has your B/D consulted GRS in advance on the proposed deferral?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(v)	If GRS did not have any objection to the deferral requests, has the written agreement of a directorate officer in your B/D at the level of deputy secretary/deputy head been obtained and documented, with one copy to GRS for information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Has your B/D reviewed if the existing approved disposal schedule is sufficient to meet the policy, operational, legal, regulatory and financial requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Has your B/D resumed normal transfer procedures to pass the records to PRO at once when the outstanding actions are completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4. In addition to Q1, for B/Ds where an ERKS has been implemented, are the following observed in respect of records disposal in an ERKS?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Have only authorised users been allowed to access the records disposal related system functions of the ERKS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D conducted records disposal in the ERKS under proper control (i.e. no records are disposed of automatically in the ERKS even though they have fulfilled the approved retention period)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D put in place practices and procedures for the destruction of time-expired electronic records and physical destruction of time-expired non-electronic records managed by the ERKS to avoid inadvertent destruction and leakage of sensitive information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>





## Checklist I – Bulk Relocation of Records

This Checklist is mainly designed to facilitate B/D's planning and implementation of their bulk records relocation exercise. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Date of Relocation Exercise</b>	

### ***Bulk Relocation of Records***

- To minimise the risk of losing records during bulk relocation of paper files and other non-electronic records, appropriate arrangement should be made during the process. These include: designating an officer not below the rank of EO II or equivalent to oversee the task; taking stock before the relocation exercise; conducting a file inventory check after relocation; documenting the inventory check and updating the new storage location immediately afterwards. [Reference: Mandatory requirement under Para. 21 of GC 2/2009]
- Records relocation should be planned ahead. The arrangement of records relocation should be part of the departmental relocation plan. B/Ds should refer to the [Guidelines on Bulk Relocation of Government Records](#) (GOBR) for advice on procedures to be adopted during a relocation exercise.

**Q1. Has your B/D planned ahead the records relocation exercise and clearly defined the roles and responsibilities?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Before relocation, have you worked out a records relocation plan with reference to the mandatory requirements as stipulated in GC 2/2009 and GOBR published by GRS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D clearly defined the roles and responsibilities of the affected branches/divisions in the B/D and each officer involved? [Paras. 2.1 and 2.2 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iii)	Has your B/D designated an officer not below the rank of EO II or equivalent to oversee the relocation exercise? [Mandatory requirement under Para. 21 of GC 2/2009]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. Has your B/D made sufficient preparation before the relocation?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D prepared an accurate inventory of the affected records and conducted a physical check of the records against the inventory to ensure accuracy before relocation? [Para. 3.1 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	To minimise records to be relocated, has your B/D arranged for disposal of time-expired records with prior agreement from GRS Director sought as appropriate? [Para. 3.2 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D prepared a “Records Relocation List” to list out the (i) date of move; (ii) branch/division; (iii) destination (e.g. building, floor, room number); (iv) records container number; and (v) contact information of the responsible officer (e.g. post, telephone number)? [Para. 3.3 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Are records to be relocated stored in suitable containers (e.g. carton boxes or file cabinets for paper files, plastic cases and poly bubble padding for magnetic tapes, CDs/DVDs, microfilm, etc. to protect records from damage during transit)? [Para. 3.4 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Are the records containers properly sealed and labelled, and placed after packing in areas where there is low risk of flooding or water seepage? [Para. 3.5 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Are containers properly labelled with (i) records container number; (ii) B/D and branch/division; (iii) destination (e.g. building, floor, room number); and (iv) contact information of the responsible officer (e.g. post, telephone number)? [Para. 3.6 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(vii)	Is proper records storage equipment (e.g. cabinets, racks) ready in the new office premises for storage and properly assigned beforehand? [Para. 3.7 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Has a team of staff been designated to monitor the move and conduct inventory checking before and after the relocation exercise? [Para. 3.8 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3. Has your B/D put in place measures to properly monitor the move?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your staff been informed that only records containers on the “Records Relocation List” be allowed to be taken out by the removal contractor? [Para. 4.1 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your staff been reminded that no records containers are allowed to be left unattended during the move? [Para. 4.1 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4. Has your B/D put in place measures to properly manage the move after the relocation?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your staff been informed to unpack the records containers and conduct records inventory check as soon as practicable after relocation? [Para. 5.1 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your staff been informed to update the new storage location on the records inventory list immediately afterwards? [Para. 5.2 of GOBR]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iii)	Has your staff been informed to check the old office premises thoroughly to ensure that no records will be left? [ <i>Para. 5.3 of GOBR</i> ]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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## Checklist J – Loss and Unauthorised Destruction of Records

This Checklist is mainly designed to facilitate B/D's evaluation on their handling of loss and unauthorised destruction of records. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### *Loss and Unauthorised Destruction of Records*

- Any loss or unauthorised destruction of records should be immediately reported to DRM and a copy of such report sent to GRS simultaneously. DRM should investigate the cases and report the findings and actions taken to GRS within three months. [Mandatory requirement under Para. 22 of GC 2/2009]

