

STATE OF HAWAII



General Records Schedules

Department of Accounting and General Services

Archives Division

2002

Revised through May 2006

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

Table of Contents

Introduction to the General Records Schedules

Schedule 1 Administrative Records

- 1.1 Committee and conference files
- 1.2 Official correspondence
- 1.3 General (routine) correspondence
- 1.4 Duplicate files of correspondence
- 1.5 Hawaii Administrative Rules
- 1.6 Official memoranda and circulars
- 1.7 Official directives, manuals & handbooks
- 1.8 Attorney General Opinions
- 1.9 Risk management files
- 1.10 Release of liability forms
- 1.11 Administrative Rules: Hearing records
- 1.12 Legislative files
- 1.13 Public relations files
- 1.14 Organizational files
- 1.15 Daily, weekly, monthly, and other periodic reports submitted for tabulation purposes
- 1.16 Schedules of daily activities
- 1.17 Formal requests for Government information
- 1.18 Mail control records
- 1.19 Mailing lists, rosters, etc. compiled by agency
- 1.20 Fax cover sheets, fax confirmation sheets, and routine messages
- 1.21 Finding aids: Indexes, lists, registers and other reference guides
- 1.22 Project working papers
- 1.23 Administrative databases
- 1.24 Electronic spreadsheets
- 1.25 Word processing files
- 1.26 Preliminary drafts of letters, memoranda, reports, worksheets, and internal notes
- 1.27 Audio recordings of meetings made exclusively for note-taking
- 1.28 Work order requests for building repair & maintenance
- 1.29 Computer Hardware or Software Request
- 1.30 Telecom Request

Schedule 2 Budget Planning Records

- 2.1 Budget development records
- 2.2 Budget execution records
- 2.3 Grant records

Schedule 3 Accounting Records

Section A Collections & Deposits

- 3.A-1 Treasury Deposit Receipts
- 3.A-2 Estimated Receipts Input
- 3.A-3 Cash receipts
- 3.A-4 Sales journal
- 3.A-5 Accounts receivable ledgers
- 3.A-6 Bill for Collection
- 3.A-7 Cash overage / shortage
- 3.A-8 Bank statements and related records
- 3.A-9 Application for Investments

Section B Appropriations & Allotments

3.B-1 Appropriation and budgetary allocation forms

Section C Expenditures

- 3.C-1 Purchase of services (Contracts)
- 3.C-2 Equipment maintenance agreement
- 3.C-3 Encumbrance forms and related records
- 3.C-4 Summary Warrant Vouchers
- 3.C-5 Warrant / Checks issued in lieu of warrants: Correction records
- 3.C-6 Assignment of money by party to whom State is directly indebted
- 3.C-7 Petty cash records
- 3.C-8 Travel approvals and statements
- 3.C-9 Automobile: Travel records

Section D Accounting Reports

- 3.D-1 Budget management reports
- 3.D-2 Appropriations and allotments reports
- 3.D-3 Appropriation and expenditure reports
- 3.D-4 Accounting system: Data entry / input forms
- 3.D-5 Accounting system: Batching documents and related documents
- 3.D-6 Journal Vouchers
- 3.D-7 Universal Input form
- 3.D-8 Agency Internal Journal Entry
- 3.D-9 General ledgers (noncomputerized)
- 3.D-10 Audit reports
- 3.D-11 Certificates of Destruction of Bonds and Interest Coupons
- 3.D-12 Accounts for Securities Held in Safekeeping after Return
- 3.D-13 Capital Improvement Projects: Appropriations & expenditure reports

