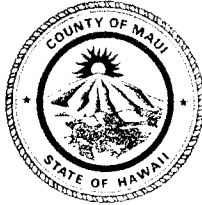


ALAN M. ARAKAWA  
MAYOR



KEITH A. REGAN  
MANAGING DIRECTOR

**DEPARTMENT OF MANAGEMENT**

COUNTY OF MAUI

April 7, 2016

Mr. Sananda K. Baz  
Budget Director, County of Maui  
200 South High Street  
Wailuku, Hawaii 96793

Honorable Alan M. Arakawa  
Mayor, County of Maui  
200 South High Street  
Wailuku, Hawaii 96793

APPROVED FOR TRANSMITTAL  
*Keith A. Regan* 4/8/16  
Date

For Transmittal to:

Honorable Riki Hokama  
Chair, Budget and Finance Committee  
Maui County Council  
200 South High Street  
Wailuku, Hawaii 96793

**SUBJECT: FISCAL YEAR ("FY") 2017 BUDGET (MD-2) (BF-1)**

Dear Chair Hokama:

In response to the Budget Committee's request dated April 2, 2016, please find attached the December 28, 1990, County of Maui's General Records Disposition Schedule, which remains in effect. Additionally, each of the following County's departments/agencies' disposition schedules are attached:

Civil Defense  
Corporation Counsel  
County Clerk  
Finance  
Fire Control  
Housing and Human Concerns  
Liquor Control

Mayor/Department of Management  
Parks & Recreation  
Personnel Services  
Planning  
Police  
Prosecuting Attorney  
Public Works & Waste Management  
Water Supply

All of the above departmental schedules were approved by the County's Records Disposition Committee<sup>1</sup> in the 1984 to 1990 timeframe, with the exception of the Revised Records Disposition Schedule for the Department of Police, which was approved by Council Resolution No. 10-36.

A 1984 memo indicates that the Office of Council Services and the Office of the County Clerk were to adopt the policy attached to that memo. However, it is uncertain whether Council Services adopted or acted under the County Clerk's policy. Council Services Director David Raatz confirmed that the office does not presently maintain a disposition schedule. The relatively newly created Office of the County Auditor does not have a records disposition schedule. The Department of Environmental Management, having split off from Public Works, continues to operate under the combined schedule, which should be updated.

My understanding is that the Policy Committee has considered amending Chapter 2.84, Maui County Code, to reflect changes in state law. Please see the memo dated January 31, 2012, from Deputy Corporation Counsel Adrienne Heely to the Policy Committee. This memo discusses the interplay between the County Charter and Hawaii Revised Statutes, including information on the 2005 changes to Hawaii law.

Working toward the goal of updating the records retention/disposition policies, in January 2015, I requested that all departments review their existing departmental records disposition schedules, and with reference to the State of Hawaii General Records Schedules (revised through May 2006)<sup>2</sup> identify specific state schedules that pertain and conform to each department's requirements, along with recommended changes to those schedules. A consideration before progressing further is to gain consensus on whether the state's models are appropriate, or whether updating existing County schedules would better fit the County's circumstances. Deputy Corporation Counsel Richelle Thomson has been assigned to this matter.

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<sup>1</sup> Pursuant to Section 2.84.060, Maui County Code, the Records Disposition Committee consists of the County Clerk, Managing Director, Director of Finance, the Corporation Counsel, and the Chair of the Finance Committee of the County Council, or their designate.

<sup>2</sup> State of Hawaii General Records Schedules, Department of Accounting and General Services, available at <http://ags.hawaii.gov/wp-content/uploads/2012/09/GRS-2002-revised-5-061.pdf>

G. Riki Hokama, Chair  
Budget and Finance Committee  
April 7, 2016  
Page 3

I look forward to working with the Council to update the records retention and disposal policies and schedules.

Best regards,

A handwritten signature in black ink, appearing to read 'KEITH A. REGAN', with a large circular flourish at the end.

KEITH A. REGAN  
Managing Director

Attachments

Xc: Danny A. Mateo, County Clerk  
Danilo F. Aagsalong, Director of Finance  
Patrick K. Wong, Corporation Counsel

**COUNTY OF MAUI**

**RECORDS DISPOSITION**

**SCHEDULE**

**Prepared by:**

**The Records Disposition Committee**

**Council Finance Committee Chair  
County Clerk  
Managing Director  
Corporation Counsel  
Director of Finance**

**December 28, 1990**

## **CONTENTS**

***Civil Defense Agency***

***Office of the Corporation Counsel***

***Department of Finance***

***Department of Fire Control***

***Department of Housing and Human Concerns***

***Department of Liquor Control***

***Office of the Mayor/Department of Management***

***Department of Parks and Recreation***

***Department of Personnel Services***

***Department of Planning***

***Department of Police***

***Office of the Prosecuting Attorney***

***Department of Public Works and Waste Management***

***Department of Water Supply***

***Note - not included are:***

***Clerk's Office***

***Council Services***

COUNTY OF MAUI  
GENERAL RECORDS SCHEDULE

Rev. 6/84

Description of Records	Authorized Disposition for Departments	*Department Holding Official Copy
A. <u>Annual Reports</u>	Retain 1 fiscal year	County Clerk
B. <u>Boards, Commissions, and Committees Records</u>		
1. Ad Hoc/Advisory		
a. Agendas	Retain 1 fiscal year	County Clerk (retain 5 fiscal years)
b. Minutes, communications, and other related records	Retain 3 fiscal years unless otherwise approved by Records Disposition Committee	Department
c. Reports	Retain permanently	Department
2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)		
a. Agendas	Retain 1 fiscal year	County Clerk (retain 5 fiscal years)
b. Minutes, reports, communications, and other related records	Retain permanently	Department
c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Retain permanently	County Clerk
*Department holding official copy will retain the document permanently unless otherwise noted.		

COUNTY OF MAUI  
GENERAL RECORDS SCHEDULE

Rev. 6/84

Description of Records	Authorized Disposition for Departments	*Department Holding Official Copy
<p>C. <u>Correspondence Records</u></p> <p>Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (i.e., those records which are inappropriate for filing in specific subject or case files):</p> <ol style="list-style-type: none"> <li>1. Involving policy decisions, procedures, County liability, rules, etc.</li> <li>2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence</li> <li>3. Executive Orders/Directives</li> </ol> <p>D. <u>Council-Related Records</u></p> <ol style="list-style-type: none"> <li>1. Ordinances</li> <li>2. Resolutions</li> <li>3. County Council journal (minutes) and committee reports</li> </ol>	<p>Retain permanently</p> <p>Retain 1 fiscal year</p> <p>Retain permanently</p> <p>Retain permanently</p> <p>Retain permanently</p> <p>-----</p>	<p>Department</p> <p>Department (retain 1 fiscal year)</p> <p>Mayor's Office</p> <p>County Clerk</p> <p>County Clerk</p> <p>County Clerk</p>

COUNTY OF MAUI

Rev. 6/84

Description of Records	Authorized Disposition for Departments	*Department Holding Official Copy
<b>E. <u>Finance-Related Records</u></b>		
1. Accounts		
Accounts payables and encumbrances printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:		
a. General Fund accounts	Retain 1 fiscal year	Finance (retain 10 years after audit)
b. Special Fund accounts (i.e., Highway Fund, Bikeway Fund, Sewer Fund, Golf Fund, Liquor Fund, etc.)	Retain 1 fiscal year	Finance (retain 10 years after audit)
2. Budget		
a. Allotment requests	Retain 1 fiscal year	Finance (retain 1 fiscal year)
b. Budget worksheets	Retain 1 fiscal year	Department (retain 1 fiscal year)
c. Departmental budget	Retain 1 fiscal year	-----
d. County annual budget	Retain 1 fiscal year	Finance
3. Inventory		
a. Inventory printouts	Dispose when superseded	Finance (retain 3 fiscal years)
b. Inventory-related forms (Inv Form 1 through Inv Form 6)	Dispose after verification of printouts	Finance (retain 1 fiscal year)



COUNTY OF MAUI  
GENERAL RECORDS SCHEDULE

Rev. 6/84

Description of Records	Authorized Disposition for Departments	*Department Holding Official Copy
4. Payroll/Attendance		
a. Application for Leave or Absence (Form DF-1)	Retain 1 calendar year	Department (retain 1 calendar year)
b. Application for Leave (Form DF-2)	Retain 1 calendar year	Department (retain 1 calendar year)
c. Meal claims (Form DF-3)	Retain 1 fiscal year	Finance (retain 1 fiscal year)
d. Payroll printouts (Payroll Register, Payroll Recap, Deduction Register)	Retain 1 fiscal year	Finance
e. Terminal applications (Form DF-1A)	Retain 1 fiscal year	Finance (retain 5 fiscal years)
f. Time sheets (Form DF-4)	Retain 1 fiscal year	Finance
g. SF-1	Retain 1 fiscal year	Personnel Services
h. Accumulated leave printouts	Dispose when superseded	Finance
i. Temporary Assignment Report Aid Listing printouts	Dispose when superseded	Finance (retain 2 fiscal years)

COUNTY OF MAUI  
GENERAL RECORDS SCHEDULE

Rev. 6/84

Description of Records	Authorized Disposition for Departments	*Department Holding Official Copy
<p>F. <u>Contracts and Related Communications</u> (i.e., personal services, construction, goods, services, consultants, or equipment, etc.)</p> <p>1. County funded</p> <p>2. State funded</p> <p>3. Federally funded</p>	<p>Transmit to Finance upon satisfactory completion</p> <p>Transmit to Finance upon completion of final audit</p> <p>Transmit to Finance upon completion of final audit</p>	<p>Finance (retain 5 years upon receipt from department)</p> <p>Finance (retain 5 years upon receipt from department)</p> <p>Finance (retain 5 years upon receipt from department)</p>
<p>G. <u>House Rules</u></p>	<p>Retain permanently</p>	<p>Department and Personnel Services</p>

COUNTY OF MAUI  
GENERAL RECORDS SCHEDULE

Rev. 6/84

Description of Records	Authorized Disposition for Departments	*Department Holding Official Copy
<b>H. <u>Personnel-Related Records</u></b>		
1. Employee records		
a. Transferring employees	Records of an employee transferring to another County department will be transferred with the employee	Department
b. Terminating employees	Transfer employee's file to Personnel Services upon separation of employee from County	Personnel Services
c. Workers' Compensation Records	Transmit employee's file to Human Concerns upon separation of employee from County	Human Concerns
2. Health Fund records		
a. Application forms (Forms E-1, N-1, E-5)	Retain in respective employee's file. Dispose when superseded.	Department
b. Other related health fund records	Dispose when superseded or upon verification of printouts	Finance (dispose when superseded)
3. Executed request for position action (Manpower form MC 1-67)	Retain 1 fiscal year	Personnel Services
4. Position descriptions	Dispose when superseded	Personnel Services
5. Tables of organization (structural and functional)	Dispose when superseded	Personnel Services

COUNTY OF MAUI  
GENERAL RECORDS SCHEDULE

Rev. 6/84

Description of Records	Authorized Disposition for Departments	*Department Holding Official Copy
<p><b>I. <u>Records Filed with County Clerk</u></b></p> <ol style="list-style-type: none"> <li>1. Agendas of all County meetings of boards, commissions, or committees either ad hoc, advisory, or authorized</li> <li>2. Deeds, easements and other conveyances, executive orders, claims, Charter Commission records, and rules and regulations of County departments and agencies</li> <li>3. Contracts</li> </ol>	<p>Retain 1 fiscal year</p> <p style="text-align: center;">- - - - -</p> <p>Transmit to Finance upon completion of contract</p>	<p>County Clerk (retain 5 fiscal years)</p> <p>County Clerk</p> <p>Finance (see Section F, page 5)</p>
<p><b>J. <u>Records Management</u></b></p> <ol style="list-style-type: none"> <li>1. General Records Schedule</li> <li>2. Records Disposition Schedule (MCR-1)</li> <li>3. Request/Approval for Records Disposition Authority (MCR-2)</li> </ol>	<p>Retain permanently</p> <p>Dispose when superseded</p> <p>Retain permanently</p>	<p>County Clerk</p> <p>County Clerk</p> <p>County Clerk</p>

## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy: Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By [Signature]

FROM: CIVIL DEFENSE AGENCY

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 6 pages, meet all agency and other known requirements for the transaction of public business.

Date December 27, 1990

[Signature]  
Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
CIVIL DEFENSE AGENCY		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, <del>procedures</del> , rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department CIVIL DEFENSE AGENCY		Division	Section
Item No.	Description of Records	Retention Period	
D.	<u>COUNCIL-RELATED RECORDS</u>		
1.	Ordinances		
a.	Permanent	Until codified	
b.	Others, e.g., zoning, budget	Until superseded	
2.	Resolutions		
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention	
b.	Council statements, e.g., Council positions	2 fiscal years	
c.	Others, e.g., congratulatory, condolence	1 fiscal year	
3.	County Council Journals (minutes)	-----	
4.	County Council Committee Reports	2 fiscal years	
5.	General and County Communications	2 fiscal years	
E.	<u>FINANCE-RELATED RECORDS</u>		
1.	Accounts		
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:		
a.	General Fund Accounts	1 fiscal year	
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year	
2.	Budget		
a.	Allotment requests	1 fiscal year	
b.	Budget worksheets	1 fiscal year	
c.	Departmental budget	1 fiscal year	
d.	County annual budget	1 fiscal year	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department CIVIL DEFENSE AGENCY		Division	Section
Item No.	Description of Records	Retention Period	
3. Inventory			
a.	Inventory printouts	Dispose when superseded	
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts	
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----	
4. Payroll/Attendance			
a.	Application for Leave of Absence (Form DF-1)	1 calendar year	
b.	Application for Leave (Form DF-2)	1 calendar year	
c.	Meal Claims (Form DF-3)	1 fiscal year	
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year	
e.	Terminal Applications (Form DF-1A)	1 fiscal year	
f.	Time Sheets (Form DF-4)	1 fiscal year	
g.	SF-1	1 fiscal year	
h.	Accumulated Leave Printouts	Dispose when superseded	
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded	
j.	County Insurance Policies	-----	
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.		
1.	County funded	Transmit to Finance when completed	
2.	State funded	Transmit to Finance when final audit completed	
3.	Federally funded	Transmit to Finance when final audit completed	



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
CIVIL DEFENSE AGENCY		
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
CIVIL DEFENSE AGENCY			
Item No.	Description of Records	Retention Period	
J.	<u>RECORDS MANAGEMENT</u>		
1.	General Records Schedule	Until superseded	
2.	Records Disposition Schedule (MCR-1)	Until superseded	
3.	Request/Approval for Records Disposition Authority (MCR-2)	Until superseded	

**COUNTY OF MAUI**

**REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY**

**PREPARE IN TRIPLICATE**

- PREPARE IN TRIPLICATE**  
1. Original & Copy: Managing Director  
2. Copy : Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90  
By [Signature]

FROM: CORPORATION COUNSEL  
Department or Agency

CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of \_\_\_\_\_ pages, meet all agency and other known requirements for the transaction of public business.

Date 12-13-90  
[Signature]  
Department Head

CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90  
[Signature]  
Managing Director

RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
CORPORATION COUNSEL		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department CORPORATION COUNSEL		Division	Section
Item No.	Description of Records	Retention Period	
D.	<u>COUNCIL-RELATED RECORDS</u>		
	1. Ordinances		
	a. Permanent	Until codified	
	b. Others, e.g., zoning, budget	Until superseded	
	2. Resolutions		
	a. <u>If</u> required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention	
	b. Council statements, e.g., Council positions	2 fiscal years	
	c. Others, e.g., congratulatory, condolence	1 fiscal year	
	3. County Council Journals (minutes)	-----	
	4. County Council Committee Reports	2 fiscal years	
	5. General and County Communications	2 fiscal years	
E.	<u>FINANCE-RELATED RECORDS</u>		
	1. Accounts		
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:		
	a. General Fund Accounts	1 fiscal year	
	b. Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year	
	2. Budget		
	a. Allotment requests	1 fiscal year	
	b. Budget worksheets	1 fiscal year	
	c. Departmental budget	1 fiscal year	
	d. County annual budget	1 fiscal year	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
CORPORATION COUNSEL		
Item No.	Description of Records	Retention Period
3.	Inventory	
	a. Inventory printouts	Dispose when superseded
	b. Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
	c. Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
	a. Application for Leave of Absence (Form DF-1)	1 calendar year
	b. Application for Leave (Form DF-2)	1 calendar year
	c. Meal Claims (Form DF-3)	1 fiscal year
	d. Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
	e. Terminal Applications (Form DF-1A)	1 fiscal year
	f. Time Sheets (Form DF-4)	1 fiscal year
	g. SF-1	1 fiscal year
	h. Accumulated Leave Printouts	Dispose when superseded
	i. Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
	j. County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
	1. County funded	Transmit to Finance when completed
	2. State Funded	Transmit to Finance when final audit completed
	3. Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department CORPORATION COUNSEL			Division	Section
Item No.	Description of Records	Retention Period		
G.	<u>HOUSE RULES</u>	Until superseded or amended		
H.	<u>PERSONNEL-RELATED RECORDS</u>			
	1. Employee records			
	a. Transferring employees			
	(1) Intra-Jurisdictional	Departmental records transferred with employee		
	(2) Inter-Jurisdictional	See terminating below		
	b. Terminating employees	Give to employee; receipt sent to Personnel		
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service		
	2. Health Fund Records			
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded		
	b. Others	Dispose when superseded or verification of printouts		
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year		
	4. Position Descriptions	Dispose when superseded		
	5. Tables of Organization (structural/functional)	Dispose when superseded		
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>			
	1. Deeds, easements and other conveyances, executive orders	-----		
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion		
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion		
	4. Equipment Contracts, etc.	To Finance upon completion		
	5. Claims	-----		
	6. Others	To Finance upon completion		

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
CORPORATION COUNSEL		
Item No.	Description of Records	Retention Period
J.	<u>RECORDS MANAGEMENT</u>	
	1. General Records Schedule	Until superseded
	2. Records Disposition Schedule (MCR-1)	Until superseded
	3. Request/Approval for Records Disposition Authority (MCR-2)	Until superseded
K.	<u>CIVIL SUITS</u>	10 fiscal years
L.	<u>LAND ACTIONS</u>	Until microfilmed or 10 fiscal years, which- ever is sooner
M.	<u>CLAIMS</u>	3 fiscal years
N.	<u>CODE ENFORCEMENT (SEWER CONNECTION VIOLATIONS)</u>	3 fiscal years
O.	<u>COLLECTIVE BARGAINING - UNION CONTRACTS (CURRENT)</u>	When superseded
P.	<u>COLLECTIVE BARGAINING - PLEADINGS OF VARIOUS CASES</u>	10 fiscal years
Q.	<u>CONTRACTS</u>	
	1. County Funded	Transmit to Finance when completed
	2. State Funded	Transmit to Finance when final audit completed
	3. Federally Funded	Transmit to Finance when final audit completed
R.	<u>GENERAL CIVIL</u>	
	1. Boards and Commissions case hearings	7 fiscal years
S.	<u>OPINIONS</u>	Until superseded or amended
T.	<u>RULES AND REGULATIONS OF COUNTY DEPARTMENTS</u>	5 years then reassess for further retention
U.	<u>STATE AGENCIES CORRESPONDENCE, REPORTS, ORDINANCES</u>	1 fiscal year
V.	<u>REAL PROPERTY TAX APPEAL CASES</u>	1 fiscal year
W.	<u>WORKERS' COMPENSATION CLAIMS</u>	Transmit to Personnel Services upon resolution of claim



COUNTY OF MAUI

REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPPLICATE

1. Original : Copy: Managing Director
2. Copy : Department File (Discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received \_\_\_\_\_

By \_\_\_\_\_

FROM: OFFICE OF THE COUNTY CLERK  
Department or Agency

CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 4 pages, meet all agency and other known requirements for the transaction of public business.

Date April 5, 1984

[Signature]  
(Department Head)

CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date April 5, 1984

[Signature]  
Council Chairman

RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Corporation Counsel

[Signature]  
Chairperson, Finance Committee

[Signature]  
Finance Director

[Signature]  
County Clerk

DATE 4/25/84

## COUNTY OF MAUI

Rev. 6/84

CR-1

## RECORDS DISPOSITION SCHEDULE

Department	Division	Section
COUNTY CLERK	-----	-----
Item Number	Description of Records	Retention Period
A.	<u>Annual Reports</u>	Retain permanently
B.	<u>Boards, Commissions, and Committees Records</u>	
	1. Ad Hoc/Advisory	
	a. Agendas	Retain 5 fiscal years
	b. Minutes, communications, and other related records	Retain 3 fiscal years unless otherwise approved by Records Disposition Committee
	c. Reports	Retain permanently
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	Retain 5 fiscal years
	b. Minutes, reports, communications, and other related records	Retain permanently
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Retain permanently
C.	<u>Correspondence Records</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (i.e., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability, rules, etc.	Retain permanently
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence	Retain 1 fiscal year
	3. Executive Orders/Directives	Retain permanently
D.	<u>Council-Related Records</u>	
	1. Ordinances	Retain permanently
	2. Resolutions	Retain permanently
	3. County Council journal (minutes) and committee reports	Retain permanently

# COUNTY OF MAUI

CR-1

## RECORDS DISPOSITION SCHEDULE

Department	Division	Section
COUNTY CLERK		
Item Number	Description of Records	Retention Period
E.	<u>Finance-Related Records</u>	
	1. Accounts	
	Accounts payables and encumbrances printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
	a. General Fund accounts	Retain 1 fiscal year
	b. Special Fund accounts (i.e., Highway Fund, Bikeway Fund, Sewer Fund, Golf Fund, Liquor Fund, etc.)	Retain 1 fiscal year
	2. Budget	
	a. Allotment requests	Retain 1 fiscal year
	b. Budget worksheets	Retain 1 fiscal year
	c. Departmental budget	Retain 1 fiscal year
	d. County annual budget	Retain 1 fiscal year
	3. Inventory	
	a. Inventory printouts	Dispose when superseded
	b. Inventory-related forms (Inv Form 1 through Inv Form 6)	Dispose after verification of printouts
	4. Payroll/Attendance	
	a. Application for Leave of Absence (Form DF-1)	Retain 1 calendar year
	b. Application for Leave (Form DF-2)	Retain 1 calendar year
	c. Meal claims (Form DF-3)	Retain 1 fiscal year
	d. Payroll printouts (Payroll Register, Payroll Recap, Deduction Register)	Retain 1 fiscal year
	e. Terminal applications (Form DF-1A)	Retain 1 fiscal year
	f. Time sheets (Form DF-4)	Retain 1 fiscal year
	g. SF-1	Retain 1 fiscal year
	h. Accumulated leave printouts	Dispose when superseded
	i. Temporary Assignment Report Aid Listing printouts	Dispose when superseded

# COUNTY OF MAUI

MCR-1

## RECORDS DISPOSITION SCHEDULE

Department		Division	Section
COUNTY CLERK		-----	-----
Item Number	Description of Records	Retention Period	
F.	<u>Contracts and Related Communications</u> (i.e., personal services, construction, goods, services, consultants, or equipment, etc.)		
	1. County funded	Transmit to Finance upon satisfactory completion	
	2. State funded	Transmit to Finance upon completion of final audit	
	3. Federally funded	Transmit to Finance upon completion of final audit	
G.	<u>House Rules</u>	Retain permanently	
H.	<u>Personnel-Related Records</u>		
	1. Employee records		
	a. Transferring employees	Records of an employee transferring to another County department will be transferred with the employee	
	b. Terminating employees	Transfer employee's file to Personnel Services upon separation of employee from County	
	c. Workers' Compensation Records	Transmit employee's file to Human Concerns upon separation of employee from County	
	2. Health Fund records		
	a. Application forms (Forms E-1, N-1, E-5)	Retain in respective employee's file. Dispose when superseded.	
	b. Other related health fund records	Dispose when superseded or upon verification of printouts	
	3. Executed request for position action (Manpower form MC 1-67)	Retain 1 fiscal year	
	4. Position descriptions	Dispose when superseded	
	5. Tables of organization (structural and functional)	Dispose when superseded	

# COUNTY OF MAUI

CR-1

## RECORDS DISPOSITION SCHEDULE

Department	Division	Section
COUNTY CLERK	-----	-----
Item number	Description of Records	Retention Period
I.	<u>Records Filed with County Clerk</u>	
	1. Agendas of all County meetings of boards, commissions, or committees either ad hoc, advisory, or authorized	Retain 5 fiscal years
	2. Deeds, easements and other conveyances, executive orders, claims, Charter Commission records, and rules and regulations of County departments and agencies	Retain permanently
	3. Contracts	Transmit to Finance upon completion of contract
J.	<u>Records Management</u>	
	1. General Records Schedule	Retain permanently
	2. Records Disposition Schedule (MCR-1)	Retain permanently
	3. Request/Approval for Records Disposition Authority (MCR-2)	Retain permanently

# COUNTY OF MAUI

CR-1

## RECORDS DISPOSITION SCHEDULE

Department	Division	Section
COUNTY CLERK	COUNCIL RECORDS	-----
Item Number	Description of Records	Retention Period
A.	<u>Financial Disclosure Statements</u> (Section 10-3, Charter)	Dispose when superseded or employee separated
B.	<u>Audit Reports</u>	Permanent

## COUNTY OF MAUI

RCR-1

## RECORDS DISPOSITION SCHEDULE

Department		Division	Section
COUNTY CLERK		ELECTIONS	-----
Item Number	Description of Records	Retention Period	
A.	<u>Election Laws, Rules and Regulations</u>	Dispose when superseded	
B.	<u>Legal Opinions on Provisions of Election Laws, Charter</u>	Permanent	
C.	<u>Election Results, Voter Registration Affidavits and Indices</u>	Permanent	
D.	<u>Candidates' Campaign Spending Reports, Organizational Reports (Section 11-195, HRS)</u>	Retain 5 fiscal years	
E.	<u>Ballots, Facsimile Ballots, and Other Election Materials (Section 11-154, HRS)</u>	Dispose when candidates certified	
F.	<u>Nomination Papers, Candidates Financial Disclosure Statements, Pollbooks, Polling Place Record Books</u>	Retain 5 fiscal years	
G.	<u>Absentee Voter Applications</u>	Retain 2 fiscal years	
H.	<u>Primary and General Election Voter Lists</u>	Retain 5 fiscal years	

## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

## PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy: Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By [Signature]

FROM: FINANCE

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 14 pages, meet all agency and other known requirements for the transaction of public business.

