

**Records management work of the Government Records Service**

**Updated progress of implementing audit recommendations  
(As at September 2012)**

<b>Audit Report para. no.</b>	<b>Audit recommendations</b>	<b>Progress to date</b>
<b>Part 2: Overseeing of records management programmes</b>		
2.13	<p><i>Requirements on records management programmes</i></p> <p>Audit has recommended that the Director of Administration should:</p> <p>(a) consider setting mandatory requirements on the creation of records, with a view to ensuring that B/Ds create adequate but not excessive records.</p>	<p>(a) Action completed. The GRS has reviewed the existing guidelines on the creation of records. As a result, further guidelines on creation and collection of records were issued in July 2012 to assist B/Ds in identifying information generated in business processes for capturing as records. The GRS will monitor the effectiveness of these guidelines.</p>
2.20	<p><i>Records management studies</i></p> <p>Audit has recommended that the Director of Administration should:</p> <p>(a) consider expanding the scope of records management studies so as to fully achieve the objective of such studies;</p>	<p>(a) The GRS will embark on comprehensive records management review for B/Ds in the fourth quarter of 2012.</p>

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	<p>(b) review the procedures for following up the B/Ds' implementation of the GRS's recommendations made in records management studies to identify whether there are inadequacies; and</p> <p>(c) based on the review results in (b) above, take appropriate measures to ensure that B/Ds promptly implement the GRS's recommendations in future to improve their records management.</p>	<p>(b) and (c)</p> <p>The aim of the records management studies is to help B/Ds adopt the standard classification scheme for administrative records. Following review, the Administration has since August 2011 required B/Ds to submit quarterly reports on their progress of adopting the standard classification scheme for administrative records as a mandatory records management requirement. The GRS has also provided assistance to B/Ds as appropriate. All B/Ds have now adopted the standard classification scheme except for a few B/Ds which were only covered by records management studies recently and are given three years to adopt the standard classification scheme after completion of the studies. The B/Ds concerned are required to submit quarterly progress reports to the GRS during the three-year implementation period.</p> <p>Actions on (a) to (c) completed as (a) will be implemented on an on-going basis and (b) and (c) have been implemented.</p>

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2.32	<p><i>Records management surveys</i></p> <p>Audit has recommended that the Director of Administration should:</p> <p>(a) conduct service-wide surveys at appropriate times after promulgating major records management policies and practices so that any common implementation issues can be identified and addressed in a timely manner;</p> <p>(c) conduct follow-up surveys to monitor B/Ds' compliance with the mandatory records management requirements set out in General Circular No. 2/2009 (particularly those concerning records disposal); and</p> <p>(d) based on the results of the follow-up surveys in (c) above, consider taking more stringent measures in warranted cases.</p>	<p>(a), (c) and (d)</p> <p>The GRS will conduct the next service-wide survey in the fourth quarter of 2012 to monitor B/Ds' compliance with the mandatory requirements, and will consider the improvements required based on the results of the survey.</p>
<b>Part 3: Storage and disposal services for inactive records</b>		
3.22	<p><i>Storage and disposal of inactive records</i></p> <p>Audit has recommended that the Director of Administration should:</p>	

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	(f) urge the Department of Justice to complete the review of the personal records.	(f) Action completed. The Department of Justice has already completed the review of 886 files involved.
<b>Part 4: Management of archival records</b>		
4.24	<p><i>Safe custody of archival records</i></p> <p>Audit has recommended that the Director of Administration should:</p> <p>(a) require GRS staff to conduct periodical stocktaking of archival and library holdings.</p>	<p>(a) The GRS has just completed the stocktaking of holdings of the Central Preservation Library for Government Publications in end-September 2012. Action completed as the recommendation will be implemented on an on-going basis.</p>
4.35	<p><i>Access to archival records</i></p> <p>Audit has recommended that the Director of Administration should:</p> <p>(a) expedite action on ascertaining the current B/Ds responsible for confirming the access status of the 627 archival records created by some former B/Ds;</p> <p>(b) set mandatory requirements specifying that B/Ds should confirm the access status of classified archival records within</p>	<p>(a) The GRS has identified the current B/Ds responsible for confirming the access status of the 627 records and the B/Ds concerned have been invited to review the access status of these records accordingly. So far the access status of over 200 records has been confirmed.</p> <p>(b) The GRS is monitoring the effectiveness of improvement measures implemented recently to facilitate review of the access</p>

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	<p>a reasonable time after they reach 30 years old;</p> <p>(c) urgently follow up the long outstanding cases with the B/Ds concerned at an appropriate senior level; and</p> <p>(d) monitor B/Ds' compliance with the requirements in (b) above and consider taking more stringent measures where warranted by circumstances.</p>	<p>status of classified records by B/Ds in a more coordinated and timely manner. The GRS will consider the need for setting the proposed mandatory requirements if necessary.</p> <p>(c) The GRS has followed up the outstanding cases with the 18 B/Ds concerned since September 2011. Of the 1,137 records mentioned in the Audit Report, the access status of over 1,100 records has been confirmed. The GRS has requested the relevant B/Ds to complete the review of the remaining records as soon as possible.</p> <p>(d) See (b) above.</p>