Schedule 4 Accounting: Payroll Records

- 4.1 Payroll registers
- 4.2 Payroll Change Schedule
- 4.3 Payroll Expenditure Distribution Summary Sheet
- 4.4 Notification of Personnel Action / Employee Personnel Action Report
- 4.5 Notification of Temporary Assignment
- 4.6 Federal & State Withholding Exemptions
- 4.7 Advance Payment of Earned Income Credit
- 4.8 Statement of fees & benefits: Non-employee
- 4.9 Listing of W-2 & HW-2 recipients
- 4.10 Payroll assignments
- 4.11 Time sheets
- 4.12 Premium pay records
- 4.13 Payroll adjustment forms
- 4.14 Stop payment for payroll
- 4.15 Daily cycle reports
- 4.16 Payroll Transaction Register
- 4.17 Payroll Labor Distribution
- 4.18 Payroll Expenditure Distribution
- 4.19 Expenditure Report for Personnel Services
- 4.20 Request for Taxpayer Identification Number and Certification Form (IRS Form W-9)

Schedule 5 Personnel Records

- 5.1 Class specifications
- 5.2 Position descriptions
- 5.3 Classification & pricing appeal records
- 5.4 Job announcements
- 5.5 Application for Civil Service position
- 5.6 Application Data Survey Form (ADSF)
- 5.7 Certification of Eligibles
- 5.8 List of direct hire candidates
- 5.9 Notification of direct hire appointment
- 5.10 Employee selection records: Civil Service employee
- 5.11 Request for criminal history clearance
- 5.12 Employment eligibility verification
- 5.13 Notification of Personnel Action / Employee Personnel Action Report
- 5.14 Request for appointment approval
- 5.15 Official personnel folder
- 5.16 OPF for transferred employee
- 5.17 Supervisor's informational personnel file
- 5.18 Employee Performance Appraisal
- 5.19 Work schedules
- 5.20 Application for Leave of Absence
- 5.21 Attendance & Leave Record Card
- 5.22 Application for Transfer of Vacation & Sick Leave
- 5.23 Leave sharing program records
- 5.24 Notification of Temporary Assignment
- 5.25 Grievance files (except EEO complaints)
- 5.26 Discrimination files (EE complaints)
- 5.27 Medical and insurance benefit enrollment forms
- 5.28 Premium Conversion Plan forms
- 5.29 Request for approval of Out-Service Training
- 5.30 DHRD sponsored classes registration forms
- 5.31 OSHA forms
- 5.32 Workers' Compensation records
- 5.33 Temporary Disability Insurance case records
- 5.34 Records relating to incentive and service awards programs
- 5.35 Employee records relating to exposure to toxic substances and harmful agents
- 5.36 Alcohol and drug testing records
- 5.37 Application for Exempt Employment

Schedule 6 Procurement and Property Management Records

- 6.1 Procurement files
- 6.2 Price list waivers
- 6.3 Public notice for professional services
- 6.4 Purchase of Health & Human Services: Procurement files
- 6.5 Purchase of Health & Human Services: Registration statement of Health and Human Services provider responsibility – applicant deemed not qualified
- 6.6 Property inventory reports
- 6.7 Detail Inventory of Property
- 6.8 Valuation of real property documents
- 6.9 Inventory Change Register
- 6.10 Detail inventory reports
- 6.11 Maintenance record
- 6.12 Forklift safety inspection reports

Schedule 7 Records Management

- 7.1 General Records Schedules
- 7.2 Request for Record Destruction & Records Retention/Disposition Schedule
- 7.3 Records Transfer/Storage List
- 7.4 Report of Record Destruction
- 7.5 Notification for Records Destruction
- 7.6 Records involved in receipt and/or transfer of historical records

Schedule 8 Public Works Construction Project Files

- 8.1 Public Works construction files
- 8.2 Final construction drawings, plans, and specifications
- 8.3 Leasing of private office space records
- 8.4 Records on self-evaluation of physical facilities, as required under ADA of 1990

Schedule 9 Security & Protective Services Records

- 9.1 Security log
- 9.2 Visitor control files
- 9.3 Security incident / Violation reports
- 9.4 Credential files
- 9.5 Key accountability files