Date 12/18/90

[Signature]  
Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FINANCE		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FINANCE		
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FINANCE		
Item No.	Description of Records	Retention Period
3.	Inventory	
a.	Inventory printouts	Dispose when superseded
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	1 calendar year
b.	Application for Leave (Form DF-2)	1 calendar year
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
e.	Terminal Applications (Form DF-1A)	1 fiscal year
f.	Time Sheets (Form DF-4)	1 fiscal year
g.	SF-1	1 fiscal year
h.	Accumulated Leave Printouts	Dispose when superseded
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
j.	County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	Transmit to Finance when completed
2.	State Funded	Transmit to Finance when final audit completed
3.	Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FINANCE		
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
FINANCE			
Item No.	Description of Records	Retention Period	
J.	<u>RECORDS MANAGEMENT</u>		
1.	General Records Schedule	Until superseded	
2.	Records Disposition Schedule (MCR-1)	Until superseded	
3.	Request/Approval for Records Disposition Authority (MCR-2)	Until superseded	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department FINANCE		Division PURCHASING DIVISION	Section
Item No.	Description of Records	Retention Period	
FFF.	<u>PURCHASE REQUISITION</u>	1 year	
GGG.	<u>PURCHASE ORDERS-NUMERICAL SEQUENCE</u>	1 year	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department FINANCE		Division ACCOUNTS	Section ACCOUNTING
Item No.	Description of Records	Retention Period	
Q.	<u>APPROPRIATION, ALLOTMENT AND EXPENDITURE LEDGERS; REVENUE LEDGERS; GENERAL LEDGERS</u>	20 years*	
R.	<u>JOURNAL VOUCHERS</u> (Original entries into ledgers)  Monthly Recap Worksheet of all transactions	20 years*	
S.	<u>SCHEDULE OF WARRANTS ISSUED AND CANCELLED</u> (master list)	20 years*	
T.	<u>TREASURER'S DEPOSIT SLIPS</u> (original)	20 years*	
U.	<u>ANNUAL AUDITED FINANCIAL REPORTS</u> (since 1904)	50 years or until microfilmed	
V.	<u>PAYMENT VOUCHERS-STATE FUNDS</u>	6 years	
W.	<u>CONTRACT LEDGERS</u>	10 years	
X.	<u>PAYROLL PRINTOUTS</u>	50 years	
Y.	<u>ATTENDANCE REPORTS</u>	5 years	
Z.	<u>GARNISHEES, TAX LEVY ORDERS &amp; RECEIPTS</u>	5 years	
AA.	<u>PAYROLL/ACCOUNTS PAYABLE RECONCILIATION PRINTOUTS AND CANCELLED CHECKS/WARRANTS</u>	10 years	
BB.	<u>EMPLOYEES' VACATION AND SICK LEAVE LISTINGS</u>	5 years	
CC.	<u>ACCOUNTS PAYABLE PRINTOUTS</u>	10 years	
DD.	<u>DIRECT CLAIM VOUCHER PAYMENTS</u>	10 years	
EE.	<u>COUNTY PROPERTY INVENTORY PRINTOUTS</u>	3 years	
FF.	<u>UNEMPLOYMENT COMPENSATION AND RELATED REPORTS</u>	3 years	

\*Dependent if any audit outstanding

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department FINANCE	Division TREASURY	Section DRIVER LICENSING
Item No.	Description of Records	Retention Period
SS.	<u>DRIVER'S LICENSE APPLICATION CARD</u>	Purge upon expiration
TT.	<u>DRIVER'S LICENSE APPLICATION CARD</u> <u>(INCOMPLETE)</u>	Purge after 90 days
UU.	<u>APPLICATION FOR OFFICIAL MOTOR</u> <u>VEHICLE SAFETY INSPECTION</u> <u>STATION/CERTIFICATE</u>	1 year
VV.	<u>PARKING IDENTIFICATION FOR</u> <u>DISABLED PERSONS</u>	Purge every 4 years
WW.	<u>EXAMINER'S ROAD TEST REPORT</u>	4 years
XX.	<u>DRIVER LICENSE DOCUMENT</u> <u>TRANSMITTAL FORMS</u>	1 year
YY.	<u>MEDICAL ADVISORY REPORT</u> <u>VISION AND MEDICAL REPORTS</u>	4 years
ZZ.	<u>SAFETY INSPECTION REPORT</u>	1 year
AAA.	<u>PERMIT TO CARRY PASSENGERS</u>	15 years
BBB.	<u>TAXICAB DRIVERS PERMIT FILE</u>	2 years
CCC.	<u>TRAFFIC ACCIDENT FILE</u>	3 years
DDD.	<u>DRUNK DRIVING AND TRAFFIC</u> <u>VIOLATION FILE</u>	3 fiscal years
EEE.	<u>SAFETY RESPONSIBILITY COURT</u> <u>CONVICTION FILE</u>	5 fiscal years



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department FINANCE		Division TREASURY	Section MOTOR VEHICLE REGISTRATION
Item No.	Description of Records	Retention Period	
GG.	<u>OWNERSHIP CERTIFICATE MASTER</u>	6 fiscal years	
HH.	<u>CHANGE LIST DETAIL REPORT</u>	1 fiscal year	
II.	<u>EMBLEM LEDGER CONTROL</u>	1 fiscal year	
JJ.	<u>REGISTRATION RECEIPTS</u>	1 fiscal year	
KK.	<u>DOG OWNER AND NUMERICAL</u>	3 years	
LL.	<u>BICYCLE OWNER AND NUMERICAL</u>	1 year	
MM.	<u>BUSINESS LICENSE MASTER/RECEIPTS</u>	1 fiscal year	
NN.	<u>ACTUAL CASH RECEIPTS JOURNAL</u> <u>TREASURER AND ALL COUNTY</u>	5 years	
OO.	<u>CASH RECEIPTS AND</u> <u>DISBURSEMENT REPORTS</u>	5 years	
PP.	<u>CANCELLED WARRANTS AND WARRANT LIST</u>	7 years	
QQ.	<u>FUND BALANCES AND BANK CASH REPORTS</u>	5 years	
RR.	<u>CERTIFICATES OF OWNERSHIP (MOTOR</u> <u>VEHICLES, EQUIPMENT, ETC.)</u>	Retain until vehicle disposed	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

<hr/>		
Department	Division	Section
FINANCE	REAL PROPERTY TAX	ADMINISTRATION
<hr/>		
Item No.	Description of Records	Retention Period
<hr/>		
HHH.	<u>REFERENCE FILES</u>  Including reports, statistical data, operational data for the division.	Destroy upon supersession

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FINANCE	REAL PROPERTY TAX	APPRAISAL & ASSESSMENT
Item No.	Description of Records	Retention Period
III.	<u>CONVEYANCE TAX AFFIDAVITS</u>	5 years
JJJ.	<u>NOTICES OF REAL PROPERTY ASSESSMENT &amp; AMENDED NOTICES</u>	3 years then microfilm and destroy original
KKK.	<u>CLAIMS FOR EXEMPTIONS</u>	3 years after disallowance then microfilm and destroy original
LLL.	<u>ASSESSMENT FIELD BOOKS</u>	50 years or until microfilmed
MMM.	<u>PETITION FOR DEDICATION</u>	1 year after termination of dedication
NNN.	<u>EDP BUILDING/LAND/EDP LISTING</u>	3 years
OOO.	<u>EDP ALPHA LISTING OF OWNERSHIP</u>	Destroy upon supersession
PPP.	<u>TAX MAPS</u>	Destroy upon supersession
QQQ.	<u>TRANSFER SHEETS (P-12)</u>	2 years
RRR.	<u>SALES ANALYSIS WORKSHEETS</u>	5 years

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
FINANCE		REAL PROPERTY TAX	BOARD OF REVIEW
Item No.	Description of Records	Retention Period	
CCCC.	<u>APPEAL DOCKET</u> <u>DISPOSITION OF APPEAL CASES</u>	50 years	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department FINANCE	Division REAL PROPERTY TAX	Section COLLECTION
Item No.	Description of Records	Retention Period
SSS.	<u>EDP LISTING OF ACCOUNTS RECEIVABLE</u>	Microfilm original and destroy at end of fiscal year
TTT.	<u>EDP LISTING OF CURRENT REAL PROPERTY TRIAL BALANCES</u>	Same as above
UUU.	<u>EDP LISTING OF DELINQUENT REAL PROPERTY TAX TRIAL BALANCE ENDING EACH FISCAL YEAR</u>	Same as above
VVV	<u>EDP LISTING OF REAL PROPERTY DELINQUENT ROLL</u>	Same as above
WWW.	<u>AGENCY REAL PROPERTY TAX PAYMENT-FORM A40-A</u>	50 years or until
XXX.	<u>DELINQUENT REAL PROPERTY TAX LEDGERS</u>	1 year
YYY.	<u>REAL PROPERTY TAX PAYMENT RECEIPTS</u>	3 years
ZZZ.	<u>RECORDS OF REAL PROPERTY TAX SALES</u>	15 years
AAAA.	<u>UNCOLLECTIBLE REGISTER</u>	50 years
BBBB.	<u>APPEAL COST REGISTER</u>	Dispose 1 year after final decision

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department FINANCE		Division DIRECTOR'S OFFICE	Section
Item No.	Description of Records	Retention Period	
K.	<u>INSURANCE CERTIFICATES</u> (vehicles, general liability, fire, fidelity bond, etc.)	Until superseded	
L.	<u>LEASE DOCUMENTS FOR LAND AND STRUCTURES</u>	3 years after termination	
M.	<u>PROMISSORY NOTES-INTERIM LOANS</u>	1 year after expiration	
N.	<u>BOND ISSUE RECORDS</u>	Term of Bond	
O.	<u>PENSION RECORDS</u> - Applications, Designation of Beneficiary, Minutes, State Assn. Rules, By-laws, etc.	50 years	
P.	<u>COUNTY INSURANCE POLICIES</u>	5 fiscal years	

## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy: Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By [Signature]

FROM: FIRE CONTROL

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 6 pages, meet all agency and other known requirements for the transaction of public business.

Date 12-11-90

[Signature]

Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FIRE CONTROL		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or regulations on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FIRE CONTROL		
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FIRE CONTROL		
Item No.	Description of Records	Retention Period
3.	Inventory	
	a. Inventory printouts	Dispose when superseded
	b. Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
	c. Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
	a. Application for Leave of Absence (Form DF-1)	1 calendar year
	b. Application for Leave (Form DF-2)	1 calendar year
	c. Meal Claims (Form DF-3)	1 fiscal year
	d. Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
	e. Terminal Applications (Form DF-1A)	1 fiscal year
	f. Time Sheets (Form DF-4)	1 fiscal year
	g. SF-1	1 fiscal year
	h. Accumulated Leave Printouts	Dispose when superseded
	i. Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
	j. County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
	1. County funded	Transmit to Finance when completed
	2. State Funded	Transmit to Finance when final audit completed
	3. Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
FIRE CONTROL		
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
FIRE CONTROL			
Item No.	Description of Records	Retention Period	
J.	<u>RECORDS MANAGEMENT</u>		
1.	General Records Schedule	Until superseded	
2.	Records Disposition Schedule (MCR-1)	Until superseded	
3.	Request/Approval for Records Disposition Authority (MCR-2)	Until superseded	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

<hr/>		
Department	Division	Section
FIRE CONTROL		
<hr/>		
Item No.	Description of Records	Retention Period
K.	<u>FIRE REPORTS</u>	3 fiscal years

## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

DEC 13 AM 11:25

## PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy : Department file (discard when approved copy returned)

OFFICE OF THE CLERK

TO: MANAGING DIRECTOR  
COUNTY OF MAUIDate Received 12-27-90By [Signature]

FROM: HUMAN CONCERNS

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of \_\_\_\_\_ pages, meet all agency and other known requirements for the transaction of public business.

Date 12/12/90

[Signature]  
Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:Date 12/27/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Corporation Counsel

[Signature]  
Chairperson, Finance Committee

[Signature]  
Finance Director

[Signature]  
County Clerk

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
HUMAN CONCERNS		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
HUMAN CONCERNS		
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allocation requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
HUMAN CONCERNS		
Item No.	Description of Records	Retention Period
3.	Inventory	
	a. Inventory printouts	Dispose when superseded
	b. Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
	c. Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
	a. Application for Leave of Absence (Form DF-1)	1 calendar year
	b. Application for Leave (Form DF-2)	1 calendar year
	c. Meal Claims (Form DF-3)	1 fiscal year
	d. Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
	e. Terminal Applications (Form DF-1A)	1 fiscal year
	f. Time Sheets (Form DF-4)	1 fiscal year
	g. SF-1	1 fiscal year
	h. Accumulated Leave Printouts	Dispose when superseded
	i. Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
	j. County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
	1. County funded	Transmit to Finance when completed
	2. State funded	Transmit to Finance when final audit completed
	3. Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department HUMAN CONCERNS		Division	Section
Item No.	Description of Records	Retention Period	
G.	<u>HOUSE RULES</u>	Until superseded or amended	
H.	<u>PERSONNEL-RELATED RECORDS</u>		
	1. Employee records		
	a. Transferring employees		
	(1) Intra-Jurisdictional	Departmental records transferred with employee	
	(2) Inter-Jurisdictional	See terminating below	
	b. Terminating employees	Give to employee; receipt sent to Personnel	
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service	
	2. Health Fund Records		
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded	
	b. Others	Dispose when superseded or verification of printouts	
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year	
	4. Position Descriptions	Dispose when superseded	
	5. Tables of Organization (structural/functional)	Dispose when superseded	
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>		
	1. Deeds, easements and other conveyances, executive orders	-----	
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion	
	3. Personnel Services Contracts, except construction related	To Finance upon completion	
	4. Equipment Contracts, etc.	To Finance upon completion	
	5. Claims	-----	
	6. Others	To Finance upon completion	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
HUMAN CONCERNS		

Item No.	Description of Records	Retention Period
----------	------------------------	------------------

J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department HUMAN CONCERNS		Division HOUSING	Section
Item No.	Description of Records	Retention Period	
K.	<u>PROJECT RECORDS</u> (e.g., feasibility reports, soil investigation reports, archaeological reconnaissance, environmental assessments, plans and specifications, applications from interested parties, sales contracts, closing statements, applications to Land Use Commission, Planning Commission, HUD, Farmers Home Administration, etc.)	3 fiscal years	
L.	<u>PROGRAM (REHABILITATION LOAN PROGRAM AND SECTION 8 HOUSING PROGRAM)</u>		
	1. Applications	3 fiscal years	
	2. Verification of income and assets	3 fiscal years	
	3. Verification of family composition	3 fiscal years	
	4. Section 8 housing documents (contract with landlord, lease between landlord and tenant, inspection report, etc.)	3 fiscal years	
M.	<u>APPLICANT WAITING LISTS</u>	Dispose when superseded	
N.	<u>APPLICANT FILES</u>	3 fiscal years	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
HUMAN CONCERNS		IMMIGRATION SERVICES	
Item No.	Description of Records	Retention Period	
O.	<u>UNITED STATES CITIZENSHIP RECORDS</u>	1 fiscal year	
P.	<u>CLIENT INDEX RECORD</u>	1 fiscal year	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
HUMAN CONCERNS		OFFICE ON AGING	
Item No.	Description of Records	Retention Period	
Q.	<u>CLIENT'S PROFILE AND AGENCY REFERRALS</u>	Dispose after client deceased	
R.	<u>CLIENT'S ESCORT FILE</u>	Dispose after client deceased	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
HUMAN CONCERNS		SENIOR SERVICES	
Item No.	Description of Records	Retention Period	
S.	<u>VOLUNTEER RECORDS</u> (release from indemnity, number of work hours)	Dispose after volunteer terminates from program	
T.	<u>ANNUAL RSVP RECOGNITION RECORDS</u>	1 fiscal year	

**COUNTY OF MAUI**

**REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY**

1991 DEC 12 AM 11:54

### OPINION OF THE JURY

### PREPARE DU TRIPLICATE

1. Original & Copy: Managing Director  
2. Copy : Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-50

By John Penna

FROM: LIQUOR CONTROL

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 1 pages, meet all agency and other known requirements for the transaction of public business.

Date 12/12/90

Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

**EXCEPTIONS:**

Date 12/27/90

John M. Warner  
Managing Director

RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

Chas. M. [Signature]  
Managing Director

*Paul Z. Hribar*  
Corporation Counsel

Charles Medon  
Chairperson, Finance Committee

*Henry G. S. Burr*  
Finance Director

County Clerk

Date 12-28-90



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
LIQUOR CONTROL		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
LIQUOR CONTROL		
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
LIQUOR CONTROL		
Item No.	Description of Records	Retention Period
3.	Inventory	
a.	Inventory printouts	Dispose when superseded
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	1 calendar year
b.	Application for Leave (Form DF-2)	1 calendar year
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
e.	Terminal Applications (Form DF-1A)	1 fiscal year
f.	Time Sheets (Form DF-4)	1 fiscal year
g.	SF-1	1 fiscal year
h.	Accumulated Leave Printouts	Dispose when superseded
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
j.	County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	Transmit to Finance when completed
2.	State Funded	Transmit to Finance when final audit completed
3.	Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department LIQUOR CONTROL		Division	Section
Item No.	Description of Records	Retention Period	
G.	<u>HOUSE RULES</u>	Until superseded or amended	
H.	<u>PERSONNEL-RELATED RECORDS</u>		
	1. Employee records		
	a. Transferring employees		
	(1) Intra-Jurisdictional	Departmental records transferred with employee	
	(2) Inter-Jurisdictional	See terminating below	
	b. Terminating employees	Give to employee; receipt sent to Personnel	
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service	
	2. Health Fund Records		
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded	
	b. Others	Dispose when superseded or verification of printouts	
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year	
	4. Position Descriptions	Dispose when superseded	
	5. Tables of Organization (structural/functional)	Dispose when superseded	
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>		
	1. Deeds, easements and other conveyances, executive orders	-----	
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion	
	3. Personnel Services Contracts, except construction related	To Finance upon completion	
	4. Equipment Contracts, etc.	To Finance upon completion	
	5. Claims	-----	
	6. Others	To Finance upon completion	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
LIQUOR CONTROL		

Item No.	Description of Records	Retention Period
----------	------------------------	------------------

J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department LIQUOR CONTROL		Division	Section
Item No.	Description of Records	Retention Period	
K.	<u>GROSS LIQUOR SALES REPORTS</u>	1 fiscal year	
L.	<u>APPLICATIONS FOR LIQUOR LICENSES</u> (permanent renewals, transfers, special, additional vessel, change of location, change in category)	1 fiscal year	
M.	<u>APPLICATIONS FOR SOLICITOR'S PERMITS</u>	1 fiscal year	
N.	<u>DUPLICATE COPIES OF COMPLAINTS AND ACCUSATIONS, SUBPOENAS, FINDING, DECISION AND ORDER</u>	Dispose after case is adjudicated	
O.	<u>DUPLICATE LIQUOR LICENSES</u>	1 fiscal year	
P.	<u>CIRCULARS ISSUED TO LICENSEES</u>	1 fiscal year	
Q.	<u>ROUTE SCHEDULES; DAILY TIME SHEETS OF INVESTIGATORS</u>	1 fiscal year	
R.	<u>INVESTIGATORS' CASE REPORTS</u>	1 fiscal year	
S.	<u>LICENSEES' FILES CONTAINING:</u>	When license is terminated	
	1. Personal history statement of owners		
	2. Financial statements		
	3. Leases, rental agreements, etc.		
	4. Investigator's report		
	5. Permits		
	6. Citations, administrative cautions		
	7. Zoning clearance		
	8. Correspondence, complaints		

# COUNTY OF MAUI

CR-1

## RECORDS DISPOSITION SCHEDULE

Department		Division	Section
LIQUOR CONTROL		-----	Boards and Commissions
Item Number	Description of Records	Retention Period	
A.	<u>Liquor Control Commission, Liquor Control Adjudication Board</u>		
	1. Agendas	Retain 1 fiscal year	
	2. Minutes, reports, communications, and other related records	Retain permanently	
	3. Rules and regulations (pursuant to Chapters 91-92, HRS)	Retain permanently	

APPROVED BY RECORDS COMMITTEE:

DEPARTMENT OF LIQUOR CONTROLSUBMITTED BY: Joseph W. Souza

VITAL RECORDS SCHEDULE			DATE	PAGE
			4/12/85	1
RECORDS TITLE	CURRENT STATUS (PAPER, TAPE, MICROFILM, ETC.)	AMOUNT OF FILES TO BE STORED	SUGGESTED RETENTION PERIOD	
Minutes, Liquor Control Commission Minutes, Liquor Control Adjudication Board	Paper Paper	22 Books 3 Books	Permanently Permanently	
Rules & Regulations of the Dept.	Paper	3 Books	Permanently	
General Records Schedule	Paper	13 Pages	Permanently	
Liquor Licensees' Files	Paper	325 licensed premises consisting of 1-3 files per premises	When license is terminated	
All forms for liquor license applications, permits, etc., necessary for the daily operations of the department	Paper	60		
Moratorium records (update)	Paper	4 pages	While moratorium in Lahaina exists	

RECEIVED  
APR 15 10 40 AM '85  
OFFICE OF THE MAYOR



## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy : Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-28-90  
By [Signature]

FROM: MAYOR/MANAGING DIRECTOR

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 6 pages, meet all agency and other known requirements for the transaction of public business.

Date 12-28-90

[Signature]  
Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/28/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
MAYOR/MANAGING DIRECTOR		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
Item No.	Description of Records	Retention Period
3.	Inventory	
a.	Inventory printouts	Dispose when superseded
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	1 calendar year
b.	Application for Leave (Form DF-2)	1 calendar year
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
e.	Terminal Applications (Form DF-1A)	1 fiscal year
f.	Time Sheets (Form DF-4)	1 fiscal year
g.	SF-1	1 fiscal year
h.	Accumulated Leave Printouts	Dispose when superseded
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
j.	County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	Transmit to Finance when completed
2.	State Funded	Transmit to Finance when final audit completed
3.	Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
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Item No.	Description of Records	Retention Period
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J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

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COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
MAYOR/MANAGING DIRECTOR			
Item No.	Description of Records	Retention Period	
K.	<u>LEGISLATIVE BILLS AND RELATED CORRESPONDENCE</u>	2 fiscal years	

COUNTY OF MAUI

REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy: Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By [Signature]

FROM: PARKS AND RECREATION

Department or Agency

CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 9 pages, meet all agency and other known requirements for the transaction of public business.

Date 12/20/90

[Signature]  
Department Head

CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90

[Signature]  
Managing Director

RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PARKS AND RECREATION		Division	Section
Item No.	Description of Records	Retention Period	
A.	<u>ANNUAL REPORTS</u>	5 fiscal years	
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>		
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee	
	c. Reports	10 fiscal years	
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee	
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended	
C.	<u>CORRESPONDENCE RECORDS</u>		
	Intra/interdepartmental direc- tives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):		
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended	
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded	
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PARKS AND RECREATION		
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PARKS AND RECREATION		
Item No.	Description of Records	Retention Period
3.	Inventory	
a.	Inventory printouts	Dispose when superseded
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	1 calendar year
b.	Application for Leave (Form DF-2)	1 calendar year
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
e.	Terminal Applications (Form DF-1A)	1 fiscal year
f.	Time Sheets (Form DF-4)	1 fiscal year
g.	SF-1	1 fiscal year
h.	Accumulated Leave Printouts	Dispose when superseded
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
j.	County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	Transmit to Finance when completed
2.	State Funded	Transmit to Finance when final audit completed
3.	Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PARKS AND RECREATION		Division	Section
Item No.	Description of Records	Retention Period	
G.	<u>HOUSE RULES</u>	Until superseded or amended	
H.	<u>PERSONNEL-RELATED RECORDS</u>		
	1. Employee records		
	a. Transferring employees		
	(1) Intra-Jurisdictional	Departmental records transferred with employee	
	(2) Inter-Jurisdictional	See terminating below	
	b. Terminating employees	Give to employee; receipt sent to Personnel	
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service	
	2. Health Fund Records		
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded	
	b. Others	Dispose when superseded or verification of printouts	
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year	
	4. Position Descriptions	Dispose when superseded	
	5. Tables of Organization (structural/functional)	Dispose when superseded	
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>		
	1. Deeds, easements and other conveyances, executive orders	-----	
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion	
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion	
	4. Equipment Contracts, etc.	To Finance upon completion	
	5. Claims	-----	
	6. Others	To Finance upon completion	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PARKS AND RECREATION		

Item No.	Description of Records	Retention Period
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J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PARKS AND RECREATION		Division ADMINISTRATION	Section
Item No.	Description of Records	Retention Period	
K.	<u>FACILITY/PARKS FILES</u>		
1.	Maps	50 years or until microfilmed	
2.	Plans and Specifications	50 years or until microfilmed	
3.	Records relative to historical data	50 years or until microfilmed	
4.	Executive orders, deeds, contracts	50 years or until microfilmed	
5.	Right-of-entry agreements	Dispose when no longer needed	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PARKS AND RECREATION		Division RECREATION	Section ALL DISTRICTS
Item No.	Description of Records	Retention Period	
L.	<u>RESERVATION BOOKS FOR PARKS/ FACILITY USE</u>	1 fiscal year	
M.	<u>PERMITS-CAMPING AND PARKS/ FACILITY USE</u>	1 fiscal year	
N.	<u>WEEKLY/MONTHLY WORK SCHEDULES</u>	1 fiscal year	
O.	<u>SPORTS RULES</u>	As revised or superseded	
P.	<u>WAIVER FORMS</u>	3 fiscal years	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PARKS AND RECREATION		Division RECREATION	Section SWIMMING POOL
Item No.	Description of Records	Retention Period	
Q.	<u>FIRST AID AND RESCUE REPORT</u>	3 fiscal years	
R.	<u>SWIM CLASS AND FIRST AID CLASS RECORDS</u>	3 fiscal years	



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
PARKS AND RECREATION		WAIEHU GOLF COURSE	
Item No.	Description of Records	Retention Period	
S.	<u>LEDGER OF GOLFERS' SIGNATURES AND FEES PAID</u>	1 fiscal year	
T.	<u>APPLICATION FOR RETIREES COURTESY CARDS</u>	1 fiscal year	
U.	<u>MONTHLY REPORT OF PLAYERS AND REVENUE</u>	1 fiscal year	

**COUNTY OF MAUI**

**REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY**

**PREPARE IN TRIPLICATE**

- PREPARE IN TRIPLICATE**  
1. Original & Copy: Managing Director  
2. Copy : Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90  
By [Signature]

FROM: Personal Services  
Department or Agency

CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 7 pages, meet all agency and other known requirements for the transaction of public business.