**Q1. Are the staff of your B/D informed of the way to handle cases of loss and unauthorised destruction of records?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D set out procedures or guidelines, e.g. departmental records management policy, which specify the actions to be taken when records are defaced, altered, lost or destroyed without proper authorisation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Has your B/D regularly reminded staff of the requirement that cases of loss or unauthorised destruction should be reported immediately to DRM and a copy of such report sent to GRS simultaneously?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Has your B/D reminded staff to consult other relevant authorities for advice in relation to the loss or unauthorised destruction if necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2. In handling case(s) of loss or unauthorised destruction, have the following elements been included in DRM's investigation?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Ascertain facts and identify circumstances leading to the loss / unauthorised destruction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Consideration on whether reconstruction of the records is necessary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Proposal on steps to rectify problems found, prevent recurrence and improve the handling and custody of related records in future	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Consideration on whether disciplinary action or other administrative action should be taken, and to what extent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Timely submission of DRM's investigation report to GRS within three months	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q3. For cases of loss or unauthorised destruction, have the following improvement / preventive measures been considered and adopted within the B/D?**

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Follow up recommendations from GRS in response to the B/D's investigation report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Enhance training of staff in safe custody and handling of records, in particular seeking GRS Director's prior agreement before destruction of any government records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii)	Review and re-circulate regularly relevant policy / guidelines to promote good practices within the B/D	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Review working procedures and records handling practices so as to minimise the risk of loss and unauthorised destruction of records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Any other measures (please specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>





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## Checklist K – Management of Microfilms

This Checklist is mainly designed to facilitate B/D's evaluation on their management of microfilms at departmental or sectional level. For questions that are not applicable to your B/D, you may skip them as appropriate.

<b>Bureau / Department:</b>	
<b>Branch / Division / Section / Office:</b>	
<b>Review Covering Period:</b>	

### Management of Microfilms

- Microfilm is a fine grained high resolution film that can store images from textual, graphic and computer records with the use of microphotography. It is a very stable medium for recording documentary information and it is second only to good acid-free paper in its permanence under suitable storage condition. [Para. 1.1 and 1.2 of Publication No. 5]
- The Government Microfilm Centre was set up in April 1997 to provide centralised microfilming services for government departments. [Para. 2.7.3 of Publication No. 5]

### Q1. Does your B/D manage microfilms properly?

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(i)	Has your B/D made reference to <a href="#">Publication No. 5 - The Microfilming User Manual</a> which gives the details of the government microfilming policy, guidelines and requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii)	Do records recommended for microfilming have a retention period of at least 7 years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Item	Reviewing Question	Response (Please ✓)		
		Yes	In Part	No
(iii)	Have records been microfilmed, processed and quality checked according to established microfilming standards of International Organization for Standardization (ISO), the American National Standards Institute/Association for Information and Image Management (ANSI/AIIM) or their equivalent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv)	Has polyester based silver gelatine film been used to capture image of long-term or permanent value?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v)	Has the master copy of microfilm been used only for printing and preservation, and the working copy for reference purpose?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi)	Have your microfilm records been arranged and indexed to permit easy retrieval of individual documents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vii)	Have silver and non-silver microfilms been stored separately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(viii)	Has your B/D kept the master copy of microfilm records in chemically inert containers and environmentally controlled storage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ix)	Have the master microfilms been inspected periodically while they are in storage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(x)	Have source documents (original paper documents) been scheduled for destruction after the microfilm records are thoroughly checked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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## Abbreviations

<b>B/D</b>	Bureau/Department
<b>CEO or equivalent</b>	Chief Executive Officer or equivalent <ul style="list-style-type: none"> <li>✧ An officer the maximum pay point of whose rank is not lower than MPS Point 49 or equivalent</li> </ul>
<b>CM 4/2012</b>	Administration Wing Circular Memorandum No. 4/2012 “Guidelines on Creation and Collection of Records” <a href="http://www.grs.gov.hk/pdf/CM_No._4_2012e.pdf">http://www.grs.gov.hk/pdf/CM_No._4_2012e.pdf</a> <ul style="list-style-type: none"> <li>✧ Establishment of business rules for records creation/collection</li> </ul>
<b>CM 5/2012</b>	Administration Wing Circular Memorandum No. 5/2012 “Establishment of Departmental Records Management Policies” <a href="http://www.grs.gov.hk/pdf/CM_No._5_2012e.pdf">http://www.grs.gov.hk/pdf/CM_No._5_2012e.pdf</a> <ul style="list-style-type: none"> <li>✧ Includes sample Departmental Records Management Policy, and Operational and Procedural Guidelines for Records Management Processes</li> </ul>
<b>Disposal schedule</b>	Records retention and disposal schedule
<b>DRM</b>	Departmental Records Manager
<b>EO II or equivalent</b>	Executive Officer II or equivalent <ul style="list-style-type: none"> <li>✧ An officer the maximum pay point of whose rank is not lower than MPS Point 27 or equivalent</li> </ul>
<b>ERKS</b>	Electronic recordkeeping system
<b>GARDS</b>	GRS Records Management Publication No. 4 General Administrative Records Disposal Schedules <a href="http://www.grs.gov.hk/pdf/P4(Oct_2013)(Eng_only).pdf">http://www.grs.gov.hk/pdf/P4(Oct_2013)(Eng_only).pdf</a> <ul style="list-style-type: none"> <li>✧ Standard disposal schedules developed by GRS to regulate the retention and disposal of administrative records in B/Ds</li> </ul>
<b>GC 2/2009</b>	General Circular No. 2/2009 “Mandatory Records Management Requirements” <a href="http://www.grs.gov.hk/pdf/GC_No._2_2009e.pdf">http://www.grs.gov.hk/pdf/GC_No._2_2009e.pdf</a>
<b>GCCR</b>	“Guidelines on Creation and Collection of Records” attached to CM 4/2012