Schedule 10 Health Care Records

- 10.1 Medical records
- 10.2 Dental patient records

Schedule 11 Electronic Records

- 11.1 Input records / Source documents
- 11.2 Security backup file
- 11.3 Documentation
- 11.4 Indexes for electronic records
- 11.5 Special purpose programs
- 11.6 Files / Records related to creation, use, and maintenance of computer systems, applications, or electronic records
- 11.7 Electronic mail records

Appendix A Federal Agencies' Grants Management Common Rule

Appendix B Index to Common Forms

Appendix C Subject Index

**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 26th 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>
1.1 Committee and Conference Files		
<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>
1.2 Official Correspondence		
<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>
1.3 General (Routine) Correspondence		
<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>
1.3 General (Routine) Correspondence (continued)		
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.
1.4 Duplicate Files of Correspondence (such as reading files, reference files, information files, day files, suspense files, etc.)	Operating Department	Retention: Non-permanent. Disposition: Destroy when not administratively useful.
1.5 Hawaii Administrative Rules 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.
1.6 Official Memoranda & Circulars 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.

**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>
1.7 Official Directives, Manuals & Handbooks		
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.
1.8 Attorney General Opinions	Attorney General	Retention: Permanent. Disposition: Retain in office.
	Other Agencies	Retention: Non-permanent. Disposition: Destroy when not administratively useful.
1.9 Risk Management Files	Operating Department – Fiscal	Retention: 5 years after close of fiscal year. Disposition: Destroy after cited retention.
Records such as accident reporting and claim forms (e.g., RMT, RML-001, RMP-001, RMA-001, or equivalent forms); Liability Claims Reports; Property Loss Reports; automobile inventory reports; and insurance exposure surveys.	DAGS ASO Risk Management	Retention: 5 years after case closure. Disposition: Destroy after cited retention.
1.10 Release of Liability Forms	Operating Department	Retention: 2 years from close of record (i.e., end of activity / event). Disposition: Destroy after cited retention.
Records which absolves the agency from responsibility for any possible injury to a non-employee (e.g., student liability waivers).		
1.11 Administrative Rules: Hearing Records	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.
Records include public notices, agendas, testimony, etc.		