Date 12/26/90 [Signature] Dep. Dir.  
Department Head

CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90 [Signature]  
Managing Director

RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department		Division	Section
PERSONNEL SERVICES			
Item No.	Description of Records	Retention Period	
A.	<u>ANNUAL REPORTS</u>	5 fiscal years	
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>		
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee	
	c. Reports	10 fiscal years	
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee	
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended	
C.	<u>CORRESPONDENCE RECORDS</u>		
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):		
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended	
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded	
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PERSONNEL SERVICES		Division	Section
Item No.	Description of Records	Retention Period	
D.	<u>COUNCIL-RELATED RECORDS</u>		
1.	Ordinances		
a.	Permanent	Until codified	
b.	Others, e.g., zoning, budget	Until superseded	
2.	Resolutions		
a.	<u>If</u> required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention	
b.	Council statements, e.g., Council positions	2 fiscal years	
c.	Others, e.g., congratulatory, condolence	1 fiscal year	
3.	County Council Journals (minutes)	-----	
4.	County Council Committee Reports	2 fiscal years	
5.	General and County Communications	2 fiscal years	
E.	<u>FINANCE-RELATED RECORDS</u>		
1.	Accounts		
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:		
a.	General Fund Accounts	1 fiscal year	
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year	
2.	Budget		
a.	Allotment requests	1 fiscal year	
b.	Budget worksheets	1 fiscal year	
c.	Departmental budget	1 fiscal year	
d.	County annual budget	1 fiscal year	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PERSONNEL SERVICES		
Item No.	Description of Records	Retention Period
3.	Inventory	
a.	Inventory printouts	Dispose when superseded
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	1 calendar year
b.	Application for Leave (Form DF-2)	1 calendar year
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
e.	Terminal Applications (Form DF-1A)	1 fiscal year
f.	Time Sheets (Form DF-4)	1 fiscal year
g.	SF-1	1 fiscal year
h.	Accumulated Leave Printouts	Dispose when superseded
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
j.	County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	Transmit to Finance when completed
2.	State Funded	Transmit to Finance when final audit completed
3.	Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PERSONNEL SERVICES		
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI

RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PERSONNEL SERVICES		

Item No.	Description of Records	Retention Period
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J. RECORDS MANAGEMENT

- |    |  |                  |
|----|--|------------------|
| 1. | General Records Schedule                                   | Until superseded |
| 2. | Records Disposition Schedule (MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records Disposition Authority (MCR-2) | Until superseded |

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PERSONNEL SERVICES		
Item No.	Description of Records	Retention Period
K.	<u>POSITION CONTROL HISTORY RECORDS CARDS</u>	Dispose when position abolished
L.	<u>INDIVIDUAL EMPLOYEE HISTORY CARDS</u>	Dispose when employment terminates
M.	<u>TEMPORARY EMPLOYMENT RECORDS</u> (Contracts for personal services)	Dispose when employment terminates
N.	<u>CLASSIFICATION AND PAY RECORDS</u>	
	1. Class specifications (1 set)	50 years or until microfilmed
	2. Compensation plans (1 set)	50 years or until microfilmed
	3. Repricing data (1 set)	50 years or until microfilmed
	4. Shortage category declarations (1 set)	10 years or until microfilmed
	5. Hazard pay awards (1 set)	50 years or until microfilmed
	6. Position audit reports (1 set)	50 years or until microfilmed
	7. Departmental organizational studies (1 set)	30 years or until microfilmed
O.	<u>RECRUITMENT/EXAMINATION RECORDS</u>	
	1. Individual recruitment files (announcements, applications answer sheets, examination results)	One year from date of expiration of eligible list or two years following the examination, whichever is later
	2. Test material	Destroy when obsolete or superseded
	3. Eligible lists	2 fiscal years
	4. Medical standard manual (1 set)	Until superseded
P.	<u>EMPLOYEE DEVELOPMENT/TRAINING RECORDS</u>	3 fiscal years
Q.	<u>COLLECTIVE BARGAINING/LABOR RELATIONS RECORDS</u>	
	1. Contracts by bargaining units (1 copy each only)	50 years or until microfilmed
	2. Mutual agreements	50 years or until microfilmed
	3. Cost data and research material	4 fiscal years
	4. Negotiation minutes	20 years or until microfilmed



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PERSONNEL SERVICES		Division	Section
Item No.	Description of Records	Retention Period	
5.	Contract interpretations (interjurisdictional)	50 years or until microfilmed	
6.	Alphabetical and position control master listings by departments and bargaining units	1 fiscal year	
7.	Collective bargaining reports and publications	5 fiscal years	
8.	HPERB decisions	50 years or until microfilmed	
9.	Employee grievances (strip files)	25 years or until microfilmed	
10.	Arbitration decisions and awards	50 years or until microfilmed	
R.	<u>FEDERAL EEOC RECORDS</u>		
1.	EEOC reports	10 fiscal years or until microfilmed	
2.	Discrimination charges	10 fiscal years or until microfilmed	
S.	<u>WORKERS' COMPENSATION/SAFETY RECORDS</u>		
1.	Industrial Injury Claims		
a.	Initial claim report	50 years or until microfilmed	
b.	Physician's report	50 years	
c.	Invoices on health services/supplies	1 fiscal year or until legal ramification is closed	
d.	Communications on initial claim report	50 years or until microfilmed	
2.	Temporary Disability Benefits Records		
a.	Initial claim report	50 years or until microfilmed	
b.	Communications on initial claim report	50 years or until microfilmed	
3.	Safety records		
a.	Personal Safety Equipment Claims	Until superseded	
b.	OSHA Records	5 years	
c.	Safety Inspection Reports	2 years	

## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy : Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By [Signature]

FROM: PLANNING

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 6 pages, meet all agency and other known requirements for the transaction of public business.

Date Dec. 26, 1990

[Signature]  
Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 40-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Chairperson, Finance Committee

[Signature]  
County Clerk

[Signature]  
Corporation Counsel

[Signature]  
Finance Director

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PLANNING		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental direc- tives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PLANNING	Division	Section
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PLANNING		
Item No.	Description of Records	Retention Period
3.	Inventory	
	a. Inventory printouts	Dispose when superseded
	b. Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
	c. Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
	a. Application for Leave of Absence (Form DF-1)	1 calendar year
	b. Application for Leave (Form DF-2)	1 calendar year
	c. Meal Claims (Form DF-3)	1 fiscal year
	d. Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
	e. Terminal Applications (Form DF-1A)	1 fiscal year
	f. Time Sheets (Form DF-4)	1 fiscal year
	g. SF-1	1 fiscal year
	h. Accumulated Leave Printouts	Dispose when superseded
	i. Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
	j. County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
	1. County funded	Transmit to Finance when completed
	2. State Funded	Transmit to Finance when final audit completed
	3. Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PLANNING	Division	Section
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PLANNING		

Item No.	Description of Records	Retention Period
----------	------------------------	------------------

J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

# Resolution

No. 10-36

AUTHORIZING THE ADOPTION OF A REVISED RECORDS  
DISPOSITION SCHEDULE FOR THE DEPARTMENT OF POLICE  
PURSUANT TO SECTION 46-43, HAWAII REVISED STATUTES

WHEREAS, the Department of Police ("MPD") desires to  
update and revise its Records Disposition Schedule; and

WHEREAS, the latest version of MPD's Records Disposition  
Schedule was approved in 1990; and

WHEREAS, MPD has developed a proposed revised Records  
Disposition Schedule which is attached hereto as Exhibit "A";  
and

WHEREAS, the Council of the County of Maui is authorized  
to determine whether, and the extent to which, the County of  
Maui shall create, accept, retain, or store in electronic form  
any records and convert records to electronic form pursuant to  
Section 46-43, Hawaii Revised Statutes ("HRS"); now,  
therefore,

BE IT RESOLVED by the Council of the County of Maui:

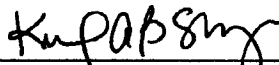
1. That it hereby authorizes the adoption of the  
proposed revised Records Disposition Schedule attached hereto  
as Exhibit "A"; and



**Resolution No. 10-36**

2. That certified copies of this resolution be transmitted to the Mayor, the Director of Finance, and the Chief of Police.

APPROVED AS TO FORM  
AND LEGALITY:

  
\_\_\_\_\_  
KIMBERLY A.B. GLOPER  
Deputy Corporation Counsel  
County of Maui

S:\ALL\KBS\MPD\Resolution\Records.Retention.wpd

COUNTY OF MAUI

RECORDS DISPOSITION SCHEDULE

Department	Division	Section
POLICE	ADMINISTRATION	
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS &amp; COMMISSIONS, &amp; COMMITTEE RECORDS</u>	
1.	Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
a.	Agendas	1 fiscal year
b.	Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
c.	Reports	10 fiscal years
2.	County/state Authorized (by statute, ordinance, charter, or rules and regulations)	
a.	Agendas	1 fiscal year
b.	Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
c.	Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e. g. those records which are inappropriate for filing in specific subject or case files):	
1.	Involving policy decisions procedures, County liability rules, etc.	Until superseded or amended
2.	<u>Not</u> involving policy decisions procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence	Until superseded
3.	County Standard Operating Guidelines & Procedures (SOGP's)	Until superseded or amended
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning budget	Until superseded

EXHIBIT " A "

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
POLICE	ADMINISTRATION	
Item No.	Description of Records	Retention Period
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then Reassessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance print-outs, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	7 fiscal years
b.	Special Fund Accounts (e. g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	7 fiscal years
2.	Budget	
a.	Allotment requests	3 fiscal years
b.	Budget worksheets	3 fiscal years
c.	Departmental budget	7 fiscal years
d.	County annual budget	7 fiscal years
3.	Inventory	
a.	Inventory print-outs	Retain 1 prior generation
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Retain 1 prior generation
c.	Certificates of Ownership (Motor vehicles, equipment etc.)	-----

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
POLICE	ADMINISTRATION	
Item No.	Description of Records	Retention Period
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	3 calendar years
b.	Application for Leave (Form DF-2)	3 calendar years
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Print-outs (Payroll Register, Payroll Recap., Deduction Register)	Permanent
e.	Terminal Applications (Form DF-1A)	Permanent
f.	Time Sheets (Form DF-4)	7 calendar years
g.	SF-1	Permanent
h.	Accumulated Leave Print-outs	3 calendar years
i.	Temporary Assignment Report Aid Listing Print-outs	Permanent
j.	County Insurance policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS.</u> (e.g., personnel services, construction, goods, services, consultants, or equipment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	5 fiscal years
2.	State Funded	7 fiscal years
3.	Federally funded	7 fiscal years
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
I.	Employee records	
a.	Transferring employees	
(1)	Intra-Jurisdictional	Departmental records transferred with employee
(2)	Inter-Jurisdictional	Permanent
b.	Terminating employees	Permanent
c.	Workers' Compensation Records	Permanent

COUNTY OF MAUI

RECORDS DISPOSITION SCHEDULE

Department POLICE	Division ADMINISTRATION	Section
Item No.	Description of Records	Retention Period
2.	Health Fund Records	
a.	Applications Forms (Forms E-1, N-1, E-5)	Dispose when superseded
b.	Others	Dispose when superseded or verification of print- outs
3.	Executed Request for Position Action (Manpower Form Rev. 7/88)	3 calendar years & completion
4.	Position Descriptions	Dispose when superseded
5.	Tables of Organization (Structural/functional)	Permanent
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
1.	Deeds, easements and other conveyances, executive orders	-----
2.	Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
3.	Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
4.	Equipment Contracts, etc.	To Finance upon completion
5.	Claims	-----
6.	Others	To Finance upon completion
J.	<u>RECORDS MANAGEMENT</u>	
1.	General Records Schedule	Until superseded
2.	Records Disposition Schedule (MCR-1)	Until superseded
3.	Request/Approval for Records Disposition Authority (MCR-2)	Until superseded
K.	<u>PERMIT FILES</u>	
1.	Gun Registration Ownership File	Unit status changes
a.	Gun permit application (Form No. 247)	Permanent
b.	Gun photograph file	50 years, then reassess for continued retention

COUNTY OF MAUI

RECORDS DISPOSITION SCHEDULE

Department POLICE	Division ADMINISTRATION	Section
Item No.	Description of Records	Retention Period
	c. Permit to carry firearm	3 fiscal years
	d. Application to carry supplemental weapon	Permanent
2.	Press pass	1 fiscal year
3.	State/County permit file (i.e., to block highways for parades, special events)	1 fiscal year
<b>L. <u>POLICE REPORTS</u></b>		
1.	Homicide reports (Records section)	Permanent
2.	General case/incident reports (Records section)	
	a. Unattended death, fatal miscellaneous accident, and suicide	20 fiscal years
	b. Evidence for unattended death, fatal miscellaneous accident, and suicide	Retain until investigation complete and closed
	c. Sexual assault investigations	Permanent
	d. Evidence for sexual assault investigations	Retain evidence until case is closed and adjudicated. Upon receipt of an evidence disposal letter from the Department of the Prosecuting Attorney, evidence may be disposed.
	e. General case/incident reports (Records Section)	10 fiscal years
	f. Non-criminal cases/documentation cases only	2 fiscal years
3.	Traffic accident reports (Traffic Section)	
	a. Fatal Motor Vehicle Accident	Permanent
	b. Major Motor Vehicle Accident	5 fiscal years
	c. Minor/Civil Motor Vehicle Accidents	2 fiscal years
4.	Traffic complaint reports (Traffic Section)	5 fiscal years
5.	Copies of reports 1, 2, 3, and 4 retained in operational elements	2 fiscal years

**COUNTY OF MAUI**

**RECORDS DISPOSITION SCHEDULE**

Department POLICE	Division ADMINISTRATION	Section
Item No.	Description of Records	Retention Period
6.	Other related reports: e.g., prisoner in custody reports, suspicious items reports	1 fiscal year
<b>M.</b>	<b><u>MISCELLANEOUS DEPARTMENT FILES</u></b>	
1.	Mug shot file	50 years then reassess for continued retention
2.	Fingerprint file	50 years then reassess for continued retention
3.	Alphabetical file -report index file (3x5)	50 years then reassess for continued retention
4.	Crime file (3x5)	50 years then reassess for continued retention
5.	Traffic studies and research file	3 fiscal years
6.	Good Guy citation file	1 fiscal year
7.	Plans and mobilization emergency file	Until superseded
8.	Security check request	1 fiscal year
9.	Maui Community Correctional Center inmates on furlough form file	2 fiscal years
10.	District and Circuit Court calendars, Family Court calendars, clerk's minutes	1 fiscal year
11.	Wanted persons circulars	Until superseded
12.	Outstanding warrant list	Until superseded
13.	Robbery response plan	Until superseded
14.	Radio systems implementation and upgrade information	Until equipment disposed of
15.	General research/reference file (3x5)	
	a. Equipment study file	Until superseded
	b. Research study file	Until superseded
<b>N.</b>	<b><u>LOGS</u></b>	
1.	DUI arrest ledger	Until superseded
2.	Intoxilizer control ledger	1 fiscal year
3.	Booking book (arrests for adults and juveniles)	50 years then reassess Continued retention

COUNTY OF MAUI

RECORDS DISPOSITION SCHEDULE

Department POLICE		Division ADMINISTRATION	Section
Item No.	Description of Records	Retention Period	
4.	Evidence and property logs	50 years then reassess for continued retention	
5.	Long distance and watts line telephone	1 month	
6.	National Warning System Log (NAWAS)	1 fiscal year	
7.	Master tape sign-out log	1 fiscal year	
8.	Juvenile master log	50 years then reassess for continued retention	
9.	Daily transmittal logs (Form 206-10M-1-74)	1 fiscal year	

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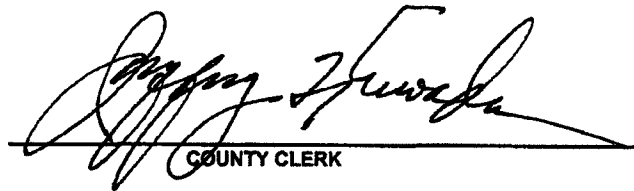
# COUNCIL OF THE COUNTY OF MAUI

WAILUKU, HAWAII 96793

## CERTIFICATION OF ADOPTION

It is HEREBY CERTIFIED that RESOLUTION NO. 10-36 was adopted by the Council of the County of Maui, State of Hawaii, on the 23rd day of July, 2010, by the following vote:

MEMBERS	Dennis A. MATEO Chair	Michael J. MOLINA Vice-Chair	Gladys C. BAISA	Jo Anne JOHNSON	Solomon P. KAHO'OHALAHALA	William J. MEDEIROS	Wayne K. NISHIKI	Joseph PONTANILLA	Michael P. VICTORINO
ROLL CALL	Aye	Aye	Aye	Aye	Aye	Aye	Aye	Aye	Aye

  
COUNTY CLERK

## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy : Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By [Signature]

FROM: PROSECUTING ATTORNEY

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 6 pages, meet all agency and other known requirements for the transaction of public business.

Date December 14, 1990

[Signature]  
Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 46-43, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Corporation Counsel

[Signature]  
Chairperson, Finance Committee

[Signature]  
Finance Director

[Signature]  
County Clerk

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PROSECUTING ATTORNEY		Division	Section
Item No.	Description of Records	Retention Period	
A.	<u>ANNUAL REPORTS</u>	5 fiscal years	
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>		
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee	
	c. Reports	10 fiscal years	
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee	
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended	
C.	<u>CORRESPONDENCE RECORDS</u>		
	Intra/interdepartmental direc- tives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):		
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended	
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded	
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PROSECUTING ATTORNEY		Division	Section
Item No.	Description of Records	Retention Period	
D.	<u>COUNCIL-RELATED RECORDS</u>		
1.	Ordinances		
a.	Permanent	Until codified	
b.	Others, e.g., zoning, budget	Until superseded	
2.	Resolutions		
a.	<u>If</u> required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention	
b.	Council statements, e.g., Council positions	2 fiscal years	
c.	Others, e.g., congratulatory, condolence	1 fiscal year	
3.	County Council Journals (minutes)	-----	
4.	County Council Committee Reports	2 fiscal years	
5.	General and County Communications	2 fiscal years	
E.	<u>FINANCE-RELATED RECORDS</u>		
1.	Accounts		
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:		
a.	General Fund Accounts	1 fiscal year	
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year	
2.	Budget		
a.	Allotment requests	1 fiscal year	
b.	Budget worksheets	1 fiscal year	
c.	Departmental budget	1 fiscal year	
d.	County annual budget	1 fiscal year	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PROSECUTING ATTORNEY		
Item No.	Description of Records	Retention Period
3.	Inventory	
a.	Inventory printouts	Dispose when superseded
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	1 calendar year
b.	Application for Leave (Form DF-2)	1 calendar year
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
e.	Terminal Applications (Form DF-1A)	1 fiscal year
f.	Time Sheets (Form DF-4)	1 fiscal year
g.	SF-1	1 fiscal year
h.	Accumulated Leave Printouts	Dispose when superseded
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
j.	County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/ COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	Transmit to Finance when completed
2.	State Funded	Transmit to Finance when final audit completed
3.	Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PROSECUTING ATTORNEY		
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PROSECUTING ATTORNEY		
Item No.	Description of Records	Retention Period

J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PROSECUTING ATTORNEY		
Item No.	Description of Records	Retention Period
K.	<u>LEGISLATIVE RECORDS</u>	
	1. Acts	Dispose after printed
	2. Resolutions, bills, testimonies	2 fiscal years unless further action required by department
L.	<u>INTERGOVERNMENTAL AGREEMENTS (STATE)</u>	Dispose when superseded
M.	<u>COURT-RELATED RECORDS</u>	
	1. Court calendars	
	a. Circuit Court	6 months
	b. District Court	
	1. Traffic	2 calendar years from date of last entry, disposition or final judgment
	2. Criminal	2 calendar years from date of last entry, disposition or final judgment
	2. Grand Jury Reports	3 fiscal years
	3. Minute Orders	Dispose when superseded
	4. Rules of Court	Dispose when superseded
N.	<u>POLICE-RELATED RECORDS</u>	
	1. Felony cases	10 fiscal years unless defendant's sentence exceeds 10 years. If so, retention period should equal defendant's maximum term of imprisonment
	2. Misdemeanor cases	3 fiscal years from date of last entry, disposition or final judgment
	3. Traffic cases	2 fiscal years from date of last entry, disposition or final judgment
	4. Family Court Juvenile cases	Dispose after juvenile attains the age of 18 years
	5. Family Court Adult cases	3 fiscal years from date of last entry, disposition or final judgment
	6. Search Warrants	5 fiscal years from date of last entry, disposition or final judgment
	7. Traffic fatality reports	1 fiscal year
	8. Unattended death reports	1 fiscal year



## COUNTY OF MAUI

## REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY

PREPARE IN TRIPLICATE

1. Original & Copy: Managing Director
2. Copy : Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By [Signature]

FROM: PUBLIC WORKS

Department or Agency

## CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 11 pages, meet all agency and other known requirements for the transaction of public business.

Date 12-12-90

[Signature]  
Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

EXCEPTIONS:

Date 12/27/90

[Signature]  
Managing Director

## RECORDS DISPOSITION COMMITTEE APPROVAL

In accordance with Section 40-10, Hawaii Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

[Signature]  
Managing Director

[Signature]  
Corporation Counsel

[Signature]  
Chairperson, Finance Committee

[Signature]  
Finance Director

[Signature]  
County Clerk

Date 12-28-90

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PUBLIC WORKS		Division	Section
Item No.	Description of Records	Retention Period	
A.	<u>ANNUAL REPORTS</u>	5 fiscal years	
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>		
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee	
	c. Reports	10 fiscal years	
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)		
	a. Agendas	1 fiscal year	
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee	
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended	
C.	<u>CORRESPONDENCE RECORDS</u>		
	Intra/interdepartmental direc- tives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):		
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended	
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, <del>the</del> response to which completes the cycle of correspondence.	Until superseded	
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PUBLIC WORKS		
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PUBLIC WORKS		
Item No.	Description of Records	Retention Period
3.	Inventory	
	a. Inventory printouts	Dispose when superseded
	b. Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
	c. Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
	a. Application for Leave of Absence (Form DF-1)	1 calendar year
	b. Application for Leave (Form DF-2)	1 calendar year
	c. Meal Claims (Form DF-3)	1 fiscal year
	d. Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
	e. Terminal Applications (Form DF-1A)	1 fiscal year
	f. Time Sheets (Form DF-4)	1 fiscal year
	g. SF-1	1 fiscal year
	h. Accumulated Leave Printouts	Dispose when superseded
	i. Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
	j. County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equipment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
	1. County funded	Transmit to Finance when completed
	2. State Funded	Transmit to Finance when final audit completed
	3. Federally funded	Transmit to Finance when final audit completed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PUBLIC WORKS		
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PUBLIC WORKS		

Item No.	Description of Records	Retention Period
----------	------------------------	------------------

J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

## COUNTY OF MAUI

## RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PUBLIC WORKS	HIGHWAYS	Traffic Signs and Markings
Item No.	Description of Records	Retention Period
K.	<u>SIGNS AND TRAFFIC MARKINGS</u>	5 years

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PUBLIC WORKS	Division HIGHWAYS	Section ROAD
Item No.	Description of Records	Retention Period
L.	<u>ROAD MAINTENANCE RECORDS</u>	
	1. Weekly work schedule	3 fiscal years
	2. Roadside mowing	3 fiscal years
	3. Project status report	1 fiscal year
	4. Abandoned/derelict vehicles	1 fiscal year
	5. Cinder usage	1 fiscal year
	6. DOT driver's records	Dispose when not required by job or upon separation
M.	<u>CEMETERY RECORDS</u>	
	Burial record for all County managed cemeteries	500 years
N.	<u>CESSPOOL CONTRACTS AND RELATED RECORDS</u>	3 years



Department	Division	Section
PUBLIC WORKS	HIGHWAYS	AUTOMOTIVE
Item No.	Description of Records	Retention Period

**Dispose when superseded**

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PUBLIC WORKS		Division WASTE MANAGEMENT	Section
Item No.	Description of Records	Retention Period	
P.	<u>SEWER CONNECTIONS</u>	50 years or until microfilmed	
Q.	<u>TREATMENT PLANT EQUIPMENT RECORDS</u>	25 years	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
PUBLIC WORKS	ENGINEERING	
Item No.	Description of Records	Retention Period
R.	<u>ENGINEERING RECORDS</u>	
1.	Construction tracings	50 years or until microfilmed
2.	Land acquisition, conveyance, widening tracings	50 years or until microfilmed
3.	Executive Orders (County use of State land)	Until returned to State or deeded to the County
4.	Land Matters	
	a. Maps	50 years or until microfilmed
	b. Correspondence	10 years
5.	File Plan Maps	20 years or until microfilmed
6.	Land Court Maps	20 years or until microfilmed

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department PUBLIC WORKS		Division LAND USE & CODES	Section
Item No.	Description of Records	Retention Period	
S.	<u>MAJOR SUBDIVISION PROJECT RECORDS</u>	50 years or until microfilmed	
T.	<u>MAJOR BUILDING CONSTRUCTION PROJECT RECORDS</u>	50 years or until microfilmed	
U.	<u>BUILDING PERMIT RECORDS</u>	50 years or until microfilmed	
V.	<u>ELECTRICAL PERMIT RECORDS</u>	50 years or until microfilmed	
W.	<u>PLUMBING PERMIT RECORDS</u>	50 years or until microfilmed	
X.	<u>HOUSE NUMBERING RECORDS</u>	50 years or until microfilmed	
Y.	<u>GRADING PERMITS</u>	50 years or until microfilmed	
Z.	<u>WORK TO PERFORM ON COUNTY HIGHWAYS</u>	50 years or until microfilmed	
AA.	<u>ROAD CLOSURE PERMITS</u>	50 years or until microfilmed	
BB.	<u>DRIVEWAY PERMITS</u>	50 years or until microfilmed	
CC.	<u>NOTICES OF VIOLATION</u>	50 years or until microfilmed	

**COUNTY OF MAUI**

**REQUEST/APPROVAL FOR RECORDS DISPOSITION AUTHORITY**

**PREPARE IN TRIPLICATE**

- PREPARE IN TRIPLICATE**  
**1. Original & Copy:** Managing Director  
**2. Copy :** Department file (discard when approved copy returned)

TO: MANAGING DIRECTOR  
COUNTY OF MAUI

Date Received 12-27-90

By Silvanus

**FROM: WATER SUPPLY**

Department or Agency

### CERTIFICATION

I certify that the retention periods stated for records series described on the attached Schedule(s) consisting of 9 pages, meet all agency and other known requirements for the transaction of public business.