<b>GOBR</b>	<p>Guidelines on Bulk Relocation of Government Records  <a href="http://www.grs.gov.hk/pdf/Guidelines_on_Bulk_Relocation_of_Records(Eng_only).pdf">http://www.grs.gov.hk/pdf/Guidelines_on_Bulk_Relocation_of_Records(Eng_only).pdf</a></p> <ul style="list-style-type: none"> <li>✧ Procedures to be adopted by B/Ds during a relocation exercise</li> </ul>
<b>GRS</b>	Government Records Service
<b>Hybrid</b>	<p>Guidelines for Managing Records in a Hybrid Environment  <a href="http://www.grs.gov.hk/pdf/Guidelines_for_Managing_Records_in_a_Hybrid_Environment(Eng_only).pdf">http://www.grs.gov.hk/pdf/Guidelines_for_Managing_Records_in_a_Hybrid_Environment(Eng_only).pdf</a></p> <ul style="list-style-type: none"> <li>✧ Prescribes the relevant policy, principles, requirements and best practices for records management functions and activities to ensure government records, regardless of their forms and media, are managed properly and effectively in a hybrid records management environment</li> </ul>
<b>lm</b>	<p>Linear metre</p> <ul style="list-style-type: none"> <li>✧ Linear metre is the unit of measurement of paper records</li> <li>✧ If records are stored vertically on shelves or in drawers, they should be measured along the horizontal axis</li> <li>✧ As a general reference, a 4-drawer filing cabinet can hold approximately 2 lm of records</li> </ul>
<b>MPS</b>	Master Pay Scale
<b>PRO</b>	Public Records Office of GRS
<b>PSO</b>	Preservation Service Office of GRS
<b>Publications</b>	<p>GRS' Records Management Publications  <a href="http://www.grs.gov.hk/en/hksar_government_administrative_guidelines_on_record_management.html">http://www.grs.gov.hk/en/hksar_government_administrative_guidelines_on_record_management.html</a></p> <ul style="list-style-type: none"> <li>✧ Publication No. 1 - A Practical Guide to Records Scheduling and Disposal</li> <li>✧ Publication No. 2 - Managing Active Records: File Management</li> <li>✧ Publication No. 3 - Subject Filing</li> <li>✧ Publication No. 4 - General Administrative Records Disposal Schedules (GARDS)</li> <li>✧ Publication No. 5 - The Microfilming User Manual</li> <li>✧ Publication No. 6 - Manual on Vital Records Protection</li> <li>✧ Publication No. 7 - Topical Guide cum Checklists for Proper Records Management Practices</li> </ul>



<b>RC</b>	Records Centre of GRS
<b>RMAO</b>	Records Management and Administration Office of GRS
<b>RMM</b>	<p>Records Management Manual  <a href="http://www.grs.gov.hk/pdf/RM_Manual_(Eng).pdf">http://www.grs.gov.hk/pdf/RM_Manual_(Eng).pdf</a></p> <ul style="list-style-type: none"> <li>✧ Provides guidance and instructions for proper and coordinated management of government records</li> <li>✧ Prescribes the code of practices required for the establishment of a comprehensive records management programme in B/Ds</li> </ul>
<b>SARCIS</b>	<p>Storage Allocation and Records Centre Information System  (accessed through the Departmental Portal of individual B/Ds)</p> <ul style="list-style-type: none"> <li>✧ Computer system developed by GRS to process B/Ds' requests/ applications on (i) establishment/review of records retention and disposal schedules, (ii) disposal of time-expired records, and (iii) transfer of inactive records to RC / retrieval of inactive records from RC / return of inactive records to RC</li> </ul>
<b>SEO or equivalent</b>	<p>Senior Executive Officer or equivalent</p> <ul style="list-style-type: none"> <li>✧ An officer the maximum pay point of whose rank is not lower than MPS Point 44 or equivalent</li> </ul>
<b>SR</b>	Security Regulations