**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>
<p>1.12 Legislative Files</p> <p>Reports to Legislature and Legislative testimony (including information pertaining to operating, biennium and supplemental budget requests).</p>	Issuing Agency	<p>Retention: 6 years after close of fiscal biennium to which records pertain.</p> <p>Disposition: Destroy after cited retention.</p>
	Budget & Finance (BPPM)	<p>Retention: 6 years after close of fiscal biennium to which records pertain.</p> <p>Disposition: Destroy after cited retention.</p>
	Legislature	<p>Retention: Permanent.</p> <p>Disposition: Transfer one copy to State Archives at the close of the Legislative session.</p>
<p>1.13 Public Relations Files</p> <p>a. Speeches, addresses, and comments.</p> <p>Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies.</p> <p>b. News releases.</p> <p>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.</p> <p>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.</p>	Issuing Agency	<p>Retention: Permanent.</p> <p>Disposition: Contact State Archives when 10 years old or upon closure of program.</p>
	Issuing Agency	<p>Retention: Permanent.</p> <p>Disposition: Contact State Archives when 10 years old or upon closure of program.</p>
	Operating Department	<p>Retention: Permanent.</p> <p>Disposition: Contact State Archives for historical appraisal. Transfer to State Archives if appraised as historical, otherwise destroy when not administratively useful.</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>
<p>1.14 Organizational Files</p> <p>Organizational charts, functional statements and related supporting documents (may include reorganization proposals).</p>	Operating Department – ASO	Retention: 6 years after superseded. Disposition: Destroy after cited retention.
	Budget & Finance (BPPM)	Retention: 6 years. Disposition: Destroy after cited retention.
	DHRD	Retention: Non-permanent. Disposition: Destroy when superseded.
	Lt. Governor	Retention: Permanent. Disposition: Transfer to State Archives when superseded.
<p>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).</p>	Operating Department	Retention: 1 year after tabulation. Disposition: Destroy after cited retention.
<p>1.16 Schedules of Daily Activities</p> <p>Calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls, trips, visits and other activities of State employees.</p> <p>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).</p> <p>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.</p> <p>c. Routine materials, containing no substantive information, regarding daily activities.</p>	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.
	Operating Department	Retention: 2 years. Disposition: Destroy after cited retention.
	Operating Department	Retention: 1 year or when no longer needed for administrative purposes, whichever is shorter. Disposition: Destroy after cited retention.
<p>1.17 Formal Requests for Government Information</p> <p>Requests to inspect and/or duplicate government records, as permitted by Part II of Chapter 92F, HRS.</p>	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>
<p>1.18 Mail Control Records</p> <p>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.</p>	Operating Department	<p>Retention: 1 year.</p> <p>Disposition: Destroy after cited retention.</p>
<p>1.19 Mailing lists, rosters, etc., compiled by the agency.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Destroy when superseded or discontinued.</p>
<p>1.20 Fax cover sheets, fax confirmation sheets, and routine messages</p> <p>This series includes:</p> <ul style="list-style-type: none"> • Facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to transmitted material. • Fax confirmation sheets. • Routine messages (i.e., telephone, voice mail, e-mail) that do not contain substantive official business information. 	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Destroy when not administratively useful.</p>
<p>1.21 Finding Aids: Indexes, lists, registers, and other reference guides created for efficient use of records.</p>	Operating Department	<p>Retention: Follow retention authorization for records series for which the finding aid was created.</p> <p>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.</p>
<p>1.22 Project Working Papers</p> <p>Project background records, such as studies, analyses, notes, and preliminary or interim reports.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Destroy 6 months after final action on project report or 3 years after completion of report if no action is taken.</p>
<p>1.23 Administrative Databases</p> <p>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.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Delete information in the database when no longer needed.</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>
<p>1.28 Work Order Requests for Building Repair & Maintenance</p> <p>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.</p>	<p>Operating Department – Agency requesting repair</p> <p>Operating Department – Agency performing repair (e.g., DAGS Central Services Division)</p>	<p>Retention: 6 months after requested job is completed.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 1 year after the end of the fiscal year the job is completed.</p> <p>Disposition: Destroy after cited retention.</p> <p>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.</p>
<p>1.29 Computer Hardware or Software Request</p> <p>(ICSD T-205 or equivalent).</p> <p>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 of 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).</p> <p>Approved by Comptroller through SA-1 dated 5/13/05.</p>	<p>Operating Department – Requesting agency</p>	<p>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.</p> <p>Disposition: Destroy after cited retention.</p>
<p>1.30 Telecom Request</p> <p>(ICSD-001 or equivalent).</p> <p>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.</p> <p>Approved by Comptroller through SA-1 dated 5/13/05.</p>	<p>Operating Department – Requesting agency</p>	<p>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.</p> <p>Disposition: Destroy after cited retention.</p>

**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>
<p>2.1 Budget Development Records</p> <p>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.</p>	<p>Operating Department - Fiscal section responsible for submitting Department's budget plans.</p> <p>Budget & Finance - (BPPM)</p>	<p>Retention: 6 years after close of fiscal biennium to which records pertain.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 4 years after close of fiscal biennium to which records pertain.</p> <p>Disposition: Destroy after cited retention.</p>
<p>2.2 Budget Execution Records</p> <p>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.</p>	<p>Operating Department - Fiscal section responsible for submitting Department's budget plans.</p> <p>Budget & Finance - (BPPM)</p>	<p>Retention: 6 years after close of fiscal biennium to which records pertain.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 4 years after close of fiscal biennium to which records pertain.</p> <p>Disposition: Destroy after cited retention.</p>
<p>2.3 Grant Records</p> <p>Records regarding grants received by agencies and grants issued by agencies. Records include applications, guidelines, correspondence, reports, etc.</p> <p>a. Grant Application Files - applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant proposals.</p> <p>(1) Unsuccessful (rejected or withdrawn) applications.</p> <p>(2) Accepted applications.</p>	<p>Operating Department</p> <p>Operating Department</p>	<p>Retention: 3 years after rejection or withdrawal.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Non-permanent.</p> <p>Disposition: Dispose of with related grant case files.</p>