**Date** December 17, 1990

Department Head

## CERTIFICATION

I concur and certify that the records listed on the attached Schedule(s), unless excepted as indicated below, do not appear to have sufficient value for administrative, legal, fiscal, historical or research purposes to warrant further retention by the County Government.

**EXCEPTIONS:**

**Date**

12/27/90

**Managing Director**

**RECORDS DISPOSITION COMMITTEE APPROVAL**

In accordance with Section 1010, Revised Statutes, as amended, the destruction of the records, excluding exceptions listed by the Managing Director, is approved.

**Managing Director**

**Chairperson, Finance Committee**

County Clerk

Corporation Counsel

**Finance Director**

Date 12-28-70

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
WATER SUPPLY		
Item No.	Description of Records	Retention Period
A.	<u>ANNUAL REPORTS</u>	5 fiscal years
B.	<u>BOARDS AND COMMISSIONS, AND COMMITTEE RECORDS</u>	
	1. Ad Hoc/Advisory (not established by statute, ordinance, charter or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, communications, and other related records	2 fiscal years unless approved by Records Disposition Committee
	c. Reports	10 fiscal years
	2. County/State Authorized (by statute, ordinance, charter, or rules and regulations)	
	a. Agendas	1 fiscal year
	b. Minutes, reports, communications, and others	25 fiscal years unless approved by Records Disposition Committee
	c. Rules and regulations (pursuant to Chapters 91-92, HRS)	Until superseded or amended
C.	<u>CORRESPONDENCE RECORDS</u>	
	Intra/interdepartmental directives, memos, circulars, and other communications and records of a <u>general</u> nature (e.g., those records which are inappropriate for filing in specific subject or case files):	
	1. Involving policy decisions, procedures, County liability rules, etc.	Until superseded or amended
	2. <u>Not</u> involving policy decisions, procedures, rules, or inquiries on routine matters, the response to which completes the cycle of correspondence.	Until superseded
	3. County Standard Operating Guidelines and Procedures (SOGP's)	Until superseded or amended

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
WATER SUPPLY		
Item No.	Description of Records	Retention Period
D.	<u>COUNCIL-RELATED RECORDS</u>	
1.	Ordinances	
a.	Permanent	Until codified
b.	Others, e.g., zoning, budget	Until superseded
2.	Resolutions	
a.	If required by law, e.g., grants, condemnation	50 fiscal years then re-assessed for further retention
b.	Council statements, e.g., Council positions	2 fiscal years
c.	Others, e.g., congratulatory, condolence	1 fiscal year
3.	County Council Journals (minutes)	-----
4.	County Council Committee Reports	2 fiscal years
5.	General and County Communications	2 fiscal years
E.	<u>FINANCE-RELATED RECORDS</u>	
1.	Accounts	
	Accounts payable and encumbrance printouts, accounting ledgers, requisitions, purchase orders, invoices, mileage claims, other financial records and related communications for:	
a.	General Fund Accounts	1 fiscal year
b.	Special Fund Accounts (e.g., Highway, Bikeway, Sewer, Golf, Liquor, etc.)	1 fiscal year
2.	Budget	
a.	Allotment requests	1 fiscal year
b.	Budget worksheets	1 fiscal year
c.	Departmental budget	1 fiscal year
d.	County annual budget	1 fiscal year

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
WATER SUPPLY		
Item No.	Description of Records	Retention Period
3.	Inventory	
a.	Inventory printouts	Dispose when superseded
b.	Inventory-related forms (Inv. Form 1 through Form 6)	Dispose after verification of printouts
c.	Certificates of Ownership (motor vehicles, equipment, etc.)	-----
4.	Payroll/Attendance	
a.	Application for Leave of Absence (Form DF-1)	1 calendar year
b.	Application for Leave (Form DF-2)	1 calendar year
c.	Meal Claims (Form DF-3)	1 fiscal year
d.	Payroll Printouts (Payroll Register, Payroll Recap. Deduction Register)	1 fiscal year
e.	Terminal Applications (Form DF-1A)	1 fiscal year
f.	Time Sheets (Form DF-4)	1 fiscal year
g.	SF-1	1 fiscal year
h.	Accumulated Leave Printouts	Dispose when superseded
i.	Temporary Assignment Report Aid Listing Printouts	Dispose when superseded
j.	County Insurance Policies	-----
F.	<u>CONTRACTS AND RELATED DOCUMENTS/</u> <u>COMMUNICATIONS</u> , (e.g., personnel services, construction, goods, services, consultants, or equip- ment, etc.) Original copy of <u>ALL</u> contracts sent to County Clerk.	
1.	County funded	Transmit to Finance when completed
2.	State Funded	Transmit to Finance when final audit completed
3.	Federally funded	Transmit to Finance when final audit completed



COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
WATER SUPPLY		
Item No.	Description of Records	Retention Period
G.	<u>HOUSE RULES</u>	Until superseded or amended
H.	<u>PERSONNEL-RELATED RECORDS</u>	
	1. Employee records	
	a. Transferring employees	
	(1) Intra-Jurisdictional	Departmental records transferred with employee
	(2) Inter-Jurisdictional	See terminating below
	b. Terminating employees	Give to employee; receipt sent to Personnel
	c. Workers' Compensation Records	Transmit to Personnel upon separation of service
	2. Health Fund Records	
	a. Application Forms (Forms E-1, N-1, E-5)	Dispose when superseded
	b. Others	Dispose when superseded or verification of printouts
	3. Executed Request for Position Action (Manpower Form Rev. 7/88)	1 fiscal year
	4. Position Descriptions	Dispose when superseded
	5. Tables of Organization (structural/functional)	Dispose when superseded
I.	<u>OTHER RECORDS FILED WITH COUNTY CLERK</u>	
	1. Deeds, easements and other conveyances, executive orders	-----
	2. Construction Contracts, <u>including</u> construction consultants	To Finance upon completion
	3. Personnel Services Contracts, <u>except</u> construction related	To Finance upon completion
	4. Equipment Contracts, etc.	To Finance upon completion
	5. Claims	-----
	6. Others	To Finance upon completion

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department	Division	Section
WATER SUPPLY		
Item No.	Description of Records	Retention Period

J.      RECORDS MANAGEMENT

- |    |   |                  |
|----|---|------------------|
| 1. | General Records Schedule                                      | Until superseded |
| 2. | Records Disposition Schedule<br>(MCR-1)                       | Until superseded |
| 3. | Request/Approval for Records<br>Disposition Authority (MCR-2) | Until superseded |

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department WATER SUPPLY	Division	Section
Item No.	Description of Records	Retention Period
K.	<u>FINANCE</u>	
1.	Accounts distribution records (labor, materials, supplies)	3 fiscal years
2.	Audit reports	10 fiscal years
3.	Budget reports and worksheets	1 fiscal year
4.	Checks (paid and cancelled)	5 fiscal years
5.	Deposit slips	5 fiscal years
6.	Financial reports (monthly)	5 fiscal years
7.	Fixed capital records (utility plant)	25 fiscal years/purge
8.	Annual inventory (plant and equipment)	Dispose when superseded
9.	Ledgers and journals	10 years post audit
10.	Annual inventory (material and supplies)	Dispose when superseded
11.	Property retired records (Form 9)	10 fiscal years
12.	Purchase order (alphabetically/numerically)	1 fiscal year
13.	Consumer accounting records	3 fiscal years
14.	Cash stubs (water/sewer bill)	1 fiscal year
15.	Job orders (original copies)	Dispose after paid
16.	Billing and payment register	3 fiscal years
17.	Application for agricultural rates	1 fiscal year
18.	Water service account file	Until inactive/purge

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department WATER SUPPLY		Division ENGINEERING	Section
Item No.	Description of Records	Retention Period	
L.	<u>DEVELOPMENT FILES</u>	Until microfilmed	
M.	<u>CONSTRUCTION FILES</u>	Until microfilmed	
N.	<u>DWS STANDARDS</u>	Dispose when superseded	
O.	<u>DWS-CONSUMER AGREEMENTS</u>	5 fiscal years	
P.	<u>SUBDIVISION FILES</u>	Until microfilmed	

COUNTY OF MAUI  
RECORDS DISPOSITION SCHEDULE

Department WATER SUPPLY		Division WATER QUALITY (SDWA)	Section
Item No.	Description of Records	Retention Period	
Q.	<u>RECORDS OF BACTERIOLOGICAL ANALYSES</u>	5 fiscal years	
R.	<u>RECORDS OF CHEMICAL ANALYSES</u>	10 fiscal years	
S.	<u>RECORD OF ACTION TAKEN BY THE SYSTEM TO CORRECT VIOLATIONS</u>	3 fiscal years	
T.	<u>COPIES OF WRITTEN REPORTS</u>	10 fiscal years	
	<u>RECORDS CONCERNING A VARIANCE OR EXEMPTION GRANTED</u>	5 fiscal years	
V.	<u>PUBLIC NOTIFICATION MADE PURSUANT TO SECTION 18</u>	5 fiscal years	

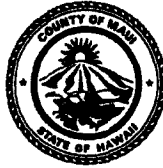
DEPARTMENT OF WATER SUPPLY

SAFE DRINKING WATER ACT

Retention

Records of bacteriological analyses	5 years
Records of chemical analyses	10 years
Actual laboratory reports may be kept or data may be transferred to tabular summaries, provided the following information is included:	
Date, place, time of sampling & name of person who collected the sample;	
Identification of the sample, whether routine distribution system sample, check sample, raw or process water sample or other special purpose sample;	
Date of Analysis;	
Laboratory & person responsible for performing analysis;	
The analytical technique or method used;	
Results of the analysis.	
Records of action taken by the system to correct violations of primary drinking water regulations	3 years
Copies of written reports, summaries or communications relating to sanitary surveys of the system conducted by the system itself, by a private consultant, or by any County, State or Federal agency	10 years
Records concerning a variance or exemption granted to the system shall be kept for not less than five years*following the expiration of such variance or exemption.	5 years*
Records of any public notification made pursuant to Section 18 shall kept for a period ending not less than five years*following the date of such notification	5 years*

ALAN M. ARAKAWA  
Mayor




PATRICK K. WONG  
Corporation Counsel

DEPARTMENT OF THE CORPORATION COUNSEL  
COUNTY OF MAUI  
200 SOUTH HIGH STREET  
WAILUKU, MAUI, HAWAII 96793  
TELEPHONE: (808) 270-7742  
FACSIMILE: (808) 2707152

M E M O R A N D U M

January 31, 2012

**T O :** G. Riki Hokama, Chair  
Policy Committee

**F R O M:** Adrienne N. Heely, Deputy Corporation Counsel 

**SUBJECT:** MANAGEMENT OF RECORDS (POL-29)

I. Introduction.

This memorandum is in response to your memorandum dated January 11, 2012, requesting our evaluation of the following:

- Article VIII, Section 2, of the Constitution of the State of Hawaii states that, "Charter provisions with respect to a political subdivision's executive, legislative and administrative structure and organization shall be superior to statutory provisions, subject to the authority of the legislature to enact general laws allocating and reallocating powers and functions."
- Section ("§") 5-3(2), Revised Charter of the County of Maui (1983) as amended ("Charter"), provides that the County Clerk shall "[t]ake charge of, safely keep and dispose of all books, papers and records which may properly be filed in the clerk's office and keep in separate files all bills, ordinances, resolutions and rules and cumulative indices of the same". Charter §5-3(6) provides that the County Clerk shall "[a]dopt rules for the classification, storage and destruction of all records of the county".
- §46-43, Hawaii Revised Statutes ("HRS") allows the Director of Finance, with certain approvals, to authorize

the destruction or disposal of specified warrants (checks) of the county and bonds and interest coupons. It also requires the Director of Finance to determine the care, custody, and disposition of other county records.

## II. Questions Presented.

Your memo also requests advice on:

- 1) Whether the Charter or HRS provisions prevail?
- 2) Whether the authority of the County Clerk supersedes the assignment by HRS to the Director of Finance?
- 3) If the Charter prevails, may the County Clerk delegate authority to other county agencies or their heads, such as the Director of Finance or the Council?

## III. Brief Answers & Analysis.

1) The Charter usually prevails when there is a conflict of laws. However, when reading the Charter provision relating to the County Clerk in its entirety, it explains that the County Clerk shall take charge of and safely keep certain documents (including documents that may properly be filed in the clerk's office; bills; ordinances; resolutions and rules)<sup>1</sup>; it also states that the County clerk may adopt rules for the classification, storage and

---

<sup>1</sup> Charter, §5-3 Powers, Duties and Functions, states in relevant part: "The county clerk shall:

1. Be the clerk of the council.
2. Take charge of, safely keep and dispose of all books, papers and records which may properly be filed in the clerk's office and keep in separate files all bills, ordinances, resolutions and rules and cumulative indices of the same.  
...
6. Adopt rules for the classification, storage, and destruction of all records of the county.
7. Perform such other functions as may be prescribed by the council or law." (Emphasis added).



destruction of *all records* of the county<sup>2</sup>; lastly, Charter §5-3.7 allows the county clerk to perform such other functions as may be prescribed by the council or law. This allows flexibility for the County Clerk to adopt rules and/or perform functions, i.e., the destruction/electronic storage or destruction of documents pursuant to relevant, respective enacted law via HRS or council adopted legislation. Article III, §2 of the State Constitutional Provision also explains that the Charter usually prevails unless there is a valid act of legislation which allocates, reallocates powers and functions.

2) Yes and no. The authority granted to the County Clerk is specifically limited to: documents that are *properly filed* with the county clerk, including bills, ordinances, resolutions and rules (Charter §5-3.2); and to *all records* of the county in relation to classification, storage and destruction (Charter §5-3.6); also assuming no rules were adopted by the County Clerk as authorized to do so via Charter §5-3.6, HRS §46-43 is a valid act of legislation or law that authorizes or prescribes the Director of Finance to perform such duties as described relating to certain records and the retention and/or destruction of the same (Charter §5-3.7). Also review of established case law explains: "a charter provision which relates to organization and government of the county would prevail over conflicting statutory provision, provided such statutory provision is not of statewide concern or interest or does not relate to the fiscal powers of the county."<sup>3</sup> HRS §46-43(b) specifically designates the director of finance of each county, *with the approval of the legislative body and the legal advisor of the county*, to authorize the destruction by burning, machine shredding, chemical disintegration, or other acceptable mode of disposal of:

(1) All warrants of the county that have been paid and that bear any date ten years prior to the date of destruction; and

---

<sup>2</sup> *All records* of the County is more broad than the limited, specific records referred to in §5-3.6 relating to the papers and records required to be properly filed with the County Clerk's office.

<sup>3</sup> Hawaii Govt. Employee's Assoc., et al. v. County of Maui, 59 Haw. 65 (1978) (citing §50-10, HRS).

(2) All bonds and interest coupons of the county that have been canceled or paid and that bear any date two years prior to the date of destruction.<sup>4</sup>

3) Yes. It is well within the County Clerk's discretionary authority granted to it by the Charter to delegate authority to other county authorities/heads of departments and/or council re: management of records retention and destruction of the same. Pursuant to Charter §5-3.6, the County Clerk may adopt rules for the classification, storage and destruction of *all records* of the county.<sup>5</sup> (Emphasis added). Also, according to Charter §5-3.7, the County Clerk is authorized to perform such other functions as may be prescribed by the council or law.

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<sup>4</sup> These are documents that specifically relate to the fiscal powers of the County, so arguably, HRS §46-43, grants authority to the Director of Finance (with the approval of the county legislative body and county's legal advisor) thereby superceding the Charter's authority to the County clerk under Charter §5-3.6.

<sup>5</sup> Attached as Exhibits "1"- "4" are samples of documents that may be relevant in the County Clerk's creation of guidelines/policies re: management/disposition of records and/or delegation of authority to various county agencies and/or department heads re: the same (Exhibit "1" is Circular No. 2001-02 to all Department Heads from the State Comptroller re: Electronic Records Retention and Disposition; Exhibit "2" is Circular No. 2001-01 Vital Records protection Policy and Guidelines; and of particular importance and relevance are: Exhibit "3", a revised records schedule, prepared by the State of Hawaii, Department of Accounting and General Services ("DAGS") Archives Division, which classifies types of record, designates where it is stored/located and authorizes how long to maintain before destruction can occur; and Exhibit "4", a "Disposal of Government Records" guide prepared by DAGS Archives Division, Records Management Branch. (Exhibits "1"- "4" may also be found on the website: <http://hawaii.gov/dags/archives/records-management/records-management-policies>).

IV. Factual Background of Proposed Bill.

The purpose of the proposed bill entitled "A Bill for An Ordinance Relating To Management of Records" is explained in the County Communication 09-314 from Council Chair, and in the June 17, 2011 correspondence from our office.

The existing County ordinance on the management of records, Chapter 2.84, Maui County Code ("MCC"), was adopted in 1983 pursuant to Ordinance No. 1332 and amended in 1998 pursuant to Ordinance No. 2691. Since 1998, MCC Chapter 2.84 has not been revised.

In 2005, the Hawaii State legislature passed Act 177, relating to government records. Act 177 amended HRS §§46-43 and 92-29. Since 2005, HRS §§46-43 and 92-29 have not been revised. Legislative history reveals that the purpose of Act 177 is to allow state and county agencies to create and maintain records in electronic format as an alternative to paper and microfilmed records. The Legislature explained that:

"The State is constantly examining ways in which its operations may be streamlined and made more efficient and cost effective. The legislature finds that allowing the creation, use, and storage of government records in electronic format, as well as the conversion of existing paper and microfilm documents to electronic documents, will effectively reduce the significant paperwork and associated costs in the daily operations of state government."<sup>6</sup>

Further, as our office explained, prior to the adoption of Act 177, state law (See HRS §46-43) required counties to have a committee, composed of the director of finance, the county's legal advisor, and members of the finance committee of the legislative body of the county, to review matters relating to document retention and destruction. Act 177 amended HRS §46-43 by deleting the reference to such committee and assigned the responsibility of determining the care, custody, and disposition of county records to

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<sup>6</sup> See HB No. 515 S.D. 1, SECTION 1. at paragraph 3.

the director of finance, "with the approval of the county legislative body and the county's legal advisory".<sup>7</sup>

Given the passage of time and the passing of Act 177 in 2005, portions of MCC Chapter 2.84, have been rendered obsolete and/or in need of revision or repeal.<sup>8</sup>

Although the County of Maui Records Disposition Schedule dated December 1990, has never been repealed or revised, given the analysis in our prior memoranda and this current memoranda, it is suggested that the County of Maui's Records Disposition Schedule be revisited<sup>9</sup> and updated to conform with current laws (to allow for the creation, retention, and storage of county records in electronic format), and absent any law or established rule that specifically designates a custodian of record for a certain county record, to allow the County Clerk to delegate authority to other county agencies or their heads, such as the Director of Finance or the Council.

For the foregoing reasons, we advise that, the proposed bill be discussed at Committee level and be recommended for passage by the full Council; and that the Council make recommendations pursuant to Charter §5-3.7 to the County Clerk re: the creation of

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<sup>7</sup> See Exhibits "1" and "3" at HRS §§46-43(b) and 46-43(c).

<sup>8</sup> See e.g., MCC §2.84.020 designates the managing director as having "overall program responsibility for record management activities in the executive branch departments and agencies", not the director of finance, as HRS §46-43 designates. Further, as explained herein, MCC §2.84.060, provides for a records disposition committee.

<sup>9</sup> A suggestion would be for whomever is designated to update the County's records retention schedule (either the Records Disposition Committee, as our current Code designates (See MCC §2.84.060) or the director of finance with approval by council by resolution (See Proposed Bill at §2.84A.050), managing director or director of council services (See Proposed Bill at §2.84A.050), or the heads of county agencies (See Proposed Bill at §2.84A.040), that they create a document similar to the updated State DAGS General Records Schedules attached as Exhibit "3".

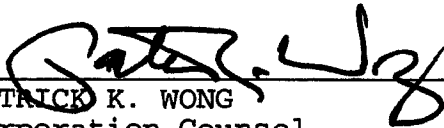
G. Riki Hokama, Chair  
Policy Committee  
Page 7  
January 31, 2012

updated guidelines or rules for the management of county records  
and/or delegation of management of records re: same.

Attachments

xc: Alan M. Arakawa, Mayor  
Keith A. Regan, Managing Director  
Jeffrey T. Kuwada, County Clerk  
Danilo F. Agsalog, Director of Finance  
Webpage

APPROVED FOR TRANSMITTAL:

  
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PATRICK K. WONG  
Corporation Counsel

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BENJAMIN J. CAYETANO  
GOVERNOR



WAYNE H. KIMURA  
COMPTROLLER

MARY ALICE EVANS  
DEPUTY COMPTROLLER


STATE OF HAWAII  
DEPARTMENT OF ACCOUNTING  
AND GENERAL SERVICES

P.O. BOX 119  
HONOLULU, HAWAII 96810-0119

July 16, 2001

COMPTROLLER'S CIRCULAR NO. 2001-01

TO: All Department Heads

FROM: Wayne H. Kimura, State Comptroller 

SUBJECT: Vital Records Protection Policy and Guidelines

The management of *vital records* is part of a state agency's emergency preparedness responsibility. This instructional guide addresses the identification and protection of records containing information that state agencies may need to conduct business under emergency operating conditions or to protect the legal and financial rights of state government and the people it serves. It also recommends policies and procedures that will allow agencies to assess the damage to and implement recovery of any of their records that may be affected by an emergency or disaster.

This guide is advisory in nature. It is left to the discretion and judgment of agency officials how best to implement the guidelines taking into consideration the resources available to each program.

Any questions regarding this circular may be directed to the Records Management Branch at 831-6770.

I. Definitions

*Disaster* means an unexpected occurrence inflicting widespread destruction and having long-term adverse effects on agency operations.

*Emergency* means a situation or occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. Usually of short duration.

EXHIBIT " 1 "

*Emergency operating records* are those *vital records* essential to the continued functioning or reconstitution of an agency during and after an emergency. Included are: emergency plans and directives, delegations of authority, staffing assignments, critical agency operating procedures.

*Legal and financial rights records* are those *vital records* essential to protect the legal and financial rights of government and the individuals directly affected by its activities. Includes: accounts receivable records, payroll records, and retirement records.

*Off-site storage* means a facility other than an agency's normal place of business.

*Vital records* are essential agency records that must be protected from destruction during an emergency. They are essential to the continued functioning or reconstitution of an organization during or after an emergency. These records contain information necessary for:

- emergency operations during disaster
- resumption and/or continuation of operations
- re-establishment of the legal, financial and/or functional status of the organization
- determination of the rights and obligations of individuals and corporate bodies with respect to the organization

Only 3-5 percent of the records on the General Records Schedules (1996) and departmental records schedules may be *vital records*. *Vital records* are not necessarily historical or permanent records. Refer to Appendix A for examples of *vital records*.

*Vital records program* means the policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect essential records.

## II. Protection Guidelines

Agencies shall take appropriate measures to ensure the survival of *vital records* in case of emergency or disaster.

### A. On-site storage considerations

#### 1. Construction of storage vaults

2. Fire protection system
3. Water protection system
4. Security system
5. Store paper records in steel cabinets or boxes on steel shelving at least three inches off the floor
6. Microfilming and/or scanning of records
7. 24-hour environmentally controlled area for electronic records: temperature between 65 and 75 degrees F and a relative humidity between 30 and 50 percent

B. Off-site storage

1. Computer back-up tapes and other electronic media
2. Master microforms - store at maximums of 65 degrees F; 35 percent RH +/- 5 percent
3. Duplicate paper records

III. Disaster Recovery Guidelines for Various Record Mediums

A. Wet paper records. Mold or mildew will attack the records within 48 hours in a warm unventilated environment.

1. Air drying wet paper records
  - a. For small numbers of damp or slightly wet books and documents.
  - b. Requires clean, dry environment: temperature below 70 degrees F and the humidity below 50 percent, or mold may develop.
  - c. Use fans in drying area to keep air moving at all times.
  - d. Lay out single documents protected by paper towels or unprinted newsprint
  - e. Wet books may be interleaved using paper towels or unprinted newsprint.



2. Dehumidification

- a. Large, commercial dehumidifiers are placed in facility, leaving furnishings in place.
- b. For slight to moderate water damage.

3. Freezer drying

- a. Modest number of books and records that are only damp or moderately wet.
- b. Store in self-defrosting blast freezer for length of time.
- c. Transfer to freezer as soon as possible.
- d. Leave in freezer for several weeks or many months depending upon temperature of freezer and extent of water damage.

4. Vacuum freeze drying

- a. Large numbers of wet books and records.
- b. Sophisticated equipment not available in Hawaii (must be flown in).
- c. Frozen books and records are placed in a vacuum chamber and dried at temperatures below 32 degrees F.

B. Microforms - reference/user copies

- 1. Remove wet microforms from their enclosures.
- 2. Rolled film must be unrolled for air drying. It is better to send microfilm to a laboratory for safe washing and drying.
- 3. Fiche can be dried flat, emulsion side up in a single layer. It is better to send microfiche to a laboratory for safe washing and drying.
- 4. Do not freeze or freeze-dry wet microforms since film layers may separate.

C. Electronic records

1. Magnetic media must be professionally cleaned and dried before reuse. It is better to have data backed up and stored at an off-site location.
2. Digital media is adversely affected by dust, debris, heat, light, high humidity, solvents, and rapid temperature change. Back up disks should be stored at an off-site location.

IV. Emergency Procurement

Refer to HAR Sections 3-122-88 through 3-122-91 for emergency procurement expenditures for goods, services, or construction, \$25,000 or more. For expenditures under \$25,000, follow procedures for small purchases.

V. References

Association of Records Managers and Administrators International (ARMA)  
4200 Somerset Dr., Suite 215  
Prairie Village, KS 66208

36 CFR 1236 Management of Vital Records. 6/7/95.  
<http://www.nara.gov/nara/cfr/cfr1236.html>

National Archives and Records Administration. Vital Records and Records Disaster Mitigation and Recovery, an Instructional Guide, 1999 Web Edition.  
<http://www.nara.gov/records/pubs/vital.html>

Northeast Document Conservation Center. Preservation of Library & Archival Materials: A Manual. Third edition, revised and expanded. 1999.

Porck, Henk J. and Rene Teygeler. Preservation Science Survey: an Overview of Recent Developments in Research on the Conservation of Selected Analog Library and Archival Materials. Washington, D.C.: Council on Library and Information Resources. 2000.

