



本署檔案 Our ref.:
來函檔案 Your ref.: CB4/PAC/R74

APPENDIX 43
香港特別行政區政府
效率促進辦公室
Efficiency Office
The Government of the Hong Kong
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By Email

1 June 2020

Mr Anthony CHU
Clerk to Public Accounts Committee
Legislative Council Complex
1 Legislative Council Road
Central, Hong Kong

Dear Mr CHU,

Public Accounts Committee
Consideration of Chapter 4 of the Director of Audit's Report No. 74
Government's efforts in implementing electronic recordkeeping system

I refer to your letter dated 22 May 2020, requesting this office to provide response and information to Part III of the Appendix therein. Our reply is set out at Annex.

Yours sincerely,

(Simon LAM)

for Commissioner for Efficiency

c.c. Secretary for Innovation and Technology
Government Chief Information Officer
Director of Administration
Secretary for Commerce and Economic Development
Director of Marine
Secretary for Financial Services and the Treasury
Director of Audit

Chapter 4 of the Director of Audit's Report No. 74
Government's efforts in implementing electronic recordkeeping system
Questions and requested information

(III) Response of the Efficiency Office

PART 2: Planning for the service-wide implementation of electronic recordkeeping system

15) *The Director of Audit's Report No. 57, published in October 2011, reviewed the records management work of the Government Records Service (GRS). Part 5 of the Report examined the development of an electronic recordkeeping system (ERKS), in which Audit identified a number of issues and put forward recommendations to address them. However, the issues identified in 2011 were again found in this round of Audit review, e.g. records management standards, confidential records, slow progress in the planning and development of preservation of electronic records:*

- (a) *According to paragraph 2.7, implementation plans from bureaux/ departments (B/Ds) were not submitted on time. Of the 75 B/Ds, 17 (23%) had not yet submitted their implementation plans as of 6 February 2020. It was mentioned in the response from the Government (paragraph 2.12a(iii)) that the Government would further liaise with the relevant bureaux to request submission of the outstanding ERKS implementation plans by 15 April 2020. Please advise if the above-mentioned 17 B/Ds have submitted their ERKS implementation plans; if not, what are the reasons for the delay; will there be any penalties for failure to submit the plans as scheduled; and***
- (b) *In response to Audit's recommendations, the Government pointed out in paragraph 2.12(c)(i) that it has been taking measures to enhance senior management support on the service-wide implementation of ERKS and arranging briefings for senior management of B/Ds. However, it is stated in paragraph 2.10(b) that 59 (70%) of the 84 Electronic Information Management (EIM) coordinators had not attended the briefing sessions in person. This revealed that senior management did not attach importance to ERKS. Will the Government advise this Committee on the attendance records of the briefings since July 2019 and whether there are any concrete measures to enlist the support of senior management?***

Response

With the Office of the Government Chief Information Officer's (OGCIO) follow-up actions, the ERKS implementation plans of all B/Ds were received in April 2020. OGCIO, GRS and the Efficiency Office (EffO) will arrange meetings with the individual B/Ds' implementation teams to further discuss the details of their ERKS implementation, including their timetables.

OGCIO, GRS and EffO have been taking measures to encourage the middle and senior management officers of B/Ds to adopt ERKS as soon as possible. As mentioned in paragraph 2.9 of the Report, the Government arranged briefings for senior management officers from time to time, including the Heads of Departments Meeting in August 2019 where the Government Chief Information Officer and the Director of Administration introduced the latest way forward on ERKS implementation. At the Stakeholders' Engagement Meeting in September 2019, OGCIO also introduced the work arrangements of the related system to B/Ds' senior / directorate officers.

OGCIO, GRS and EffO have conducted over 20 briefings-cum-meetings from July 2019 to May 2020, including some meetings specially arranged for individual B/Ds. A total of over 5 000 officers from all B/Ds attended the briefings-cum-meetings, including more than 150 directorate officers.

16) *According to paragraph 2.15, a number of B/Ds still do not have dedicated IT systems to manage their human resources processes and need to keep personnel records on paper files.*

- (a) *According to paragraph 2.15(b), at present, not all B/Ds had implemented ERKS. If an officer was transferred between B/Ds with and without ERKS implemented, the officer's personnel records would have to be printed out from ERKS as paper records for use by B/Ds without ERKS, or the personnel records in paper form would have to be scanned into the receiving B/D's ERKS. This arrangement is time-consuming and inefficient. Please explain why some B/Ds cannot use ERKS for managing personnel records; and***
- (b) *According to paragraph 2.16, upon Audit's enquiry, OGCIO said that the Government Human Resources Management Services (GovHRMS) was a shared common service provided by OGCIO for adoption by B/Ds on a voluntary basis. While the Government intends to implement ERKS on a service-wide scale, please advise why a voluntary approach in human resources management (HRM) is still adopted? If some B/Ds do not adopt GovHRMS, it may give rise to situations that the system and records in one B/D are incompatible with those in other B/Ds, thereby***

causing confusion. How will the Government do with this? What is the Government's plan on full implementation of GovHRMS?

Response

B/Ds can choose to use ERKS to store personnel records, or implement their departmental human resources management services system. For B/Ds which have not implemented such systems, they still need to continue to use paper records in records exchange for transfer.

Upon the service-wide implementation of ERKS, GRS will request all B/Ds to store personnel records in the system.

Currently, B/Ds will consider adopting the GovHRMS developed by OGCI0 according to their operational needs and HRM initiatives implemented.

In the long run, OGCI0 will proactively promote the adoption of GovHRMS to B/Ds, and provide technical support to assist B/Ds in modifying individual functions to meet the needs of their personnel management work.

17) According to paragraphs 2.17 and 2.18, remote access to records at confidential level is not supported by ERKS being used by the 11 B/Ds under the pilot programme. A user can only retrieve confidential records in ERKS when connected to government network in government offices. This arrangement is different from the government e-mail system, which supports remote access to confidential e-mails. As the epidemic may last for some time, when will the Government consult the Security Bureau (SB) on remote access to confidential records so that the work from home arrangement can be put into full implementation when necessary to reduce the risk of the novel coronavirus spreading in the community?

Response

OGCI0 is discussing with SB the security design requirements of ERKS, including the introduction of security measures required for remote access to confidential records. Relevant design and technical requirements will be incorporated in the tender documents.

- End -