**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>
<p>2.3 Grant Records (continued)</p> <p>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.</p> <p>*The Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; Final Rule 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.</p> <p>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.</p>	<p>Operating Department</p>	<p>Retention: Federal grants - comply with applicable Federal regulations.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Other grants - If audited, 3 years after audit; otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p>

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>
3.A-1 Treasury Deposit Receipts (SAF B-13, SAF B-14, or equivalent.)	Office / 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.
3.A-2 Estimated Receipts Input (SAF B-31 or equivalent.)	Office / 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.
3.A-3 Cash Receipts (SAF B-24 or equivalent.)	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years. Disposition: Destroy after cited retention.
3.A-4 Sales Journal	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years. Disposition: Destroy after cited retention.
3.A-5 Accounts Receivable Ledgers	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years. Disposition: Destroy after cited retention.
3.A-6 Bill for Collection (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
3.A-7 Cash Overage / Shortage	Office / 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 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>
<p>3.A-8 Bank Statements and Related Records</p> <p>This includes: Bank Deposit Slips / Receipts; Check Registers; Passbooks; and Cancelled Checks*</p> <p>(*Does not apply to Checks Issued in Lieu of Warrants under Section 40-51.5, HRS.)</p>	Office / Operating Department - Fiscal	Retention: 3 years if audited, otherwise 6 years. Disposition: Destroy after cited retention.
<p>3.A-9 Application for Investments</p> <p>(SAF A-30 or equivalent.)</p> <p>Used for investment purchases such as Time Certificate of Deposit, Repurchasing Agreement, Treasury Security, etc.</p>	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.
<p>3.B-1 Appropriation and Budgetary Allocation Forms</p> <p>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).</p> <p>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.</p>	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.
<p>3.C-1 Purchase of Services (e.g., Contracts)</p>	Operating Department - Fiscal	Retention: 6 years after final payment. Disposition: Destroy after cited retention.
<p>3.C-2 Equipment Maintenance Agreement</p>	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.

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>
3.C-3 Encumbrance Forms and Related Records		
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.
3.C-4 Summary Warrant Voucher - Manual & Computer (Includes Supporting Documents) (SAF C-08 or equivalent; MBP 461 and MBP 462 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.

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>
<p>3.C-5 Warrant / Check Issued in Lieu of Warrants: Correction Records</p> <p>This applies to Warrants, authorized by Section 40-51, HRS, and Checks Issued in Lieu of Warrants, authorized by Section 40-51.5, HRS.</p> <p>a. Affidavit Relative to Wrong Warrant / Check Payment.</p> <p>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).</p> <p>c. Checks Cancelled (SAF C-53 or equivalent).</p> <p>d. Cashed Checks of Legislature (SAF C-58 or equivalent).</p>	<p>B&F / DAGS Accounting</p> <p>Operating Department - Fiscal</p> <p>DAGS Accounting</p> <p>Operating Department - Fiscal</p> <p>DAGS Accounting</p> <p>B&F</p>	<p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>3.C-6 Assignment of Money By Party to Whom State is Directly Indebted (Pursuant to Section 40-58, HRS.)</p> <p>(SAF Form C-30 or equivalent.)</p>	<p>Operating Department - Fiscal</p> <p>DAGS Accounting</p>	<p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>

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>
3.C-7 Petty Cash Records		
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.
3.C-8 Travel Approvals and Statements		
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.

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>
3.C-8 Travel Approvals and Statements (continued)		
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.
3.C-9 Automobile: Travel Records		
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.