- Appendix A Records Series That May be Considered Vital  
Appendix B Recommended Emergency Equipment and Supplies on Hand  
Appendix C Disaster Recovery Specialized Vendors List

## Appendix A

### Records Series That May Be Considered Vital

Accounts receivable	Insurance policies and schedules
Administrative rules	Inventory files
Agreements	Investigation case files
Arbitration records	
Audits	Journal vouchers
Balance sheets	Land title records
Bank balances	Leases
Blueprints	Licenses
Board minutes	Loans
Bylaws	
	Medical records
Cancelled checks	Mortgage records
Case files	
Charters and Amendments	Permits
Contracts	Project files
Data processing programs	Real property inventories
Deeds	Retirement records
Directives	
	Tax returns
Emergency procedures manuals	Treasury records
Employee payroll records	
Employee personnel records	Vouchers
Enforcement case files	
Engineering drawings	Workers compensation records
Executive orders	
Facilities records	
Financial statements	
General ledgers	
Grant records	

Recommended Emergency Equipment and Supplies on Hand

Blotters  
Book trucks (metal)  
Boxes, corrugated  
Brooms  
Buckets  
Dehumidifiers, portable  
Disinfectant  
Dustpans  
Exacto knives  
Extension cords (50 ft., grounded)  
Fans, portable  
Fire extinguishers  
First aid kit  
Flashlights and batteries  
Gloves (leather, rubber)  
Identification tags  
Keys to rooms and cabinets  
Paper, blotting  
Pencils, grease  
Plastic garbage bags (large)  
Polyethylene sheeting (at least 6 mil)  
Scissors  
Shrink wrap  
Sponges  
String (cotton), twine  
Tape: masking, sealing, strapping  
Trash cans, plastic

### Disaster Recovery Specialized Vendors List

This list is not comprehensive. These vendors are capable of providing the specified services/supplies, but they are not the sole nor recommended source. This list was last updated on May 21, 2001.

#### Data Recovery Specialists

Computer Power Specialists  
94-344 Ukee St., Unit 1  
Waipahu, HI 96797  
676-3700

SuperGeeks  
2304 S. King St., Suite 101  
Honolulu, HI 96826  
<http://www.supergeeks.net>  
942-0773  
FAX 942-8839

#### Disaster Recovery Supplies and Services

ProText, Inc.  
3515 Leland St.  
Bethesda, MD 20815  
<http://www.protext.net>  
e-mail: ProText@protext.net  
(301) 718-1659  
FAX (301) 654-6153

#### Fire / Water Damage Restoration

McClean's Air Purification Specialists, LLC  
3259 Koapaka St., #B  
Honolulu, HI 96819  
839-1999  
FAX 839-0995

Magic Care  
95-204 Aahu St.  
Mililani, HI 96789  
486-1924

Restorative Clean  
95-204 Aahu St.  
Mililani, HI 96789  
626-9420

Re-Oda Chem Engineering Co.  
100 Industrial Parkway  
P.O. Box 424  
Chagrin Falls, OH 44022  
(216) 247-4131

Freezer Fumigation Service

Cultural Resource and Collection Care  
1525 Bernice St. 848-4113  
Honolulu, HI 96817 FAX 848-4113  
<http://www.bishopmuseum.org>

Freezer Space

Container Storage Co. of Hawaii  
2276 Pahounui Dr. 841-5555  
Honolulu, HI 96819 FAX 842-0658  
<http://www.containerstoragehawaii.com>

Hawaiian Cold Storage Co.  
348 A Puuhale Rd. 845-3241  
Honolulu, HI 96816 FAX 842-1846  
<http://www.earthcenter.com/VHCS>  
e-mail: [HCS1@hi.rr.com](mailto:HCS1@hi.rr.com)

Unicold Corporation  
3140 Ualena St. 836-2931  
Honolulu, HI 96819 FAX 833-7296

Microfilm Disaster Recovery

Advanced Micro-Image Systems Hawaii, Inc.  
525 Kokea St., Bldg. B-1 847-1544  
Honolulu, HI 96817 FAX 842-4885  
<http://www.adv-micro.com>  
e-mail: [advmicro@lava.net](mailto:advmicro@lava.net)

Hawaii Microfilm Services, Inc.  
1713 Republican St. 832-1444  
Honolulu, HI 96819 FAX 832-1455  
e-mail: [chang@hmsarchive.com](mailto:chang@hmsarchive.com)  
(Microfilm must be Kodak film that was processed by Hawaii  
Microfilm Services, Inc.)

Sump Pumps, Electrical and Gasoline

Kiigo's  
180 Sand Island Access Rd.  
Honolulu, HI 96819  
832-2200  
FAX 832-2201

Pacific Liquid & Air Systems  
761 Ahua St.  
Honolulu, HI 96819  
536-7699  
<http://www.pacificliquid.com>

Trucks, Refrigerated

Honolulu Container Sales  
1122 Mikole St.  
Honolulu, HI 96819  
(sells refrigerated containers)  
845-7246  
FAX 842-0378

Penske Truck Rental  
304 Puuhale Rd.  
Honolulu, HI 96819  
<http://www.penske.com>  
848-0844  
FAX 848-0020

Vacuum Freeze Drying

Munters Corporation  
79 Monroe St.  
Amesbury, MA 01913  
toll-free, 24-hour hotline  
<http://www.muntersmcs.com>  
(978)241-1100  
FAX (978) 241-1218  
1-800-797-5020

Document Reprocessors - San Francisco Office  
1384 Rollins Rd.  
Burlingame, CA 94010  
toll-free, 24-hour hotline  
<http://www.documentreprocessors.com>  
(650) 401-7711  
FAX (650) 401-8711  
1 (800) 437-9464

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GOVERNOR



WAYNE H. KIMURA  
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MARY ALICE EVANS  
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STATE OF HAWAII  
DEPARTMENT OF ACCOUNTING  
AND GENERAL SERVICES

P.O. BOX 119  
HONOLULU, HAWAII 96810-0119

August 2, 2001

COMPTROLLER'S CIRCULAR NO. 2001-02

TO: All Department Heads

FROM: Wayne H. Kimura, State Comptroller 

SUBJECT: Policy and Guidelines Relating to Electronic Records Retention and Disposition

Public officials are responsible for the protection and accessibility of *government records* under their purview. This policy and guidelines relating to electronic records disposition governs agencies subject to the State Comptroller's authority pursuant to Hawaii Revised Statutes, §94-3.

Any questions regarding this Circular may be directed to the Records Management Branch at 831-6770.

I. Definitions

*Electronic record* includes numeric, graphic, and text information, which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. This includes, but is not limited to, magnetic media, such as tapes and disks (hard and floppy), and optical disks.

*Government record* is defined as information maintained by an agency in written, auditory, visual, electronic, or other physical form, Hawaii Revised Statutes, §92F-3.

*Human-readable storage medium* means paper, photograph, photocopy, or microform, including microfilm, microfiche, computer output microfilm, and aperture cards.

*Long-term retention period* means records with an authorized retention period of more than ten years.

*Permanent retention period* means records with an authorized retention period of permanent (in perpetuity).

EXHIBIT " 2 "



*Records retention and disposition schedule* means a Records Disposition Authorization Form SA-1 or General Records Schedule issued by the State Comptroller, pursuant to Hawaii Revised Statutes, §94-3. The schedule describes the records series, the minimum time the record shall be retained, and provides authorization for its disposition.

*Short-term retention period* means records with an authorized retention period of ten years or less.

## II. Policy and Guidelines

Electronic records shall comply with records-related laws, regulations, and authorized records retention and disposition schedules. Retention concepts for electronic records are the same as those for non-electronic records. However, any long-term retention of electronic records is complicated by limited media stability and hardware/software dependence. Digitized records lack longevity unless they are continually recopied and migrated to new systems. Standards for the digitization of records are still evolving. Therefore, hybrid approaches may be required for records with *permanent* retention requirements. For example, optical disks may be used for reference, and paper or microfilm retained to meet long-term retention requirements.

### A. General guidelines for all electronic records

1. Recommend non-proprietary hardware and software components, open system architecture or require vendors to provide a bridge to systems with non-proprietary configurations.
2. Establish and document operational procedures and technical specifications to ensure the future usability of the system, continued access to records with long-term retention periods, and the legal integrity of the records.
3. Create and maintain master and backup copies of records.
4. Conduct annual statistical sampling to identify any loss of data.
5. Storage requirements - stable environment with a temperature between 65 and 75 degrees, and a relative humidity between 30 and 50 percent.

### B. Optical imaging systems

1. Agency planning and procuring automated image processing systems intended to supplement or replace paper record keeping systems should

refer to the publications ANSI/AIIM TR 25-1995 *The Use of Optical Disks for Public Records* (\$45.00) and ANSI/AIIM TR 27-1996 *Technical Report for Information and Image Management - Electronic Imaging Request for Proposal (RFP) Guidelines* (\$52.00).

2. Imaging system for keeping public records shall record direct reproductions of scanned documents. The system shall not be capable of altering a public record as scanned, except for standard computer-enhancement routines to improve the legibility of scanned documents.
3. Life expectancy rating of any optical media shall be demonstrated according to criteria established by the National Institute of Standards and Technology in *Development of a Testing Methodology to Predict Optical Disk Life Expectancy Values* (NIST Special Publication 500-200).
4. Preference to image processing system employing write-once CD-R (Compact Disc-Recordable) optical disks for government records with long-term or permanent retention schedules. CD-Rs permit images and associated information to be recorded but not erased from the disk. Images on CD-Rs can be reviewed, if necessary, for evidentiary purposes to prove that images have not been erased or altered in any way.
5. Agency using an imaging system shall index each image stored by the system with a specific or unique identifier. The index shall have the same retention period as the information and shall be migrated at the same time as the information.
6. National standards for optical systems are evolving. We recommend that agencies follow generally accepted principles and practices identified in, but not limited to, the following publications:

AIIM TR 26-1993 *Resolution as it Relates to Photographic and Electronic Imaging* (\$45.00)

AIIM TR 28-1991 *The Expungement of Information Recorded on Optical Write-Once-Read-Many (WORM) Systems* (\$33.00)

AIIM TR 31-1992 *Performance Guideline for the Admissibility of Records Produced by Information Technology Systems Part I: Performance Guideline for Admissibility of Records Produced by Information Systems as Evidence* (Legal Admissibility Series)

ANSI/AIIM MS 44-1993(R) *Recommended Practice for Quality Control of Image Scanners* (\$39.00)

*ANSI/AIIM MS 52-1991 Recommended Practice for the Requirements and Characteristics of Documents Intended for Optical Scanning (\$39.00)*

*ANSI/AIIM MS 53-1993 Standard Recommended Practice - File Format for Storage and Exchange of Images - Bi-Level Image File Format: Part 1 (\$52.00)*

*ANSI/AIIM MS 55-1994 Standard Recommended Practice for the Identification and Indexing Page Components (Zones) for Automated Processing in an Electronic Image Management (EIM) Environment (\$52.00)*

*ANSI/AIIM MS 59-1996 Media Error Monitoring and Reporting Techniques for Verification of Stored Data on Optical Digital Data Disks (\$52.00)*

*(Legal Admissibility Series AIIM TR 28-1991 and ANSI/AIIM TR 31-1993 and ANSI/AIIM TR 31-1994 Parts III and IV \$143.00)*

*ANSI/AIIM TR 31-1993 Performance Guideline for Acceptance of Records Produced by Information Technology Systems Part II: Performance Guideline for the Acceptance by Government Agencies of Records Produced by Information Technology Systems*

*ANSI/AIIM TR 31-1994 Performance Guideline for the Legal Acceptance of Records Produced by Information Technology Systems Part III: Implementation of the Performance Guideline for the Legal Acceptance of Records Produced by Information Technology Systems*

*ANSI/AIIM TR 31-1994 Performance Guideline for the Legal Acceptance of Records Produced by Information Technology Systems Part IV: Model Act and Rule*

7. Environmental requirements. Digital optical disks should never be stored in direct sunlight nor placed near heat sources. Optical disks are affected by dust, debris, and fingerprints. Plastic cartridges should never be removed, nor should the cartridge shutter be opened to expose the digital optical disk's recording surface. To protect disks from warping, they should not be subject to pressure and should be stored in an upright position when not in the disk drive.

- C. **Guidelines for records with *short-term* retention periods of ten years or less.**  
If all previously identified guidelines are followed, an agency may maintain

records in an optical system and may dispose of the originals after receiving authorization for disposal from the State Comptroller. If the records are *vital records*, a security copy should be stored off-site.

- D. **Guidelines for non-permanent records with *long-term* retention period of more than ten years.** If all previously identified guidelines are followed, an agency may maintain records in an optical system and may dispose of the originals after receiving authorization for disposal from the State Comptroller provided that (1) security copies of the disks and indexes are stored off-site; (2) both the working and security copies of the disks and indexes are either migrated and converted if optical systems are upgraded or changed in a way that prevents access to the contents of the disks created by the old system; or (3) the records are recopied to new disks every ten years, whichever occurs first. Use a recording media that is not rewritable.
- E. **Records that have been scheduled as permanent and are maintained in optical disk systems will be authorized for disposal only if human-readable records are available.** If the optical disk is the original medium for the records, we recommend the generation and permanent retention of either paper copies or microforms. If original paper records are being scanned onto optical disks, it is recommended that they be backed up on microform or the original paper records be retained.

### III. Electronic Records Eligible for Transfer to State Archives

- A. Information shall have been appraised by the State Archives as possessing long-term administrative, fiscal, legal, and/or historical value (requires Authorized Records Retention Schedule).
- B. Agencies may transfer electronic records either on open-reel magnetic tape or tape cartridges.
  - 1. Open-reel magnetic tape shall be on half inch, 9-track tape reels recorded at 1600 or 6250 bpi that meet ANSI X3.39-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (1600 CPI, PE) or ANSI X3.54-1986, American National Standard: Recorded Magnetic Tape for Information Interchange (6250 CPI, Group Coded Recording).
  - 2. Tape cartridges shall be 18-track, 3480-class cartridges recorded at 37,871 bpi that meet ANSI X3.180-1990, American National Standard: Magnetic Tape and Cartridge for Information Interchange-18-Track, Parallel, half inch (12.65mm), 37871 cpi (1491 cpm), Group-coded-Requirements for Recording.

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- C. Records shall be in a format that is not dependent on specific hardware or software, written in ASCII or EBCDIC with all extraneous control characters removed (except record length indicators for variable length records, marks delimiting a data element, field, record or file, or Standard Generalized Markup Language tags). Records should not be compressed.
- D. Data files and databases shall be transferred as flat files or as rectangular tables, i.e., as two-dimensional arrays, lists, or tables. All records (within the context of the computer program) or "tuples", i.e., ordered collections of data items, within a file or table should have the same logical format. Each data element within a record should contain only one data value. A record should not contain nested repeating groups of data items. The file should not contain extraneous control characters, except record length indicators for variable length records, or marks delimiting a data element, field, record, or file. If records or data elements in different files need to be linked or combined, then each record must contain one or more data elements that constitute primary and/or foreign keys enabling valid linkages between the related records in separate files.
- E. Documentation adequate to identify, service and interpret electronic records shall be transferred with the records. Documentation for data files and data bases must include record layouts, data element definitions, and code translation tables for coded data. Data element definitions, codes used to represent data values and interpretations of these codes must match the actual format and codes as transferred. Documents containing SGML tags shall include a table for interpreting the SGML tags, when appropriate.
- F. Optically stored records. The State Archives is not accepting optical disks at this time.

IV. Public Access and Copying

- A. All records maintained in *any* physical format by a State agency are subject to the Uniform Information Practices Act (Modified), chapter 92F, Hawaii Revised Statutes ("UIPA"). The UIPA governs when documents shall be available for public access and copying. If you receive a request for a government record, you may contact the Office of Information Practices ("OIP") for assistance in determining whether that record is public.
- B. The OIP's position is that it would not be an act of good faith to destroy a document, even if that destruction is authorized by law, when the agency is aware of a pending request by a member of the public for access to or a copy of that record.

V. References

AIIM publications can be purchased from the Association of Information and Image Management, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910-5699 (<http://www.aiim.org/bookstore>) AND Techstreet, 1327 Jones Drive, Ann Arbor, MI 48105. (<http://www.techstreet.com>)

American National Standards Institute (ANSI) 11 West 42<sup>nd</sup> Street 13<sup>th</sup> Floor New York, NY 10036. ANSI X3.39-1986 \$18.00, ANSI X3.54-1986 \$28.00, ANSI X3.180-1990 \$32.00. Also available from Techstreet, 1327 Jones Drive, Ann Arbor, MI 48105. (<http://www.techstreet.com>)

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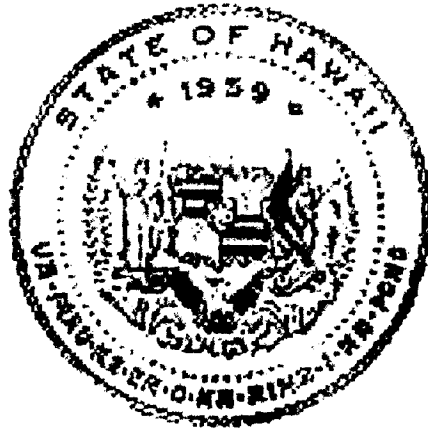
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New Jersey. Administrative Code 15:3 Subchapter 4. Image Processing of Public Records. (<http://www.state.nj.us/state/darm/imaging.html>)

South Carolina. Department of Archives & History. *Optical Disk: Policy Statement and Recommended Practices*. Information Leaflet #13. Revised January 2001. (<http://www.state.sc.us/scdah/leaflet13.pdf>)

*Storage and Handling Guidelines for the Maintenance of Electronic Records of Long-Term or Enduring Value*. Information Leaflet #24. (<http://www.state.sc.us/scdah/24.pdf>)

# STATE OF HAWAII



## General Records Schedules

Department of Accounting and General Services

Archives Division

2002

Revised through May 2006

EXHIBIT " 3 "



**STATE OF HAWAII  
DEPARTMENT OF ACCOUNTING & GENERAL SERVICES  
GENERAL RECORDS SCHEDULES 2002 – Revised through May 2006**

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**STATE OF HAWAII  
GENERAL RECORDS SCHEDULES  
2002**

The *General Records Schedules Number 1-11, 2002* are hereby issued by the State Comptroller to provide retention and disposition standards for records common to several or all state executive and legislative agencies. A government record is defined as information, regardless of media or characteristics, created or received or maintained by an agency in the course of business transaction and in pursuance of legal obligations. All previously issued General Records Schedules are superseded.

The General Records Schedules (hereafter "GRS") apply to record copies. The record copy serves as the official copy. Additional copies of documents used solely for convenience or reference are non-record and may be destroyed at the discretion of the agency. However, such records should not be retained for a period beyond the retention of the record copies. For records management purposes, publications and other library material are considered non-record material.

The enumerated records retention periods are considered to be the **minimum** necessary under normal conditions. As long as minimum retention periods are met, records covered by the GRS may be destroyed without further concurrence from the Comptroller. If legal or audit questions involving scheduled records arise before the records reach their authorized disposal dates or before the records are destroyed, the records must be retained until all legal and/or audit issues are settled.

The term "Operating Department," as used in the GRS, means all executive and legislative agencies, and administratively attached agencies.

Original records that have been microfilmed in accordance with §92-29, HRS, may be destroyed after microfilming, provided that the filmed records satisfy quality control expectations, and as long as the microfilmed records are kept for the authorized retention period. The foregoing applies except when the laws and/or the retention authorization require that the original hard copy records be retained after microfilming.

§489E-17, HRS, authorizes each government agency to determine whether, and the extent to which, it will create and retain electronic records and convert written records to electronic records. *Comptroller's Circular No. 2001-02, Policy and Guidelines Relating to Electronic Records and Disposition,*

issued August 2, 2001, states policy and guidelines for agencies subject to the Comptroller's authority pursuant to §94-3, HRS.

The GRS also provide for the retirement of non-current, non-permanent records to the State Records Center. As a general guideline, records retired to the State Records Center shall have a remaining retention period of two years or more before they will be accepted. The State Records Center will not accept records immediately eligible for destruction. Records transfer costs should not exceed the expense of retaining the records in agency space.

Records that are unique to an agency are not listed in the GRS. Departmental Records Officers maintain copies of Records Disposition Authorizations (Forms SA-1) that cover agency records.

Please call the Archives Division, Records Management Branch, at 831-6770, if there are any questions regarding records listed on the GRS.

DATED: Honolulu, Hawaii, this 26<sup>th</sup> day of July, 2002.

/s/ Glenn M. Okimoto  
GLENN M. OKIMOTO  
State Comptroller

**§94-3, Hawaii Revised Statutes**

**Comptroller's Authority Regarding Disposal of Records**

**§94-3, HRS, Disposal of government records generally.** Each public officer, except public officers of the judiciary, having the care and custody of any government records shall submit to the state comptroller a list of records for disposal, which shall include the name of the office, department, or bureau, the subject of the records for disposal and the inclusive dates of the records. The comptroller shall determine the disposition of the records; stating whether such records should be retained by the office, department, or bureau; be transferred to the public archives, the University of Hawaii, the Hawaiian Historical Society, or other agency; or be destroyed. The comptroller shall have full power of disposal of all records submitted for such purpose. The records of all records disposed of, including lists submitted by the public officers, and the action taken by the comptroller, shall be kept on proper forms, specified by the comptroller, one copy of which shall be filed in the office, department or bureau where the records originated, one copy shall be filed in the office of the attorney general, and the original shall be filed in the public archives. [L 1949, c 65, §7-8, am L 1957, c 46, §1, 2 and c 152, §1; am L Sp 1959 2d, c 1, §12; HRS 94-3; am L 1984, c 258, §2]

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ADMINISTRATIVE RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 1, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.1 Committee and Conference Files</b>		
<p>a. Records of official boards, committees, and advisory bodies.</p> <p>This includes records relating to establishment, organization, membership and policy; and records created by committees including agendas, minutes, final reports, and related records documenting accomplishments.</p>	Operating Department	<p>Retention: Permanent.</p> <p>Disposition: Contact State Archives after 10 years or upon closure of program.</p>
<p>b. Records of all other committees not included in item 1.1a (such as internal, ad hoc committees).</p>		
<p>(1) Records relating to establishment, organization, membership and policy.</p>	Operating Department	<p>Retention: 2 years after termination of committee.</p> <p>Disposition: Destroy after cited retention.</p>
<p>(2) Records created by committees; agendas, minutes and related records.</p>	Operating Department	<p>Retention: 3 years or when not administratively useful, whichever is shorter.</p> <p>Disposition: Destroy after cited retention.</p>
<b>1.2 Official Correspondence</b>		
<p>a. Policy Making Correspondence</p>	Operating Department / Agency / Division / Office	<p>Retention: Permanent</p> <p>Disposition: Contact State Archives after 10 years or upon closure of program.</p>
<p>b. Correspondence files relating to Distinct or Unique Program Activities</p>	Operating Department	<p>Retention: 10 years after close of file, or when not administratively useful, whichever is shorter.</p> <p>Disposition: Contact State Archives for historical appraisal. Transfer to State Archives if appraised as historical, otherwise destroy after cited retention.</p>
<b>1.3 General (Routine) Correspondence</b>		
<p>a. Letters of inquiry on routine matters not involving policy decisions or state liability, the answer to which complete the cycle of correspondence (also known as transitory files).</p>	Operating Department	<p>Retention: 1 year after date.</p> <p>Disposition: Destroy after cited retention.</p>
<p>b. Internal Administration Correspondence – documents office organization, staffing, procedures and internal policies.</p>	Operating Department	<p>Retention: 2 years after date.</p> <p>Disposition: Destroy after cited retention.</p>



**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ADMINISTRATIVE RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 1, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.3 General (Routine) Correspondence (continued)</b>		
c. "Housekeeping" Correspondence. Thank you letters, congratulations, etc. that do not add any new information to the agency's mission.	Operating Department	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
d. Acknowledgment Files. Acknowledgments and transmittals of inquiries and requests that have been referred elsewhere for reply.	Operating Department	Retention: 6 months after acknowledgment and / or referral.  Disposition: Destroy after cited retention.
e. Quasi-official Notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays, or charity fund drives, saving bond campaigns, and similar papers.	Issuing Agency	Retention: Non-permanent.  Disposition: Destroy after 3 months or when no longer needed for administrative purposes.
<b>1.4 Duplicate Files of Correspondence (such as reading files, reference files, information files, day files, suspense files, etc.)</b>	Operating Department	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>1.5 Hawaii Administrative Rules</b>  Departmental Rules & Regulations	Issuing Agency	Retention: Permanent.  Disposition: Transmit copies of current Rules and Regulations as stipulated in §93-3 and 91-5, HRS.
	Lt. Governor	Retention: Permanent.  Disposition: Serves as record copy. Transfer superseded records to State Archives.
	Other Agencies	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>1.6 Official Memoranda &amp; Circulars</b>  Involving Policy and Procedural determinations (includes intra-Departmental records and inter-Departmental records, such as Comptroller Memoranda).	Issuing Agency	Retention: Permanent.  Disposition: Retain in agency.
	Other Agencies	Retention: Non-permanent.  Disposition: Destroy after superseded.

<b>STATE OF HAWAII – ACCOUNTING &amp; GENERAL SERVICES, ARCHIVES DIVISION</b> <b>ADMINISTRATIVE RECORDS</b> <b>GENERAL RECORDS SCHEDULE NO. 1, 2002</b>		
<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.7 Official Directives, Manuals &amp; Handbooks</b>		
a. Governor's Administrative Directives	Governor	Retention: Permanent.  Disposition: Transfer superseded records to State Archives.
	Other Agencies	Retention: Non-permanent.  Disposition: Retain until superseded.
b. All other Official Directives, Manuals & Handbooks	Issuing Agency	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>1.8 Attorney General Opinions</b>	Attorney General	Retention: Permanent.  Disposition: Retain in office.
	Other Agencies	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>1.9 Risk Management Files</b>		
Records such as accident reporting and claim forms (e.g., RMTC, RML-001, RMP-001, RMA-001, or equivalent forms); Liability Claims Reports; Property Loss Reports; automobile inventory reports; and insurance exposure surveys.	Operating Department – Fiscal	Retention: 5 years after close of fiscal year.  Disposition: Destroy after cited retention.
	DAGS ASO Risk Management	Retention: 5 years after case closure.  Disposition: Destroy after cited retention.
<b>1.10 Release of Liability Forms</b>		
Records which absolves the agency from responsibility for any possible injury to a non-employee (e.g., student liability waivers).	Operating Department	Retention: 2 years from close of record (i.e., end of activity / event).  Disposition: Destroy after cited retention.
<b>1.11 Administrative Rules: Hearing Records</b>		
Records include public notices, agendas, testimony, etc.	Operating Department	Retention: 4 years after the effective date of the adoption, amendment, or repeal of the rule.  Disposition: Contact State Archives for historical appraisal. Transfer to State Archives if appraised as historical; otherwise destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**

**ADMINISTRATIVE RECORDS**

**GENERAL RECORDS SCHEDULE NO. 1, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.12 Legislative Files</b>  Reports to Legislature and Legislative testimony (including information pertaining to operating, biennium and supplemental budget requests).	Issuing Agency	Retention: 6 years after close of fiscal biennium to which records pertain.  Disposition: Destroy after cited retention.
	Budget & Finance (BPPM)	Retention: 6 years after close of fiscal biennium to which records pertain.  Disposition: Destroy after cited retention.
	Legislature	Retention: Permanent.  Disposition: Transfer one copy to State Archives at the close of the Legislative session.
<b>1.13 Public Relations Files</b>  a. Speeches, addresses, and comments.  Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies.	Issuing Agency	Retention: Permanent.  Disposition: Contact State Archives when 10 years old or upon closure of program.
b. News releases.  One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior agency personnel.	Issuing Agency	Retention: Permanent.  Disposition: Contact State Archives when 10 years old or upon closure of program.
c. Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio, or audiovisual agency histories.	Operating Department	Retention: Permanent.  Disposition: Contact State Archives for historical appraisal. Transfer to State Archives if appraised as historical, otherwise destroy when not administratively useful.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ADMINISTRATIVE RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 1, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.14 Organizational Files</b>  Organizational charts, functional statements and related supporting documents (may include reorganization proposals).	Operating Department – ASO  Budget & Finance (BPPM)  DHRD  Lt. Governor	Retention: 6 years after superseded.  Disposition: Destroy after cited retention.  Retention: 6 years. Disposition: Destroy after cited retention.  Retention: Non-permanent. Disposition: Destroy when superseded.  Retention: Permanent. Disposition: Transfer to State Archives when superseded.
<b>1.15 Daily, weekly, monthly, and other periodic reports submitted for tabulation purposes (such as monthly reports that are summarized or tabulated into an annual report).</b>	Operating Department	Retention: 1 year after tabulation.  Disposition: Destroy after cited retention.
<b>1.16 Schedules of Daily Activities</b>  Calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls, trips, visits and other activities of State employees.  a. Records containing substantive information relating to the official activities of high-level officials, which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. (High-level officials include the heads of departments and independent agencies, their deputies and assistants; administrators of divisions).  b. Records of other than high-level state employees as defined in (a.) above containing substantive information relating to official activities, the substance of which has not been incorporated into official files.  c. Routine materials, containing no substantive information, regarding daily activities.	Operating Department  Operating Department  Operating Department	Retention: 10 years.  Disposition: Contact State Archives for historical appraisal. Transfer to State Archives if appraised as historical, otherwise destroy after cited retention.  Retention: 2 years. Disposition: Destroy after cited retention.  Retention: 1 year or when no longer needed for administrative purposes, whichever is shorter. Disposition: Destroy after cited retention.
<b>1.17 Formal Requests for Government Information</b>  Requests to inspect and/or duplicate government records, as permitted by Part II of Chapter 92F, HRS.	Operating Department	Retention: 2 years after action on request is completed.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ADMINISTRATIVE RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 1, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.18 Mail Control Records</b>  Includes records such as receipts for registered and certified mail sent or received; log of incoming documents that require distribution or action; log of outgoing documents; and fax logs.	Operating Department	Retention: 1 year.  Disposition: Destroy after cited retention.
<b>1.19 Mailing lists, rosters, etc., compiled by the agency.</b>	Operating Department	Retention: Non-permanent.  Disposition: Destroy when superseded or discontinued.
<b>1.20 Fax cover sheets, fax confirmation sheets, and routine messages</b>  This series includes: <ul style="list-style-type: none"> <li>• Facsimile cover sheets containing only transmittal ("to" and "from") information, or information that does not add significance to transmitted material.</li> <li>• Fax confirmation sheets.</li> <li>• Routine messages (i.e., telephone, voice mail, e-mail) that do not contain substantive official business information.</li> </ul>	Operating Department	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>1.21 Finding Aids: indexes, lists, registers, and other reference guides created for efficient use of records.</b>	Operating Department	Retention: Follow retention authorization for records series for which the finding aid was created.  Disposition: Retain as long as records series to which they relate, or destroy when no longer needed for reference. Finding aids shall accompany records transferred to the State Archives.
<b>1.22 Project Working Papers</b>  Project background records, such as studies, analyses, notes, and preliminary or interim reports.	Operating Department	Retention: Non-permanent.  Disposition: Destroy 6 months after final action on project report or 3 years after completion of report if no action is taken.
<b>1.23 Administrative Databases</b>  Databases that support administrative or housekeeping functions, containing information derived from hard copy records authorized for destruction by the Comptroller through a General Records Schedule or a SA-1, Record Disposition Authorization, if the hard copy records are maintained in organized files, and hard-copy printouts from these databases created for short-term administrative purposes.	Operating Department	Retention: Non-permanent.  Disposition: Delete information in the database when no longer needed.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ADMINISTRATIVE RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 1, 2002**

<i>Item</i>	<i>Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.24</b>	<b>Electronic Spreadsheets</b>  Spreadsheets that are recorded on electronic media such as hard disks or floppy diskettes:  a. When used to produce hard copy which are maintained in organized files.  b. When maintained only in electronic form.	Operating Department    Operating Department	Retention: Non-permanent.  Disposition: Delete when no longer needed to update or produce hard copy.  Retention: Non-permanent.  Disposition: Delete after the expiration of the retention period authorized for the hard copy. If the electronic version replaces hard copy records with different retention periods, and agency software does not readily permit selective deletion, delete after the longest retention period has expired.
<b>1.25</b>	<b>Word Processing Files</b>  Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes.  a. When used to produce hard copy which are maintained in organized files.  b. When maintained only in electronic form, and replacing records that would otherwise be maintained in hard copy provided that the hard copy has been authorized for destruction by the Comptroller through a General Records Schedule or a SA-1, Records Disposition Authorization.	Operating Department    Operating Department	Retention: Non-permanent.  Disposition: Delete when no longer needed to create a hard copy.  Retention: Non-permanent.  Disposition: Delete after the expiration of the retention period authorized for the hard copy by a General Records Schedule or a SA-1, Records Disposition Authorization.
<b>1.26</b>	<b>Preliminary drafts of letters, memoranda, reports, worksheets, and internal notes</b>	Operating Department	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>1.27</b>	<b>Audio Recordings of Meetings Made Exclusively for Note-taking.</b>	Operating Department	Retention: Until approval or transcription of minutes is approved.  Disposition: Recordings may be destroyed or erased, at the discretion of the agency. Erased audio media may be reused.

STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION ADMINISTRATIVE RECORDS GENERAL RECORDS SCHEDULE NO. 1, 2002		
<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>1.28 Work Order Requests for Building Repair &amp; Maintenance</b>  Note: This item applies to routine repair and maintenance work orders. For Public Works Construction Project Files – Repair and Maintenance Projects, see GRS No. 8, Item 8.1b.	Operating Department – Agency requesting repair  Operating Department – Agency performing repair (e.g., DAGS Central Services Division)	Retention: 6 months after requested job is completed.  Disposition: Destroy after cited retention.  Retention: 1 year after the end of the fiscal year the job is completed.  Disposition: Destroy after cited retention.  Requests received as hard copies may be converted to electronic records. Hard copies that are converted to electronic records may be destroyed after data entry is verified, as long as the electronic record is retained for the required record retention.
<b>1.29 Computer Hardware or Software Request</b>  (ICSD T-205 or equivalent).  All Executive Branch agencies, except for those that have been granted exemption, must submit the "Computer Hardware or Software Request" to DAGS ICSD for technical review and approval before purchasing computer hardware or software that cost \$10,000 or more or for acquisitions that would impact the State's telecommunication Infrastructure or facilities maintained or managed by DAGS ICSD. ICSD forwards the request with its recommendation to the Comptroller for action (approval/disapproval).  Approved by Comptroller through SA-1 dated 5/13/05.	Operating Department – Requesting agency	Retention: 3 years after final action taken on request. Final action may be the approval of the request, the withdrawal/retraction of the request, or the disapproval of the request.  Disposition: Destroy after cited retention.
<b>1.30 Telecom Request</b>  (ICSD-001 or equivalent).  Agencies use the Telecom Request to request the DAGS ICSD's technical review and approval before purchasing telecom equipment/services and to coordinate any moves, changes, additions, or removals of telephone equipment within the agency with ICSD. The Telecom Request must be approved by the DAGS ICSD Telecom Services Branch Manager.  Approved by Comptroller through SA-1 dated 5/13/05.	Operating Department – Requesting agency	Retention: 3 years after final action taken on request. Final action may be the approval of the request, the withdrawal/retraction of the request, or the disapproval of the request.  Disposition: Destroy after cited retention.

STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION BUDGET PLANNING RECORDS GENERAL RECORDS SCHEDULE NO. 2, 2002		
<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>2.1 Budget Development Records</b>  Operating and CIP budget information used in budget planning including records such as: correspondence, supporting narrative and reports including PFPs (Program Financial Plans), Program Memoranda, Program Structure Reviews.	Operating Department - Fiscal section responsible for submitting Department's budget plans.  Budget & Finance - (BPPM)	Retention: 6 years after close of fiscal biennium to which records pertain.  Disposition: Destroy after cited retention.  Retention: 4 years after close of fiscal biennium to which records pertain.  Disposition: Destroy after cited retention.
<b>2.2 Budget Execution Records</b>  Operating and CIP budget execution information for each fiscal year including records such as: correspondence, expenditure plan and supporting documents, working papers / worksheets including cost allocations, supporting narrative, variance plans.	Operating Department - Fiscal section responsible for submitting Department's budget plans.  Budget & Finance - (BPPM)	Retention: 6 years after close of fiscal biennium to which records pertain.  Disposition: Destroy after cited retention.  Retention: 4 years after close of fiscal biennium to which records pertain.  Disposition: Destroy after cited retention.
<b>2.3 Grant Records</b>  Records regarding grants received by agencies and grants issued by agencies. Records include applications, guidelines, correspondence, reports, etc.  a. Grant Application Files - applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant proposals.  (1) Unsuccessful (rejected or withdrawn) applications.  (2) Accepted applications.	Operating Department         Operating Department	Retention: 3 years after rejection or withdrawal.  Disposition: Destroy after cited retention.  Retention: Non-permanent.  Disposition: Dispose of with related grant case files.



**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION  
BUDGET PLANNING RECORDS  
GENERAL RECORDS SCHEDULE NO. 2, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>2.3 Grant Records (continued)</b>  b. Grant Case Files - Proposals of applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants.  <b>The Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; Final Rule</b> as published in the <u>Federal Register</u> , March 11, 1988 (53 FR 8034 - 8103, March 11, 1988), known as the federal agencies' grants management common rule, standardizes and codifies the administrative requirements for grants to State and local governments. The final common rule is codified in each agency's portion of the Code of Federal Regulations (CFR). (See Appendix A for a list of Federal agencies and their corresponding CFR citation for the grants management common rule.) Several agencies' rules reflect differences required in statute (e.g., the five-year record retention requirement for the Department of Education programs under the General Education Provision Act). A related regulation is OMB (Office of Management and Budget) Circular A-102, Grants and Cooperative Agreements with State and Local Governments. OMB Circular A-110, sets Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. It includes a section on retention and access requirements for records.	Operating Department	Retention: Federal grants - comply with applicable Federal regulations.  Disposition: Destroy after cited retention.  Retention: Other grants - If audited, 3 years after audit; otherwise 6 years.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ACCOUNTING RECORDS: A – COLLECTION & DEPOSIT; B – APPROPRIATION & ALLOTMENTS;**  
**C – EXPENDITURES; D – ACCOUNTING REPORTS**  
**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.A-1 Treasury Deposit Receipts</b>  (SAF B-13, SAF B-14, or equivalent.)	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	B&F / DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.A-2 Estimated Receipts Input</b>  (SAF B-31 or equivalent.)	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.A-3 Cash Receipts</b>  (SAF B-24 or equivalent.)	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
<b>3.A-4 Sales Journal</b>	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
<b>3.A-5 Accounts Receivable Ledgers</b>	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
<b>3.A-6 Bill for Collection</b>  (SAF B-10 or equivalent.)  Invoices billing for supplies, services or repairs provided by agencies.	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention
<b>3.A-7 Cash Overage / Shortage</b>	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
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<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.A-8 Bank Statements and Related Records</b>  This includes: Bank Deposit Slips / Receipts; Check Registers; Passbooks; and Cancelled Checks*  (*Does not apply to Checks Issued in Lieu of Warrants under Section 40-51.5, HRS.)	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
<b>3.A-9 Application for Investments</b>  (SAF A-30 or equivalent.)  Used for investment purchases such as Time Certificate of Deposit, Repurchasing Agreement, Treasury Security, etc.	Operating Department - Fiscal   B&F / DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.B-1 Appropriation and Budgetary Allocation Forms</b>  Includes records such as: Appropriation Warrant (SAF A-01 or equivalent); Unrequired Appropriations to be Lapsed (SAF A-08 or equivalent); Allotment Advice for CIP and Special Purpose Funds (SAF A-15 or equivalent); Request for Allotment/Allotment Advice (SAF A-19 or equivalent); Request for Transfer of Funds (SAF A-21 or equivalent).  See: GRS No. 3, Section 3.D for Accounting Reports. GRS No. 3, Item 3.D-2 is specifically described as Appropriation and Allotments Reports.	Operating Department - Fiscal   B&F   DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 3 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.C-1 Purchase of Services (e.g., Contracts)</b>	Operating Department - Fiscal	Retention: 6 years after final payment.  Disposition: Destroy after cited retention.
<b>3.C-2 Equipment Maintenance Agreement</b>	Office/ Operating Department - Fiscal	Retention: If audited, 3 years after end of agreement; otherwise 6 years after end of agreement.  Disposition: Destroy after cited retention.

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<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.C-3 Encumbrance Forms and Related Records</b>		
a. Contract Input (SAF C-41 or equivalent).	Operating Department - Fiscal	Retention: 3 years after final payment if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
b. Requisition for Services or Supplies (SAF C-02 or equivalent); Requisition and Purchase Order (SAF C-03 and SAF C-04, or equivalent); Encumbrance Advice (SAF C-06 or equivalent); Unrequired Contract Encumbrance Advice (SAF C-07 or equivalent); Pre-Audit Correction Slips; Register of Purchase Orders; Vendor Invoices; Invoice List (SAF C-23 or equivalent).	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.C-4 Summary Warrant Voucher - Manual &amp; Computer (Includes Supporting Documents)</b>	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
(SAF C-08 or equivalent; MBP 461 and MBP 462 or equivalent.)	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.

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**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.C-5 Warrant / Check issued in Lieu of Warrants: Correction Records</b>  This applies to Warrants, authorized by Section 40-51, HRS, and Checks issued in Lieu of Warrants, authorized by Section 40-51.5, HRS.		
a. Affidavit Relative to Wrong Warrant / Check Payment.	B&F / DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
b. Stop Payment Order (Bank form or equivalent); Stop Payment Notice (SAF C-60 or equivalent); Claim for Lost Check (SAF C-61 or equivalent); Claim for Non-Received Check (SAF C-62 or equivalent); Claim for Void Check (SAF C-63 or equivalent).	Operating Department - Fiscal  DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
c. Checks Cancelled (SAF C-53 or equivalent).	Operating Department - Fiscal  DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
d. Cashed Checks of Legislature (SAF C-58 or equivalent).	B&F	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.C-6 Assignment of Money By Party to Whom State is Directly Indebted (Pursuant to Section 40-58, HRS.)</b>  (SAF Form C-30 or equivalent.)	Operating Department - Fiscal  DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.

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**C – EXPENDITURES; D – ACCOUNTING REPORTS**  
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<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.C-7 Petty Cash Records</b>		
a. Petty Cash Vouchers	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
b. Remittance Advice for Replenishment of Petty Cash Funds	Office	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
c. Request to Create / Change Petty Cash (Imprest) Fund	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
	DAGS Audit	Retention: Permanent.  Disposition: Retain in agency.
<b>3.C-8 Travel Approvals and Statements</b>		
a. Travel (Out-of-State) Approvals	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
b. Statement of Completed Travel (Out-of-State)	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.

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**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.C-8 Travel Approvals and Statements (continued)</b>		
b. Statement of Completed Travel (Out-of-State)	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
c. Statement of Completed Travel (Intra-State)	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.C-9 Automobile: Travel Records</b>		
a. Request for Vehicles & Daily Travel Log (AMD-MP-001 or equivalent); Monthly Travel Log (AMD-MP-002 or equivalent).	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Automotive Management	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
b. Monthly Mileage Record for State Owned Vehicles (SAF C-31 or equivalent); Personal Automobile Trip Record (SAF C-32 or equivalent).	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
c. Personal Automobile Mileage Voucher & Supporting Documents (SAF C-33 or equivalent).	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.

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**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.D-1 Budget Management Reports</b>  Budget management reports include: Status of Project Appropriations & Allocations (MBP 435 or equivalent); Departmental Budget by Object of Expenditure (MBP 440 or equivalent); Departmental Budget & Expenditures by Cost Center (MBP 442 or equivalent); Statement of Budget & Expenditures by Program for Operating Accounts (MBP 444 or equivalent); Statement of Budget & Expenditures by Program for Capital Accounts (MBP 445 or equivalent); Statement of Project Revenues, Expenditures & Encumbrances (MBP 470 or equivalent).  NOTE: These reports are not generated and distributed on a regular basis. DAGS Accounting generates these reports only upon request.	Operating Department - Fiscal	Retention: Non-permanent  Disposition: Destroy when not administratively useful.
<b>3.D-2 Appropriations and Allotments Reports</b>  The appropriations and allotments reports include:  a. Source of Receipt Ledger (MBP 452 or equivalent).  Month-End	Operating Department - Fiscal          DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.



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**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.D-2 Appropriations and Allotments Reports (continued)</b>		
b. Source of Receipt Ledger Status (MBP 453 or equivalent); Comparison of Receipts by Source (MBP 454 or equivalent).		
Month-End	Operating Department - Fiscal / DAGS Accounting	Retention: Retain to end of quarter.  Disposition: Destroy after cited retention.
Year-End	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
c. Status of Cash Balances (MBP 477 or equivalent).		
Month-End	Operating Department - Fiscal	Retention: Retain until reconciled with Departmental records.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: Retain to end of quarter.  Disposition: Destroy after cited retention.
Year-End	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: Permanent.  Disposition: Retain in agency.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ACCOUNTING RECORDS: A – COLLECTION & DEPOSIT; B – APPROPRIATION & ALLOTMENTS;**  
**C – EXPENDITURES; D – ACCOUNTING REPORTS**  
**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.D-3 Appropriation &amp; Expenditure Reports</b>		
The appropriation & expenditure reports include:		
a. Daily Status of Appropriation & Allotments (MBP 430 or equivalent); Statement of Subsidiary Account Balances (MBP 420 or equivalent).		
Month-End	Operating Department - Fiscal	Retention: Retain to end of quarter.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: Retain to end of quarter.  Disposition: Destroy after cited retention.
Year-End	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: Permanent.  Disposition: Permanent. Retain in COM format.
b. Appropriation Symbol Transaction Analysis (MBP 425 or equivalent); Subsidiary Ledger Account Analysis (MBP 422 or equivalent).		
Month-End	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: Permanent.  Disposition: Permanent. Retain in COM format.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ACCOUNTING RECORDS: A – COLLECTION & DEPOSIT; B – APPROPRIATION & ALLOTMENTS;**  
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**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.D-3 Appropriation &amp; Expenditure Reports (continued)</b>		
c. Detail of Transactions Posted, (MBP 405 or equivalent).		
Month-End	Operating Department - Fiscal	Retention: Until reconciled with monthly report.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: Permanent.  Disposition: Permanent. Retain in COM format.
d. Outstanding Encumbrance Report by Department (MBP 490 or equivalent).		
Month-End	Operating Department - Fiscal / DAGS Accounting	Retention: Retain to end of quarter.  Disposition: Destroy after cited retention.
Year-End	Operating Department – Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.D-4 Accounting System: Data Entry / Input Forms</b>	Operating Department / DAGS Accounting	Retention: Non-permanent.  Disposition: Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.
Includes SAF Forms: A-50, Appropriation Account Code Table Maintenance; A-51, Cost Center Table Maintenance; A-52, Descriptor Table Maintenance; A-53, Transaction Code Decision Table Maintenance; A-54, Vendor Table Maintenance; A-55, Project Control Table Maintenance; A-57, Department Activity Table Maintenance; A-71, Report Request Coding Form; C-12, Payment Coding Input - Vendor Code; C-13, Payment Coding Input - Vendor Name and Address; or equivalent documents.		

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<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.D-5 Accounting System: Batching Documents and Related Documents</b>  a. Batch Slips (SAF A-47, Batch Slip, or equivalent documents).  b. Control Logs  Includes SAF Forms: A-42, Batch Control Log; A-43, Input Agency Batch Control Log; A-44, Voucher Batch Control Log; A-45, Agency Contract Encumbrance Log; A-46, Table Maintenance Input/Output Control Log; or equivalent documents.	Operating Department / DAGS Accounting   Operating Department / DAGS Accounting	Retention: Non-permanent.  Disposition: Retain with related documents.  Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>3.D-6 Journal Voucher and supporting documents</b>  (SAF A-27 or equivalent).	Operating Department - Fiscal   DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.D-7 Universal Input Form</b>  (SAF A-28 or equivalent).	Operating Department - Fiscal   DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.D-8 Agency Internal Journal Entry and supporting documents</b>  (SAF A-20 or equivalent).	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.

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<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.D-9 General Ledgers (Noncomputerized)</b>	Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	DAGS Accounting	Retention: Permanent.  Disposition: May microfilm and destroy originals after microfilming.
<b>3.D-10 Audit Reports</b>	Operating Department - Fiscal	Retention: 6 years.  Disposition: Destroy after cited retention.
	DAGS Audit	Retention: Permanent.  Disposition: Transfer to State Archives when infrequently referenced.
<b>3.D-11 Certificates of Destruction of Bonds and Interest Coupons</b>	B&F / DAGS Audit	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>3.D-12 Accounts for Securities Held in Safekeeping after Return</b>	Operating Department – Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
	B&F	Retention: 6 years.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ACCOUNTING RECORDS: A – COLLECTION & DEPOSIT; B – APPROPRIATION & ALLOTMENTS;**  
**C – EXPENDITURES; D – ACCOUNTING REPORTS**  
**GENERAL RECORDS SCHEDULE NO. 3, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>3.D-13 Capital Improvement Projects (CIP): Appropriation &amp; Expenditure Reports</b>  These monthly, quarterly and annual reports are generated by DAGS Accounting to provide information on financial status of Capital Improvement Projects.  Reports are generated to satisfy the administrative needs of specific users. Examples: the MBF 360, "Detail Statement of Appropriations, Allotments and Expenditures By User Agency" is only used by DAGS and B&F, while the MBF 310, "Capital Project Fund By Departments - Detail" is referenced by those departments that receive CIP funds.  The reports include: MBF 110; MBF 120; MBF 300; MBF 300S; MBF 310; MBF 310S; MBF 320; MBF 320S; MBF 330; MBF 330S; MBF 360; MBF 360S; MBF 610; MBF 610S; and all other equivalent reports.		
	Monthly	
	Operating Department	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
	DAGS Accounting	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
	Quarterly/Annual	
	Operating Department	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
	DAGS Accounting	Retention: 1st, 2nd, 3rd quarter reports - Non-permanent.  Disposition: Destroy when not administratively useful.  Retention: 4th quarter report (June 30 report) / annual report - 6 years.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**

**ACCOUNTING: PAYROLL RECORDS**

**GENERAL RECORDS SCHEDULE NO. 4, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>4.1 Payroll Registers</b>  Record series includes:  Payroll Register (PRW 241, SAF D-95 or equivalent); Payroll Assignment Register (PRD 401 or equivalent); Employer's Share of Contribution Assessment Register (PRE 314 or equivalent).	Operating Department – Fiscal    DAGS Accounting	Retention: 1 year.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.2 Payroll Change Schedule</b>  (SAF D-94 or equivalent).	Operating Department – Fiscal    DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.3 Payroll Expenditure Distribution Summary Sheet</b>  (PRE 323 or equivalent).	Operating Department – Fiscal    DAGS Accounting	Retention: 3 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.4 Notification of Personnel Action/Employee Personnel Action Report</b>  (DPS-5, SF-5A, SF-5B, or equivalent).	Operating Department – Personnel  ERS   DAGS Accounting	Retention and Disposition: See GRS 5 Item 5.13.  Retention: Retain until input verified.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Retain at agency for 2 years, then transfer to State Records Center. Destroy after cited retention.
<b>4.5 Notification of Temporary Assignment</b>  (HRD-10 or equivalent).	Operating Department – Personnel    DAGS Accounting	Retention: 30 years after termination of employment.  Disposition: Retain in employee Official Personnel Folder (OPF).  Retention: 6 years.  Disposition: Destroy after cited retention.