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>
<p>3.D-1 Budget Management Reports</p> <p>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).</p> <p>NOTE: These reports are not generated and distributed on a regular basis. DAGS Accounting generates these reports only upon request.</p>	<p>Operating Department - Fiscal</p>	<p>Retention: Non-permanent</p> <p>Disposition: Destroy when not administratively useful.</p>
<p>3.D-2 Appropriations and Allotments Reports</p> <p>The appropriations and allotments reports include:</p> <p>a. Source of Receipt Ledger (MBP 452 or equivalent).</p> <p>Month-End</p>	<p>Operating Department - Fiscal</p> <p>DAGS Accounting</p>	<p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>

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>
3.D-2 Appropriations and Allotments Reports (continued)		
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>
3.D-3 Appropriation & Expenditure Reports		
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;
C – EXPENDITURES; D – ACCOUNTING REPORTS
GENERAL RECORDS SCHEDULE NO. 3, 2002

<i>Item Description</i>	<i>Location</i>	<i>Retention and Disposition</i>
3.D-3 Appropriation & Expenditure Reports (continued)		
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.
3.D-4 Accounting System: Data Entry / Input Forms	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.		

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>
<p>3.D-5 Accounting System: Batching Documents and Related Documents</p> <p>a. Batch Slips (SAF A-47, Batch Slip, or equivalent documents).</p> <p>b. Control Logs</p> <p>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.</p>	<p>Operating Department / DAGS Accounting</p> <p>Operating Department / DAGS Accounting</p>	<p>Retention: Non-permanent.</p> <p>Disposition: Retain with related documents.</p> <p>Retention: Non-permanent.</p> <p>Disposition: Destroy when not administratively useful.</p>
<p>3.D-6 Journal Voucher and supporting documents</p> <p>(SAF A-27 or equivalent).</p>	<p>Operating Department - Fiscal</p> <p>DAGS Accounting</p>	<p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>3.D-7 Universal Input Form</p> <p>(SAF A-28 or equivalent).</p>	<p>Operating Department - Fiscal</p> <p>DAGS Accounting</p>	<p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>3.D-8 Agency Internal Journal Entry and supporting documents</p> <p>(SAF A-20 or equivalent).</p>	<p>Office / Operating Department - Fiscal</p>	<p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p>

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>
3.D-9 General Ledgers (Noncomputerized)	Operating Department - Fiscal DAGS Accounting	Retention: 3 years if audited, otherwise 6 years. Disposition: Destroy after cited retention. Retention: Permanent. Disposition: May microfilm and destroy originals after microfilming.
3.D-10 Audit Reports	Operating Department - Fiscal DAGS Audit	Retention: 6 years. Disposition: Destroy after cited retention. Retention: Permanent. Disposition: Transfer to State Archives when infrequently referenced.
3.D-11 Certificates of Destruction of Bonds and Interest Coupons	B&F / DAGS Audit	Retention: 6 years. Disposition: Destroy after cited retention.
3.D-12 Accounts for Securities Held in Safekeeping after Return	Operating Department – Fiscal B&F	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 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>
<p>3.D-13 Capital Improvement Projects (CIP): Appropriation & Expenditure Reports</p> <p>These monthly, quarterly and annual reports are generated by DAGS Accounting to provide information on financial status of Capital Improvement Projects.</p> <p>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.</p> <p>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.</p>		
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>
<p>4.1 Payroll Registers</p> <p>Record series includes:</p> <p>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).</p>	<p>Operating Department – Fiscal</p> <p>DAGS Accounting</p>	<p>Retention: 1 year.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>4.2 Payroll Change Schedule</p> <p>(SAF D-94 or equivalent).</p>	<p>Operating Department – Fiscal</p> <p>DAGS Accounting</p>	<p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>4.3 Payroll Expenditure Distribution Summary Sheet</p> <p>(PRE 323 or equivalent).</p>	<p>Operating Department – Fiscal</p> <p>DAGS Accounting</p>	<p>Retention: 3 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>4.4 Notification of Personnel Action/Employee Personnel Action Report</p> <p>(DPS-5, SF-5A, SF-5B, or equivalent).</p>	<p>Operating Department – Personnel</p> <p>ERS</p> <p>DAGS Accounting</p>	<p>Retention and Disposition: See GRS 5 Item 5.13.</p> <p>Retention: Retain until input verified.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Retain at agency for 2 years, then transfer to State Records Center. Destroy after cited retention.</p>
<p>4.5 Notification of Temporary Assignment</p> <p>(HRD-10 or equivalent).</p>	<p>Operating Department – Personnel</p> <p>DAGS Accounting</p>	<p>Retention: 30 years after termination of employment.</p> <p>Disposition: Retain in employee Official Personnel Folder (OPF).</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>

**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>
4.12 Premium Pay Records 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.
4.13 Payroll Adjustment Forms 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.
4.14 Stop Payment for Payroll (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.
4.15 Daily Cycle Reports	Operating Department - Fiscal / DAGS Accounting	Retention: 30 days after close of payroll period covered. Disposition: Destroy after cited retention.
4.16 Payroll Transaction Register	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>
4.17 Payroll Labor Distribution (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.
4.18 Payroll Expenditure Distribution (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.
4.19 Expenditure Report for Personnel Services (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.
4.20 Request for Taxpayer Identification Number and Certification Form (IRS Form W-9 or equivalent).	Operating Department	Retention: 4 years. Disposition: Destroy after cited retention.

Approved by Comptroller through SA-1 dated 5/2/06 Item 1.

**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>5.1 Class Specifications</p> <p>Standards determining title, series and grade based on duties, responsibilities & qualifications.</p>	<p>Operating Department - Personnel</p> <p>DHRD</p>	<p>Retention: Non-permanent.</p> <p>Disposition: Destroy when superseded or abolished.</p> <p>Retention: Permanent.</p> <p>Disposition: Retain in office.</p>
<p>5.2 Position Descriptions</p> <p>Describes authorized duties and responsibilities for an approved position and shows classification action taken.</p>	<p>Operating Department - Personnel</p> <p>DHRD</p>	<p>Retention: 1 year after position description is superseded or position is abolished.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Maintain current & two superseded + 6 years.</p> <p>Disposition: Destroy fourth oldest as long as previous position description is retained for 6 years.</p>
<p>5.3 Classification & Pricing Appeal Records</p>	<p>Operating Department - Personnel</p> <p>DHRD</p>	<p>Retention: 2 years after posting to permanent record.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Permanent.</p> <p>Disposition: Retain in office.</p>
<p>5.4 Job Announcements</p> <p>Includes qualifications and duties for positions in State service open for hire or to create/supplement a register</p>	<p>Operating Department - Personnel / DHRD</p>	<p>Retention: 2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later.</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.5 Application for Civil Service Position</p> <p>(HRD 315 or equivalent).</p> <p>Contains original application for employment and may include resumes, transcripts, professional licenses, etc.</p> <p>a. If applicant is hired.</p>	<p>Operating Department – Personnel</p>	<p>Retention: 2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later.</p> <p>Disposition: Destroy after cited retention.</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>
5.5 Application for Civil Service Position (continued) 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.
5.6 Application Data Survey Form (ADSF) (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.
5.7 Certification of Eligibles (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.
5.8 List of Direct Hire Candidates (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.
5.9 Notification of Direct Hire Appointment (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.
5.10 Employee Selection Records: Civil Service Employees 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.
5.11 Request for Criminal History Record Clearance	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.