<b>STATE OF HAWAII – ACCOUNTING &amp; GENERAL SERVICES, ARCHIVES DIVISION</b>		
<b>ACCOUNTING: PAYROLL RECORDS</b>		
<b>GENERAL RECORDS SCHEDULE NO. 4, 2002</b>		
<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>4.6 Federal &amp; State Withholding Exemptions</b>  (W-4, HW-4 or equivalent).	Operating Department – Personnel	Retention: Non-permanent.  Disposition: Destroy when superseded. Destroy last record upon termination of employment.
<b>4.7 Advance Payment of Earned Income Credit</b>  (W-5 or equivalent).	Operating Department – Fiscal	Retention: Non-permanent.  Disposition: Destroy when superseded.
<b>4.8 Statement of Fees &amp; Benefits: Non-employee</b>  (IRS Form 1096, 1099 or equivalent).	Operating Department – Fiscal	Retention: 4 years.  Disposition: Destroy after cited retention.
<b>4.9 Listing of W-2 &amp; HW-2 Recipients</b>  a. Listing of Recipients          b. Wage and Tax Statements (W-2 & HW-2)	Operating Department – Fiscal     DAGS Accounting    DAGS Accounting/Legislature – Accounting	Retention: 4 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.10 Payroll Assignments</b>  These include: Salary Assignment/Cancellation (SAF D-60 or equivalent); Motor Vehicle Insurance (SAF D-62 or equivalent); Medical Plan (SAF D-63, D-66, or equivalent); Premium Conversion Plan (SAF D-67 or equivalent); Savings Bond Payroll Authorization (SBD-1931 or equivalent); Deferred Compensation Plan.	Operating Department – Personnel       DAGS Accounting	Retention: Non-permanent.  Disposition: Destroy when superseded. Destroy last record upon termination of employment. For Premium Conversion Plan Forms, see GRS 5 Item 5.28.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.11 Time Sheets</b>  These include: Individual (SAF D-55 or equivalent); Organizational (SAF D-56 or equivalent); Sick Pay Status Change (SAF D-52).	Operating Department – Fiscal      DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.



**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ACCOUNTING: PAYROLL RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 4, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>4.12 Premium Pay Records</b>  These include: Premium Pay Attendance Sheets; Overtime Authorization - Election of Compensatory Time-Off and/or Compensation in Cash; Certification for Compensation	Operating Department – Fiscal	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.
<b>4.13 Payroll Adjustment Forms</b>  These include: Notification for Payroll Adjustment (SAF D-70 or equivalent); Employer's Share of Contribution Adjustment Sheet (SAF D-71 or equivalent).	Operating Department – Fiscal   DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.14 Stop Payment for Payroll</b>  (SAF D-51 or equivalent).	Operating Department – Fiscal   DAGS Accounting	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.15 Daily Cycle Reports</b>	Operating Department - Fiscal / DAGS Accounting	Retention: 30 days after close of payroll period covered.  Disposition: Destroy after cited retention.
<b>4.16 Payroll Transaction Register</b>	Operating Department – Fiscal   DAGS Accounting	Retention: 30 days after close of payroll period covered.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.

STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION ACCOUNTING: PAYROLL RECORDS GENERAL RECORDS SCHEDULE NO. 4, 2002		
<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>4.17 Payroll Labor Distribution</b>  (PRW 231 or equivalent).	DLIR    DAGS Accounting	Retention: 30 days after close of payroll period covered.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.18 Payroll Expenditure Distribution</b>  (PRE 315 or equivalent).	Operating Department - Fiscal   DAGS Accounting	Retention: 30 days after close of payroll period covered.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.19 Expenditure Report for Personnel Services</b>  (PRE 321 or equivalent).	Operating Department – Fiscal   DAGS Accounting	Retention: 30 days after close of payroll period covered.  Disposition: Destroy after cited retention.  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>4.20 Request for Taxpayer Identification Number and Certification Form</b>  (IRS Form W-9 or equivalent).  Approved by Comptroller through SA-1 dated 5/2/06 Item 1.	Operating Department	Retention: 4 years.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION  
PERSONNEL RECORDS  
GENERAL RECORDS SCHEDULE NO. 5, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>5.1 Class Specifications</b>  Standards determining title, series and grade based on duties, responsibilities & qualifications.	Operating Department - Personnel  DHRD	Retention: Non-permanent.  Disposition: Destroy when superseded or abolished.  Retention: Permanent.  Disposition: Retain in office.
<b>5.2 Position Descriptions</b>  Describes authorized duties and responsibilities for an approved position and shows classification action taken.	Operating Department - Personnel  DHRD	Retention: 1 year after position description is superseded or position is abolished.  Disposition: Destroy after cited retention.  Retention: Maintain current & two superseded + 6 years.  Disposition: Destroy fourth oldest as long as previous position description is retained for 6 years.
<b>5.3 Classification &amp; Pricing Appeal Records</b>	Operating Department - Personnel  DHRD	Retention: 2 years after posting to permanent record.  Disposition: Destroy after cited retention.  Retention: Permanent.  Disposition: Retain in office.
<b>5.4 Job Announcements</b>  Includes qualifications and duties for positions in State service open for hire or to create/supplement a register	Operating Department - Personnel / DHRD	Retention: 2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
<b>5.5 Application for Civil Service Position</b>  (HRD 315 or equivalent).  Contains original application for employment and may include resumes, transcripts, professional licenses, etc.  a. If applicant is hired.	Operating Department – Personnel	Retention: 2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later.  Disposition: Destroy after cited retention.

STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION PERSONNEL RECORDS GENERAL RECORDS SCHEDULE NO. 5, 2002		
<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>5.5 Application for Civil Service Position (continued)</b>  b. If applicant is not hired.	DHRD & Departments with delegation of authority to recruit on their own.	Retention: 2 years from date of record creation or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
<b>5.6 Application Data Survey Form (ADSF)</b>  (HRD 330 or equivalent).	DHRD & Departments with delegation of authority to recruit on their own.	Retention: 2 years from date of record creation or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
<b>5.7 Certification of Eligibles</b>  (HRD 305 or equivalent).	DHRD & Departments with delegation of authority to certify.	Retention: 2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
<b>5.8 List of Direct Hire Candidates</b>  (HRD 392 or equivalent).	Operating Department - Personnel	Retention: 2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
<b>5.9 Notification of Direct Hire Appointment</b>  (HRD 391 or equivalent).	Operating Department - Personnel / DHRD	Retention: 2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
<b>5.10 Employee Selection Records: Civil Service Employees</b>  Records such as interview questions, applicant evaluation records, employee's medical evaluation form (SF-4 or OccuMed medical form).	Operating Department - Personnel	Retention: 2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
<b>5.11 Request for Criminal History Record Clearance</b>	Operating Department - Personnel / DHRD	Retention: 2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.

**GENERAL RECORDS SCHEDULE NO. 5, 2002**

<b>Item Description of Records</b>	<b>Location</b>	<b>Retention and Disposition</b>
<b>5.12 Employment Eligibility Verification</b> (Form I-9 or equivalent).  Required of all employee hired on or after 11/6/86.	Operating Department - Personnel	Retention: 3 years from date of hire or 1 year after termination of employee, whichever is later.  Disposition: Destroy after cited retention.
<b>5.13 Notification of Personnel Action / Employee Personnel Action Report</b> (DPS 5 or equivalent) & Supporting Documentation  a. Employees in the following types of appointments eligible for membership in the ERS: probationary, permanent, LTA, TAOL, provisional and exempt.  b. Effective 7-01-02 employees in the following types of civil service appointments eligible for membership in the ERS: probation, permanent, temporary, and exempt.  c. Employees in the following types of appointments: emergency appointments, student helpers /interns; members of boards and commissions, SCET and other non-qualifying types.  d. Effective 7-01-02 employees in the following types of non-civil service appointments ineligible for membership in the ERS: temporary and exempt.	Operating Department - Personnel   Operating Department - Personnel   Operating Department - Personnel   Operating Department - Personnel	Retention: 30 years after termination of employment.  Disposition: Retain in employee Official Personnel Folder.  Retention: 30 years after termination of employment.  Disposition: Retain in employee Official Personnel Folder.  Retention: 3 years after termination of employment.  Disposition: Destroy after cited retention.  Retention: 3 years after termination of employment.  Disposition: Destroy after cited retention.
<b>5.14 Request for Appointment Approval</b>  Form HRD 397, Request for Non-Civil Service Appointment Approval, or equivalent; Form HRD 398, Request for Appointment Approval or equivalent; Form HRD 399, Request for Extension of Temporary Appointment or equivalent.  NOTE: HRD 398 and 399 replace forms DPS 300, 301, 302, 370, 300B, 301A, 301B, 301C, 302B, 302C, 320D, and 320E.	Operating Department - Personnel	Retention: 2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**

**PERSONNEL RECORDS**

**GENERAL RECORDS SCHEDULE NO. 5, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>5.15 Official Personnel Folder (OPF)</b>		
a. For employee in the following types of appointments eligible for membership in the ERS: probationary, permanent, LTA, TAOL, provisional and exempt.	Operating Department - Personnel	Retention: 30 years after termination of employment.  Disposition: Retain at agency 3 years after termination; purge; then may transfer to State Records Center for remaining 27 years; destroy.
b. Effective 7-01-02 employees in the following Civil Service appointments eligible for membership in the ERS: probation, permanent, temporary and exempt.	Operating Department - Personnel	Retention: 30 years after termination of employment.  Disposition: Retain at agency 3 years after termination; purge; then may transfer to State Records Center for remaining 27 years; destroy.
c. For employee in the following types of appointments ineligible for membership in the ERS: emergency, student helper / intern, member of boards and commissions, SCET and other non-qualifying types (e.g., casual hires).	Operating Department - Personnel	Retention: 3 years after termination of employment.  Disposition: Destroy after cited retention.
d. Effective 7-01-02 employees in the non-Civil Service appointments ineligible for membership in the ERS: temporary and exempt.	Operating Department - Personnel	Retention: 3 years after termination of employment.  Disposition: Destroy after cited retention.
<b>5.16 OPF for Transferred Employee</b>	Operating Department - Personnel	Retention: Retain until transferred.  Disposition: Forward OPF to gaining Operating Department - Personnel.
<b>5.17 Supervisor's Informational Personnel File &amp; Duplicate OPF Documents</b>  May contain same information filed in the departmental OPF. Retained for informational purposes only.	Office	Retention: Non-permanent.  Disposition: Review annually; destroy superseded or obsolete documents relating to an individual employee. Destroy entire file upon termination.
<b>5.18 Employee Performance Appraisal</b>  Periodic rating of employee's performance.	Operating Department - Personnel	Retention: Retain until employee terminates State employment or retires.  Disposition: Destroy after cited retention.
<b>5.19 Work Schedules</b>  Records such as Leave sign-up sheets / schedule; Work assignment schedules; Work rotation schedules; or equivalent records.	Office	Retention: 4 years.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**PERSONNEL RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 5, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>5.20 Application for Leave of Absence</b>  (Form G-1 or equivalent).  a. With Pay          b. Without Pay	Operating Department - Personnel          Operating Department - Personnel	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention. Do not file G-1s for paid leave in Official Personnel Folder.    Retention: 6 years.  Disposition: Retain last 6 years in Official Personnel Folder (OPF).
<b>5.21 Attendance &amp; Leave Record Card</b>  (HRD Form 7, Form DPS-7 or equivalent).	Operating Department - Personnel	Retention: 6 years.  Disposition: Retain last 6 years in Official Personnel Folder (OPF).
<b>5.22 Application for Transfer of Vacation &amp; Sick Leave</b>  (Form G-2 or equivalent).  Prepared when employee transfers from one agency to another or upon termination to support payment of leave earned.	Operating Department - Personnel       DAGS Accounting	Retention: Non-Permanent.  Disposition: Retain until superseded. File in Official Personnel Folder (OPF).  Retention: 6 years.  Disposition: Destroy after cited retention.
<b>5.23 Leave Sharing Program Records</b>  Donation of Leave.	Operating Department - Personnel	Retention: 6 years.  Disposition: Destroy after cited retention.
<b>5.24 Notification of Temporary Assignment</b>  (HRD Form 10 or equivalent).  Note: Cross-listed in Payroll Records, GRS 4, Item 4.5.	Operating Department - Personnel       DAGS Accounting	Retention: 30 years after termination of employee.  Disposition: Retain in the employee OPF.  Retention: 6 years.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**PERSONNEL RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 5, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>5.25 Grievance Files (Except EEO Complaints)</b>	Operating Department - Personnel / DHRD	Retention: 2 years after case is closed, or longer, if case file was prematurely closed, is needed for pending/anticipated litigation, must be kept due to law or other competent authority, or other valid reason(s).  Disposition: Retain at agency until retention requirement is met, then destroy.
<b>5.26 Discrimination Files (EEO Complaints)</b>	Operating Department - Personnel	Retention: 3 years after case is closed.  Disposition: Destroy after cited retention.
<b>5.27 Medical and Insurance Benefits Enrollment Forms and Supporting Documents</b>  (Including E-1, N-1, N-2, Enrollment Application - Medicare Supplement Plan, Foster Child Statement, Changes to Employee's Data on File, or equivalents).	Health Fund  Operating Department - Personnel	Retention: 8 years after termination of employment or death.  Disposition: Destroy after cited retention.  Retention: Non-permanent.  Disposition: Destroy when superseded. Destroy last record upon termination of employment.
<b>5.28 Premium Conversion Plan Forms</b>  a. Premium Conversion Plan-Benefit Election Form (SAF D-67 or equivalent)  b. Election Change Form (PCP-2 or equivalent)	Operating Department - Personnel  Operating Department - Personnel / DHRD	Retention: 7 years from date of record creation.  Disposition: Destroy after cited retention.  Retention: 7 years from date of record creation.  Disposition: Destroy after cited retention.
<b>5.29 Request for Approval of Out-Service Training (OSTR, Form 411)</b>  As a substitute for Form 411, departments may retain a computer report generated through the DHRD class registration system or an equivalent record. Such report shall include a course description.	Operating Department - Personnel	Retention: 2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later.  Disposition: Retain in employee OPF 2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later, then destroy.



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**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**

**PERSONNEL RECORDS**

**GENERAL RECORDS SCHEDULE NO. 5, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>5.32 Workers' Compensation Records</b>		
<p>a. Employer's Records</p> <p>Retention authority: §386-89(c), <i>HRS</i> - This statute allows for the re-opening of cases any time prior to eight years after date of the last payment of compensation. It became effective on June 12, 1985, the date the Governor signed Act 296, <i>SLH</i> of 1985. Prior to the passage of this law, §386-89(c), <i>HRS</i>, allowed the re-opening of cases any time prior to ten years after date of the last payment of compensation</p>	DHRD State Workers Compensation Division / agencies delegated authority to maintain W.C. records (e.g., University of Hawaii)	<p>Retention: 8 years from last payment of compensation, for injuries occurring 6-12-85 or later.</p> <p>OR</p> <p>10 years from last payment of compensation, for injuries occurring prior to 6-12-85.</p> <p>Disposition: Destroy after cited retention.</p>
<p>b. DLIR Disability Compensation Division Records</p> <p>(1) Subpoenaed Medical Records</p> <p>(2) All other case records</p>	DLIR Disability Compensation Div.	<p>Retention: 8 years from last payment of compensation, for injuries occurring 6-12-85 or later.</p> <p>OR</p> <p>10 years from last payment of compensation, for injuries occurring prior to 6-12-85.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 30 years after case is closed.</p> <p>Disposition: Retain at agency for 8 years; may transfer to State Records Center for remainder of authorized retention.</p>
c. DAGS Accounting Division Records	DAGS Accounting	<p>Retention: 6 years after final payment on claim.</p> <p>Disposition: Destroy after cited retention.</p>
<b>5.33 Temporary Disability Insurance Case Records</b>		
Records maintained in compliance with Chapter 392, <i>HRS</i> .	Operating Dept. - Personnel / DLIR Disability Compensation Division	<p>Retention: 2 years after close of case.</p> <p>Disposition: Destroy after cited retention.</p>
<b>5.34 Records Relating to Incentive and Service Awards Programs (Including suggestion awards programs)</b>	Operating Department – Personnel	<p>Retention: 5 years.</p> <p>Disposition: Retain last 5 years in Official Personnel Folder (OPF).</p>

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**

**PERSONNEL RECORDS**

**GENERAL RECORDS SCHEDULE NO. 5, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<p><b>5.35 Employee Records Relating to Exposure to Toxic Substances and Harmful Agents (e.g., asbestos, blood borne pathogens, etc.)</b></p> <p><i>29 CFR §1910.1020, Access to employee exposure and medical records, [refer to HAR §12-202.3.1]. This regulation, with exceptions, requires that the employee medical record be retained for at least the duration of employment plus 30 years. This regulation, with exceptions, also requires that the employee exposure record be preserved and maintained for 30 years.</i></p>	Operating Department	<p><b>Retention:</b> Comply with applicable Dept. of Labor and Industrial Relations, Hawaii Occupational Safety and Health Division (HIOSH) Hawaii Administrative Rules (HAR).</p> <p><b>Disposition:</b> Destroy after cited retention.</p>
<p><b>5.36 Alcohol and Drug Testing Records</b></p> <p>This applies to drivers tested in conformance with US Department of Transportation (DOT) regulations.</p> <p>a. Employee alcohol test results indicating an alcohol concentration of 0.02 or greater; verified positive drug test results; documentation of refusals to take required alcohol and/or drug test (including substituted or adulterated drug test results); SAP reports; all follow-up tests and schedules for follow-up tests.</p> <p>b. Information obtained from previous employers under 49 CFR, §40.25 concerning drug and alcohol test results of employees</p> <p>c. Records of negative and cancelled drug test results and alcohol test results with a concentration of less than 0.02</p> <p><i>Retention Authority: Federal Register, Vol. 65, No. 244, page 795660, 12/19/2000, 49 CFR Part 40 Subpart P, §40.333 What records must employers keep?</i></p>	<p>Operating Department</p> <p>Operating Department</p> <p>Operating Department</p>	<p><b>Retention:</b> 5 years.</p> <p><b>Disposition:</b> Destroy after cited retention.</p> <p><b>Retention:</b> 3 years.</p> <p><b>Disposition:</b> Destroy after cited retention.</p> <p><b>Retention:</b> 1 year.</p> <p><b>Disposition:</b> Destroy after cited retention.</p>

STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION PERSONNEL RECORDS GENERAL RECORDS SCHEDULE NO. 5, 2002		
Item Description of Records	Location	Retention and Disposition
<b>5.37 Application for Exempt Employment</b>  (HRD 278 or equivalent)  Contains original application for employment and may include resumes, transcripts, professional licenses, etc.		
a. If applicant is hired	Operating Department – Personnel	Retention: 2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later.  Disposition: Destroy after cited retention.
b. If applicant is not hired	Operating Department - Personnel	Retention: 2 years from date of record creation or final disposition of charges, whichever occurs later.  Disposition: Destroy after cited retention.
Note: Approved by Comptroller through SA-1 dated 7/23/04.		

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<b>STATE OF HAWAII – ACCOUNTING &amp; GENERAL SERVICES, ARCHIVES DIVISION</b>		
<b>PROCUREMENT AND PROPERTY MANAGEMENT RECORDS</b>		
<b>GENERAL RECORDS SCHEDULE NO. 6, 2002</b>		
<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>6.3 Public Notice for Professional Services</b>	Operating Department	
a. Form-20 Attestation Form with copy of Procurement Notice		Retention: 2 years from date of procurement notice  Disposition: Destroy after cited retention.
b. Applications received of qualifications and expressions of interest		Retention: 2 years from procurement notice due date for application statements.  Disposition: Destroy after cited retention.
c. List of professional candidates		Retention: 3 years if audited, otherwise 6 years.
Approved by Comptroller through SA-1 dated 5/8/06, GRS No. 6, Item 6.3.		Disposition: Destroy after cited retention.
<b>6.4 Purchase of Health and Human Services (Chapter 103F, HRS) Records: Procurement Files</b>		
a. Operating Department's Records	Operating Department	Retention: 6 years after close of file.  Disposition: Destroy after cited retention.
Records in a procurement file may include, but are not limited to: Request for Proposal; successful and unsuccessful proposals; documents identifying successful applicants and basis for award; Statement of Finding and Decision; requests and responses to requests for exemption, waiver from compliance with procurement procedures, restrictive purchases, and crisis purchases; small purchase requests; protests and responses to protests; and supporting documents.		
NOTE: The Operating Department's procurement file may include the Registration Statement of Health and Human Service Provider Responsibility (Form SPO-H 100A and resulting status report) - if these are submitted to the state purchasing agency for evaluation and are not forwarded to the State Procurement Office for review and placement on the Registered List of Qualified Private Providers.		
b. State Procurement Office's Records	State Procurement Office	
(1) Requests		Retention: 3 years after approval.  Disposition: Destroy after cited retention
(2) Protest Records		Retention: 3 years after Response to Request for Reconsideration is rendered.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION  
PROCUREMENT AND PROPERTY MANAGEMENT RECORDS  
GENERAL RECORDS SCHEDULE NO. 6, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>6.5 Purchase of Health and Human Services (Chapter 103F, HRS) Records: Registration Statement of Health and Human Service Provider Responsibility – Applicant deemed not qualified</b>  Applies to: Form SPO-H-100A; Status Report	Operating Department / State Procurement Office	Retention: 1 year after determination is made that the applicant is not qualified.  Disposition: Destroy after cited retention
<b>6.6 Property Inventory Reports</b>  These include:  Inventory of Materials & Supplies (SPO-16, AGS-16 or equivalent); Detail Inventory of Property (SPO-17A, AGS-17A or equivalent); Annual Summary of Inventories Report (SPO-17B, AGS-17B or equivalent); Internal Control Procedures for Property (SPO-19 or equivalent); Transfer of Property (SPO-26, AGS 18 or equivalent); Certificate of Disposal (SPO-34, AGS-34 or equivalent); Annual Inventory Report of Property (MDB 020 or equivalent). Disposal Application (Letter format or equivalent).  Approved by Comptroller through SA-1 dated 5/8/06, GRS No. 6, Item 6.6.	Operating Department - Fiscal, Property Management   State Procurement Office: Inventory Management Office	Retention: 3 years if audited, otherwise 6 years.  Disposition: Destroy after cited retention.   Retention: 6 years.  Disposition: Destroy after cited retention.
<b>6.7 Detail Inventory of Property</b>  (MDB 033 or equivalent).	Operating Department - Fiscal, Property Management   State Procurement Office: Inventory Management Office	Retention: 3 years.  Disposition: Destroy after cited retention.   Retention: 6 years.  Disposition: Destroy after cited retention.
<b>6.8 Valuation of Real Property Documents</b>  Supporting documents verifying the purchased, constructed, estimated or appraised cost of land, land improvements, buildings, building improvements, and infrastructure assets.	Operating Department – Designated Property Custodian	Retention: Life of asset.  Disposition: Destroy after asset is disposed of.

<b>STATE OF HAWAII – ACCOUNTING &amp; GENERAL SERVICES, ARCHIVES DIVISION</b> <b>PROCUREMENT AND PROPERTY MANAGEMENT RECORDS</b> <b>GENERAL RECORDS SCHEDULE NO. 6, 2002</b>		
<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>6.9 Inventory Change Register</b>  (MDB 042 or equivalent).	Operating Department - Fiscal, Property Management	Retention: 3 years.  Disposition: Destroy after cited retention.
<b>6.10 Detail Inventory Reports</b>  These include:  Detail Inventory Report by Decal Number Sequence (MDB 050); Detail Inventory Report of Selected Item Classification Codes (MDB 070); Detail Inventory Report of Selected Carrying Values (MDB 072); or equivalent reports.	Operating Department – Fiscal, Property Management	Retention: Non-permanent.  Disposition: Destroy when not administratively useful.
<b>6.11 Maintenance Record</b>  Records documenting the service and repair of equipment.	Operating Department	Retention: Life of equipment.  Disposition: Destroy after the equipment is disposed of.
<b>6.12 Forklift (Lift Truck) Safety Inspection Reports</b>  Routine safety inspection report on forklift (lift truck) completed each work shift.  29 CFR 1910.178(q)(7) requires industrial trucks to be examined before being placed in service.	Operating Department	Retention: 1 year after inspection date.  Disposition: Destroy after cited retention.



**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION  
RECORDS MANAGEMENT  
GENERAL RECORDS SCHEDULE NO. 7, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>7.1 General Record Schedules</b>	Departmental Records Officer / Office  DAGS Archives	Retention: Non-permanent.  Disposition: Destroy when superseded or revised.  Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.
<b>7.2 Request for Records Destruction &amp; Records Retention/Disposition Schedule</b>  (SA-1 or equivalent and supporting documents including Records Inventory Worksheet, ARM 6 or equivalent.).	Office / Departmental Records Officer / Attorney General  DAGS Archives	Retention: Non-permanent.  Disposition: Retain SA-1 until superseded or revised. Supporting documents may be destroyed when not administratively useful.  Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.
<b>7.3 Records Transfer/Storage List</b>  (ARM 5 or equivalent).  Used when transferring records for storage to the DAGS, Archives Division, Records Management Branch, State Records Center.	Departmental Records Officer / Office  DAGS Archives	Retention: 3 years after records are destroyed.  Disposition: Destroy after cited retention.  Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.
<b>7.4 Report of Records Destruction</b>  (ARM 7 or equivalent).  Used by departments to report records on approved retention/disposition schedules that are destroyed (under agency control).	Departmental Records Officer / Office  DAGS Archives	Retention: 3 years after records are destroyed.  Disposition: Destroy after cited retention.  Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.

<b>STATE OF HAWAII – ACCOUNTING &amp; GENERAL SERVICES, ARCHIVES DIVISION</b>		
<b>RECORDS MANAGEMENT</b>		
<b>GENERAL RECORDS SCHEDULE NO. 7, 2002</b>		
<b>Item Description of Records</b>	<b>Location</b>	<b>Retention and Disposition</b>
<b>7.5 Notification for Records Destruction</b>  (ARM 4 or equivalent).  Used by DAGS Archives Division, Records Management Branch to notify agency (record owner) that records are eligible for destruction according to approved retention schedule.	Departmental Records Officer / Office   DAGS Archives	Retention: 3 years after records are destroyed.  Disposition: Destroy after cited retention.  Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.
<b>7.6 Records Involved in Receipt and / or Transfer of Historical Records</b>  a. Records Transfer List  (SA-6 or equivalent).  Used to transfer records to DAGS Archives Division, Historical Records Branch for permanent retention. Legal title and custody for records transfers to DAGS Archives Division.           b. Loan Authorization and Receipt (ARM 1 or equivalent); Deed of Gift (ARM 2 or equivalent); Record of Transfer and Receipt (ARM 3 or equivalent).	Departmental Records Officer / Office   DAGS Archives      DAGS Archives	Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.  Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.  Retention: Permanent.  Disposition: May be microfilmed. Originals may be destroyed after microfilming.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION  
FACILITIES CONSTRUCTION AND MANAGEMENT RECORDS  
GENERAL RECORDS SCHEDULE NO. 8, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>8.1 Public Works Construction Project Files</b>		
a. CIP Projects	Operating Department	Retention: 10 years after final settlement.  Disposition: Offer to State Archives before destruction.
b. Repair and Maintenance Projects	Operating Department	Retention: 10 years after final settlement.  Disposition: Destroy after cited retention.
c. Payroll Records	Operating Department	Retention: 3 years after final settlement.  Disposition: Destroy after cited retention.
<b>8.2 Final Construction Drawings, Plans, and Specifications</b>		
a. Record copy of final construction drawings, tracings, blueprints, plans, and specifications. This set of documents is usually maintained by the agency responsible for creating the records, such as DAGS Public Works or DLNR Water and Land Development.	Operating Department	Retention: Permanent.  Disposition: Retain record copy in Operating Department.  Original records may be transferred to another permanent media. If records are transferred to another permanent media, offer the original records to the State Archives for preservation as historical items.
b. Reference copies of final construction drawings, tracings, blueprints, plans, and specifications.	Operating Department	Retention: Non-permanent.  Disposition: Destroy when no longer needed for administrative purposes. Generally, the copy maintained at the facility (e.g., building, office) should be retained until the facility is destroyed.
<b>8.3 Leasing of Private Office Space Records</b>		
Lease documents, correspondence and other related documents.	DAGS Public Works - Leasing Branch/ Operating Department – Fiscal	Retention: 6 years after termination of lease.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION  
FACILITIES CONSTRUCTION AND MANAGEMENT RECORDS  
GENERAL RECORDS SCHEDULE NO. 8, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<p><b>8.4 Records on self-evaluation of physical facilities, as required under the Americans with Disabilities Act (ADA) of 1990.</b></p> <p>The Americans with Disabilities Act of 1990 (42 U.S.C. 12131) prohibits discrimination on the basis of disabilities by public entities.</p> <p>28 CFR 35.105 requires that, following a self-evaluation, the following records be maintained on file and made available for public inspection:</p> <p>(1) A list of the interested persons consulted;</p> <p>(2) A description of areas examined and any problems identified; and</p> <p>(3) A description of any modifications made.</p>	Operating Department	<p>Retention: 3 years after completion of actions identified within the plan are completed.</p> <p>Disposition: Destroy after cited retention.</p>

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION  
SECURITY AND PROTECTIVE SERVICES RECORDS  
GENERAL RECORDS SCHEDULE NO. 9, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>9.1 Security Logs</b>  Logs that record information such as periodic facility checks, notations of incidents, and guard assignments.	Operating Department	Retention: 2 years from date.  Disposition: Destroy after cited retention.
<b>9.2 Visitor Control Files</b>  Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	Operating Department	Retention: 2 years from date.  Disposition: Destroy after cited retention.
<b>9.3 Security Incident / Violation Reports</b>  a. Reports from security personnel on routine incidents that do not result in further investigation by agency personnel and / or police.  b. Files relating to alleged violations of a sufficiently serious nature that they are referred for further investigation by agency personnel or the police.	Operating Department    Operating Department	Retention: 2 years from date.  Disposition: Destroy after cited retention.   Retention: 6 years from date or when case, involving use of these records, has been adjudicated and all appeals have been completed.  Disposition: Destroy after cited retention.
<b>9.4 Credential Files</b>  Identification of credentials and related papers.  a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles; and property, dining room and visitors passes; and other identification credentials.  b. Receipts, indexes, listings, and accountable records.	Operating Department    Operating Department	Retention: 6 months after credentials are returned to issuing office.  Disposition: Destroy after cited retention.  Retention: Non-permanent.  Disposition: Destroy after all credentials are accounted for.
<b>9.5 Key Accountability Files</b>  Files relating to accountability for keys issued.  a. For areas under maximum security.  b. For other areas.	Operating Department    Operating Department	Retention: 3 years after keys are returned to issuing office.  Disposition: Destroy after cited retention.  Retention: 6 months after keys are returned to issuing office.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**

**HEALTH CARE RECORDS**

**GENERAL RECORDS SCHEDULE NO. 10, 2002**

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>10.1 Medical Records (as defined by §622-58, HRS)</b>  <b>a. Basic Medical Information</b>  (1) Adults    (2) Minors          <b>b. Non-basic Medical Information</b>  (1) Adults    (2) Minors          <b>c. X-ray films, electro-encephalogram tracings, and similar imaging records, provided that interpretations or separate reports of x-rays, electro-encephalogram tracings, and similar records shall be subject to the retention requirements of "basic medical information."</b>  Approved by Comptroller through SA-1 dated 12/6/05, Item 10.1c.  NOTE: The maintenance and use of medical records must comply with requirements of the federal Health Insurance Portability and Accountability Act of 1996 (HIPAA).	Operating Department - Medical Care Facility	Retention: 25 years after date of last entry.  Disposition: Destroy after cited retention.  Retention: 25 years from age of majority.  Disposition: Destroy after cited retention.    Retention: 7 years after date of last entry.  Disposition: Destroy after cited retention.  Retention: 7 years from age of majority.  Disposition: Destroy after cited retention.  Retention: 7 years after creation/generation.  Disposition: After cited retention, the record may be presented to the patient or destroyed.
<b>10.2 Dental Patient Records</b>	Operating Department	Retention: 7 years after date of last entry.  Disposition: Destroy after cited retention.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ELECTRONIC RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 11, 2002**

<i>Item</i>	<i>Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>11.1</b>	<b>Input Records / Source Documents</b>		
a.	Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures).	Operating Department	Retention: Non-permanent.  Disposition: Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.
b.	Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.	Operating Department	Retention: Non-permanent.  Disposition: Delete when data has been entered into the master file or data base and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or data base, whichever is later.
c.	Electronic records, except as noted in item 11.1b, entered into the system during an update process, and not required for audit and legal purposes.	Operating Department	Retention: Non-permanent.  Disposition: Delete when data has been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.
<b>11.2</b>	<b>Security Backup File</b>		
	Electronic file consisting of data identical in physical format to a master file or data base and retained in case the master file or database is damaged or inadvertently erased.		
a.	File identical to records scheduled for transfer to State Archives	Operating Department	Retention: Non-permanent.  Disposition: Delete when the identical records have been transferred to the State Archives and successfully copied, or when replaced by a subsequent security backup file.
b.	File identical to records authorized for disposal by the Comptroller.	Operating Department	Retention: Non-permanent.  Disposition: Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.

**STATE OF HAWAII – ACCOUNTING & GENERAL SERVICES, ARCHIVES DIVISION**  
**ELECTRONIC RECORDS**  
**GENERAL RECORDS SCHEDULE NO. 11, 2002**

<i>Item Description of Records</i>	<i>Location</i>	<i>Retention and Disposition</i>
<b>11.3 Documentation</b>  Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for disposal in a Comptroller approved records schedule, EXCLUDING documentation relating to any unscheduled master file or database or relating to any master file or database scheduled for transfer to the State Archives.	Operating Department	Retention: Non-permanent.  Disposition: Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or database.
<b>11.4 Indexes for Electronic Records</b>  Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by a Comptroller approved retention schedule, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Operating Department	Retention: Non-permanent.  Disposition: Delete with related records or when no longer needed, whichever is later.
<b>11.5 Special Purpose Programs</b>  Application software necessary solely to use or maintain a master file or database authorized for disposal in a Comptroller approved retention schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the State Archives.	Operating Department	Retention: Non-permanent.  Disposition: Delete when related master file or database has been deleted.
<b>11.6 Files / Records Related to Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.</b>  a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.  b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input / output records.  c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost- back files used to assess charges for system use.	Operating Department  Operating Department  Operating Department Operating	Retention: Non-permanent.  Disposition: Delete / destroy when no longer needed.  Retention: Non-permanent.  Disposition: Delete after information has been transferred to the master file and verified.  Retention: Non-permanent.  Disposition: Delete / destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.



**GENERAL RECORDS SCHEDULE NO. 11, 2002**

### Item Description of Records

## 11.7 Electronic Mail Records

Sender's and recipient's versions of electronic mail (e-mail) messages that meet the definition of government records as defined by Section 92F-3, Hawaii Revised Statutes, shall be evaluated for information content.

**NOTE:** Along with the message text the record-keeping system must capture the names of sender and recipients and date (transmission data for record-keeping purposes) and any receipt data when required.

**Location**

Operating  
Department

Departmental  
e-mail server

**DAGS**  
Information &  
Communica-  
tion Services  
Division server

### ***Retention and Disposition***

**Retention:** The retention period of information in an e-mail depends on its administrative, legal, fiscal, or historical/research value. Records transmitted through e-mail systems will have the same retention period as the same records in other formats. Refer to the General Records Schedules or Records Disposition Authorization (Form SA-1) for paper counterparts.

**Disposition:**

**E-mail not deemed a government record - May be deleted from the e-mail system when no longer needed for operational purposes.**

**E-mail that is a government record - Records with longer-term value may need to be filed and maintained in a record-keeping system. The record-keeping system may be manual (print and file), electronic (e.g. hard drive or diskette), or a mixture of manual and electronic. Delete from the e-mail system after copying to a record-keeping system.**

**E-mail may be purged on a posted schedule.**

**E-mail may be purged on a posted schedule.**

**APPENDIX A**  
**Federal Agencies' Grants Management Common Rule**  
**(Federal Register, March 11, 1988, page 8034)**

<u>Agency</u>	<u>CFR Reference</u>
Department of Agriculture	7 CFR Parts 3015 and 3016
Department of Energy	10 CFR Part 600
Small Business Administration	13 CFR Part 143
Department of Commerce	15 CFR Part 24
Department of State	22 CFR Part 135
Department of Housing and Urban Development	24 CFR Parts, 44, 85, 111, 511, 570, 571, 575, 590, 850, 882, 905, 941, 968, 970, and 990.
Department of Justice	28 CFR Part 66
Department of Labor	29 CFR Part 97
Federal Mediation and Conciliation Service	29 CFR Part 1470
Department of Defense	32 CFR Part 278
Department of Education	34 CFR Parts 74 and 80
National Archives and Records Administration	36 CFR Part 1207
Veterans Administration	38 CFR Part 43
Environmental Protection Agency	40 CFR Parts 30, 31, and 33
Department of the Interior	43 CFR Part 12
Federal Emergency Management Agency	44 CFR Part 13
Department of Health and Human Services	45 CFR Parts 74 and 92
National Science Foundation	45 CFR Part 602
National Foundation on the Arts and Humanities:	
National Endowment for the Arts	45 CFR Part 1157
National Endowment for the Humanities	45 CFR Part 1174
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# DISPOSAL OF GOVERNMENT RECORDS

## DAGS ARCHIVES DIVISION, RECORDS MANAGEMENT BRANCH

Revised, August 23, 2006\*

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\*Revision of April 12, 2005 report

## DISPOSAL OF GOVERNMENT RECORDS

### *Introduction*

All record custodians should determine the most efficient method to destroy their non-permanent records that are eligible for disposal. Factors to consider in deciding on a disposal method are: legal and policy requirements including those on protection of confidential information and prevention of identity theft; cost; effectiveness of disposal methods; and possible health and safety hazards.

Whenever there is an on-going need to destroy records, especially confidential records, custodians should budget for this expense. Programs that maintain records to comply with Federal requirements may be able to use Federal funds to dispose of these records.

Record custodians should document disposals to prove that approved retention schedules were followed in the normal course of business. The record custodian should identify the destroyed records, the volume of records destroyed, the disposal method, the firm or individual who destroyed the records, the disposal date, and the records disposition authorization, either a *SA-1 form*, or the *General Records Schedules No. 1 – 11, 2002*. The *ARM 7 form, The Records Disposal Report*, should be used to document disposals of records.

Though agencies do not have to document the disposal of non-records, such as reference copies of documents and personal notes, these non-records should also be properly disposed to prevent the disclosure of confidential information.

### *Legal and Policy Requirements*

**Act 136, Session Laws of Hawaii (SLH), Regular Session of 2006, (SB 2292, SD2,HD1,CD1), "Relating to Destruction of Personal Information Records."** The law's purpose "is to protect the people of Hawaii from identity theft by requiring businesses and government, when disposing of records containing personal information, to take reasonable measures to protect against unauthorized access to that information."

The law defines "disposal" as "the discarding or abandonment of records containing personal information or the sale, donation, discarding, or transfer of any medium, including computer equipment or computer media, containing records of personal information, or other nonpaper media upon which records of personal information are stored, or other equipment for nonpaper storage of information."

"Personal information" is defined as "an individual's first name or first initial and last name in combination with any one or more of the following data elements, when either the name or the data elements are not encrypted:

- (1) Social security number;
- (2) Driver's license number or Hawaii identification card number; or
- (3) Account number, credit or debit card number, access code, or password that would permit access to an individual's financial account."

"Personal information" does not "include publicly available information that is lawfully made available to the general public from federal, state, or local government records."

The law identifies reasonable measures to protect against unauthorized access to information in connection with or after its disposal including "implementing and monitoring compliance with policies and procedures that require the burning, pulverizing, recycling, or shredding of papers containing personal information so that information cannot be practicably read or reconstructed;"

The law also lists implementing and monitoring compliance procedures; means to satisfy the law's obligation by using due diligence by hiring a qualified records disposal party to destroy records in a manner consistent with the law; exceptions to the law; penalties; and civil actions.

The law requires a government agency to submit a written report to the legislature within twenty days after the discovery of a material occurrence of unauthorized access to personal information records in connection with or after its disposal by or on behalf of the government agency.

Act 136, SLH 2006, takes effect on January 1, 2007.

**Act 135, Session Laws of Hawaii (SLH), Regular Session of 2006, (SB 2290, SD2,HD1,CD1), "Relating to Protection from Security Breaches."** The law's purpose "is to alleviate the growing plague of identity theft by requiring businesses and government agencies that maintain records containing resident individual's personal information to notify an individual whenever the individual's personal information has been compromised by unauthorized disclosure."

Similar to Act 136, SLH 2006, Act 135, subsection 4, requires a government agency to submit a written report to the legislature within twenty days after discovery of a security breach at the government agency.

Act 135, SLH 2006, takes effect on January 1, 2007.

**Act 137, Session Laws of Hawaii (SLH), Regular Session of 2006, (SB 2293, SD2, HD1, CD1), "Relating to Social Security Number Protection."** The law's purpose "is to minimize the abuses associated with the fraudulent use of a social security number by restricting its use as an identifier."

The law requires a government agency to submit a written report to the legislature within twenty days after the discovery of a material occurrence of a social security number disclosure by the government agency that is prohibited.

Act 137, SLH 2006, takes effect on July 1, 2007.

**Comptroller's Memorandum No. 2004-23**, issued August 25, 2004, on "Printing of Social Security Numbers on Pay Statements." Effective September 15, 2004, the first five characters of the Social Security Number on employees' pay statements are replaced with pound signs to prevent identity theft.

**Comptroller's Memorandum No. 2005-26**, issued and effective on October 25, 2005, on "Social Security Numbers on Accounting Forms and Documents." Only the last 4 digits of an employee's social security number are to be entered on named accounting forms and documents, including the *Personal Automobile Mileage Voucher* and the *Individual Time Sheet*.

**Comptroller's Memorandum No. 2006-08**, issued on April 7, 2006, on "Shredding Documents Containing Confidential Information." This memorandum says:

"To prevent identity theft, Comptroller Memorandum 2005-26, Social Security Numbers on Accounting Forms and Documents, was issued informing departments that only the last four digits of an employee's Social Security Number (SSN) should be entered on certain accounting forms and documents.

While the abbreviated SSN is being entered, departmental files generally contain the complete SSN and other personal employee information, i.e., residential address, salary, etc. If the employee information is no longer needed and disposal is required, departments should either internally shred such documents or acquire professional services of companies in the business of shredding confidential information."

**Comptroller's Circular No. 2005-01**, issued on June 30, 2005, on "Disposal Requirements for Consumer Information." This circular summarizes a Federal Trade Commission Rule, 16 CFR Part 682, "Disposal of Consumer Report Information and Records." The rule requires persons who maintain or possess consumer information to properly dispose of such information by taking

reasonable measures to protect against unauthorized access to or use of the information in connection with its disposal.

All records custodians should also investigate if there are any additional laws, rules, or procedures that concern the proper maintenance and disposal of their records. No records that are needed for on-going or pending legal actions and /or audits should be destroyed until the legal actions and / or audits are completed, even if they exceed the retention requirements listed in an approved retention schedule.

## *Record Disposal Methods*

### *Paper Records*

1. **In-house shredding.** This process uses machines that cut paper records into tiny pieces that obliterate the data. The records are then bagged or baled for recycling, incineration, or burial at a landfill. When deciding on what type of shredder to purchase, you should consider:
  - **the level of security required.** Strip-cut shredders cut paper into strips of widths from 3/8" to 1/16." Cross-cut shredders cut paper into much smaller pieces and are suited for the disposal of confidential papers. Cross-cut shredders are generally slower and more expensive than strip-cut shredders. Manufacturers may rate their shredders by security levels. *Security level 1* shredders are for general internal documents. *Security level 2* is for shredding of sensitive internal documents (size of pieces: cross-cut 1/8-inch; strip-cut 1/4-inch). *Security level 3* is for shredding of confidential documents (size of pieces: cross-cut 1/8-inch x 1 1/8-inch; strip-cut 1/16-inch). *Security level 4* is for shredding of secret documents (size of pieces: cross-cut 1/16-inch x 5/8-inch). *Security level 5* is for top-secret shredding (size of pieces: cross-cut 1/32-inch x 1/2-inch) and *Security level 6* is the highest security (size of pieces: cross-cut 1 mm x 5mm).
  - **the amount of paper to be shredded daily.** Shredders vary in speed and shredding capacity. *Personal shredders*, which are manufactured as either strip-cut or cross-cut shredders, are the slowest and cheapest shredders with the smallest shredding capacity. *Office shredders* are faster (e.g., speed: 24 – 30 ft. / minute) and have larger sheet capacities (e.g., range up to approximately 27 sheets) and may be able to cut staples and paper clips. *Department shredders / heavy duty shredders* can shred up to 60 sheets of paper at a time and between 2,000 and 12,000 sheets per day. As an example, MBM Corporation's *Destroyit*



4004 strip-cut shredder, with a list price of \$5,699, cuts sheets to 1/4" pieces with a shredding capacity of 50-55 sheets and a shredding speed of 30 – 60 feet / minute. The *Destroyit 4004* cross-cut shredder, with a list price of \$6,699, cuts sheets to pieces of 3/16" x 2 3/8" with a shredding capacity of 35 – 40 sheets and a shredding speed of 24 – 48 feet / minute. *High capacity / industrial shredders* are high-volume shredders that may be capable of shredding paper, credit cards, CD's, videotapes, 3-ring binders and hardbound files.

- **the size and types of papers to be shredded.** Personal shredders are generally designed for letter-sized and legal-sized papers while more heavy duty shredders may be able to shred larger and thicker documents (e.g., newspapers, phone books, CDs).
- **the space available for the shredder.** Shredders can be large and heavy and may be noisy.
- **and other shredding costs.** Other costs include labor for the shredding and removal of shredded materials, plastic bags used to contain shredded materials, machine maintenance expenses (e.g., lubricating oil, repair expense), and the cost of office space used for the shredding operation.



**Taifun Boss Industrial Paper Shredder**

**Advantages:** The agency controls who destroys the records, where the records are destroyed, and when the records are destroyed. Agency personnel can document disposals.

Disadvantages: In-house shredding is expensive because most personal and office shredders are small and are only capable of destroying a few sheets of paper at one time. The disposal preparations may involve removing staples, clips, and binders. Using office staff to operate the shredder may remove them from other duties for long periods. Shredders and disintegrators can be noisy and may interrupt normal activities. The shredded materials must be removed for incineration, recycling or burial at a landfill. There is no outside verification of destruction. In-house destruction allows for the possibility that criminal / unethical employees or insiders who know the value of the information may compromise the disposal process (e.g., theft of information) and cause damage to the organization.

**2. Commercial shredding / disintegration** - A private company is hired to shred / disintegrate records. The commercial shredding company takes the paper to an off-site location for shredding / disintegration or performs the shredding at or near to the customer's worksite. The shredded material is usually baled for recycling. This service is most appropriate when there is a large volume of confidential records to be destroyed or if the agency's confidential records must be regularly destroyed, such as weekly or monthly.

Advantages: No staff time is used to shred / disintegrate the paper records. The confidentiality of the information is protected. Vendors may provide security containers. Regular removal dates can be scheduled. The shredding company normally issues a "Certificate of Destruction" stating when and how the records were destroyed. Reputable companies are bonded and are willing to have employees from contracting activity witness the shredding / disintegration. Vendors may provide fixed prices for easy budgeting or quoted prices for known costs in advance.

Disadvantages: Only a few companies perform commercial shredding / disintegration. The normal charge includes removal, confidential shredding including issuance of a "Certificate of Destruction," baling, and shipping of the materials to an out-of-state paper mill. The cost of shredding may be lessened if the shredded paper is sold as recycled paper.

3. **Incineration** - Burning destroys the data. On Oahu, the H-Power garbage-to-energy Plant in the Campbell Industrial Park incinerates paper records. Once the materials are dumped at the H-Power Plant, the normal turn-around time for the incineration of materials is 24 hours. This method is appropriate for the disposal of large volumes of records, especially records with a total weight of one ton or more. Incineration is economical when large quantities of records become eligible for disposal at the same time, such as at the end of a fiscal year or a calendar year. More information about Oahu's H-Power plant is posted on the H-Power website

(<http://www.honoluluhpower.com/>) and the City & County of Honolulu's recycling web page "How the City manages Waste"

([http://envyhonolulu.org/solid\\_waste/archive/How\\_our\\_City\\_manages\\_our\\_waste.html-hpower](http://envyhonolulu.org/solid_waste/archive/How_our_City_manages_our_waste.html-hpower)).

**Advantages:** No staff time is used to shred / disintegrate the paper records. Once records are dumped at the H-Power Plant, the public has no further access to the records. The H-Power Plant can accept truckloads of records at one time. The per-pound disposal charge at the H-Power plant may be lower than a commercial shredder's charge.

**Disadvantages:** The H-Power plant does not issue a "Certificate of Destruction" and does not allow non-employees to view the actual disposal. Unless the volume of records is large, disposal at the H-Power plant may be uneconomical. The costs include: a vehicle and labor to securely transport the records to the H-Power plant, a per-ton tipping fee, and a disposal surcharge. Only companies with established commercial accounts with the C&C of Honolulu's Department of Public Works, Division of Refuse Collection and Disposal are allowed to destroy materials at the H-Power Plant. The H-Power Plant closes for weeks at-a-time for maintenance and at random times for emergency repairs. In the past, when the H-Power Plant closed, waste materials to be incinerated were diverted for burial at the landfill. An agency that hires a trucking firm to dispose of its records at H-Power should specify in its written procurement specifications that the records must be destroyed at H-Power and not diverted to the landfill. The trucking company should be required to provide written documentation that the records were taken to the H-Power Plant.

*H-Power Charges as of January 2005*

- Per-ton disposal charge is \$81.00
- Minimum disposal charge is \$25.25
- There is a 12% recycling surcharge added to all disposal charges (approx. \$9.72 / ton).
- State surcharge of \$0.35 per ton

**4. Burial at Landfill** - Paper is buried at a sanitary landfill such as the City and County of Honolulu's Waimanalo Gulch Landfill in Kapolei. This disposal method is only appropriate for non-confidential records.

Advantages: No staff time is needed to shred / disintegrate the records. Landfills are open throughout the State. On Oahu, the disposal costs are comparable to incineration.

Disadvantages: The process is not as secure as other methods. It is possible for unauthorized individuals to uncover paper records at the landfill. Burial at landfills is as expensive as incineration. Landfill operators do not issue "Certificates of Destruction."

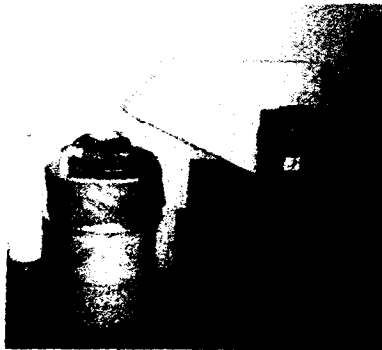
**5. Recycling without prior shredding** - Paper records are taken to a commercial recycler for disposal. Paper is sorted by color and then baled for shipment to an out-of-state paper mill. This method should be limited to non-confidential information.

Advantages: No staff time is needed to shred / disintegrate the paper records. Recycling helps society by conserving natural resources. Paper recyclers may pay for the recycled paper.

Disadvantages: Since the paper is not shredded, the confidentiality of the information is not protected. Most recyclers request that all paper be sorted by color prior to pick-up. There may be a pick-up charge.

*Microforms (microfilm reels, microfiche, aperture cards, etc.)*

1. **Disintegration** - The disintegrator cuts microfilm and paper into minute pieces. The pieces are then bagged and incinerated.



**Whitaker Model 96 Disintegrator**

Advantages: The record's confidentiality is protected. The film is effectively destroyed.

Disadvantages: Since disintegrators contain fast-spinning blades to cut the film, personnel must be trained to safely operate this equipment. Disintegrators are noisy. Protective eye wear and earplugs should be used when operating a disintegrator. It may be difficult to locate commercial vendors who disintegrate microfilm. Paper shredders cannot be used to destroy microfilm.

2. **Incineration** - This method involves taking microfilm directly to an incinerator such as the H-Power Plant for destruction.

Advantages: Incineration efficiently destroys microfilm. The record's confidentiality is protected.

Disadvantages: H-Power normally does not permit non-employees to witness the actual incineration of records. All H-Power fees and customer requirements that apply to the disposal of paper records will also apply to the disposal of microforms.

### *Electronic media*

1. **Demagnetization** - Information can be effectively erased from magnetic media and magneto-optical media, such as magnetic tape and computer diskettes, through demagnetization.

Advantages: It is an effective method to erase data from magnetic media.

Disadvantages: The process eliminates all data from the magnetic media. If a diskette contains a mix of data eligible and ineligible for disposal, the information to be retained must be copied to another diskette or tape. Special equipment, called a degausser, is needed to demagnetize the media.

2. **Shredding / Cutting / breaking the medium** - Intentionally burning, cutting, breaking, and smashing the magnetic or optical medium and then burning or burying it is another method of disposal.

Advantage: Since electronic records are hardware and software dependent, destroying the recording medium makes it very difficult for anyone to recover data. There are machines that shred compact disks (cds) and punch tapes (key tapes). Private paper shredding companies may also be capable of destroying magnetic media (including hard drives) and optical media.

Disadvantage: All records not eligible for disposal must be copied to another medium.

Other processes that attempt to destroy electronic records may make it difficult to recover information, but do not totally prevent the recovery of electronic records. Deleted files can be recovered. Sometimes information from disks that were "re-formatted" can be recovered. Also, replacing data in a file may not prevent the recovery of the old information.

For more information about record disposal methods, call the Records Management Branch at 831-6770.

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