**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>5.12 Employment Eligibility Verification</p> <p>(Form I-9 or equivalent).</p> <p>Required of all employee hired on or after 11/6/86.</p>	Operating Department - Personnel	<p>Retention: 3 years from date of hire or 1 year after termination of employee, whichever is later.</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.13 Notification of Personnel Action / Employee Personnel Action Report</p> <p>(DPS 5 or equivalent) & Supporting Documentation</p> <p>a. Employees in the following types of appointments eligible for membership in the ERS: probationary, permanent, LTA, TAOL, provisional and exempt.</p> <p>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.</p> <p>c. Employees in the following types of appointments: emergency appointments, student helpers /interns; members of boards and commissions, SCET and other non-qualifying types.</p> <p>d. Effective 7-01-02 employees in the following types of non-civil service appointments ineligible for membership in the ERS: temporary and exempt.</p>	<p>Operating Department – Personnel</p> <p>Operating Department - Personnel</p> <p>Operating Department – Personnel</p> <p>Operating Department - Personnel</p>	<p>Retention: 30 years after termination of employment.</p> <p>Disposition: Retain in employee Official Personnel Folder.</p> <p>Retention: 30 years after termination of employment.</p> <p>Disposition: Retain in employee Official Personnel Folder.</p> <p>Retention: 3 years after termination of employment.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 3 years after termination of employment.</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.14 Request for Appointment Approval</p> <p>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.</p> <p>NOTE: HRD 398 and 399 replace forms DPS 300, 301, 302, 370, 300B, 301A, 301B, 301C, 302B, 302C, 320D, and 320E.</p>	Operating Department - Personnel	<p>Retention: 2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later.</p> <p>Disposition: Destroy after cited retention.</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>5.15 Official Personnel Folder (OPF)</p> <p>a. For employee in the following types of appointments eligible for membership in the ERS: probationary, permanent, LTA, TAOL, provisional and exempt.</p> <p>b. Effective 7-01-02 employees in the following Civil Service appointments eligible for membership in the ERS: probation, permanent, temporary and exempt.</p> <p>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).</p> <p>d. Effective 7-01-02 employees in the non-Civil Service appointments ineligible for membership in the ERS: temporary and exempt.</p>	<p>Operating Department - Personnel</p> <p>Operating Department - Personnel</p> <p>Operating Department - Personnel</p> <p>Operating Department - Personnel</p>	<p>Retention: 30 years after termination of employment.</p> <p>Disposition: Retain at agency 3 years after termination; purge; then may transfer to State Records Center for remaining 27 years; destroy.</p> <p>Retention: 30 years after termination of employment.</p> <p>Disposition: Retain at agency 3 years after termination; purge; then may transfer to State Records Center for remaining 27 years; destroy.</p> <p>Retention: 3 years after termination of employment.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 3 years after termination of employment.</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.16 OPF for Transferred Employee</p>	<p>Operating Department - Personnel</p>	<p>Retention: Retain until transferred.</p> <p>Disposition: Forward OPF to gaining Operating Department - Personnel.</p>
<p>5.17 Supervisor's Informational Personnel File & Duplicate OPF Documents</p> <p>May contain same information filed in the departmental OPF. Retained for informational purposes only.</p>	<p>Office</p>	<p>Retention: Non-permanent.</p> <p>Disposition: Review annually; destroy superseded or obsolete documents relating to an individual employee. Destroy entire file upon termination.</p>
<p>5.18 Employee Performance Appraisal</p> <p>Periodic rating of employee's performance.</p>	<p>Operating Department - Personnel</p>	<p>Retention: Retain until employee terminates State employment or retires.</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.19 Work Schedules</p> <p>Records such as Leave sign-up sheets / schedule; Work assignment schedules; Work rotation schedules; or equivalent records.</p>	<p>Office</p>	<p>Retention: 4 years.</p> <p>Disposition: Destroy after cited retention.</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>
5.25 Grievance Files (Except EEO Complaints)	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.
5.26 Discrimination Files (EEO Complaints)	Operating Department - Personnel	Retention: 3 years after case is closed. Disposition: Destroy after cited retention.
5.27 Medical and Insurance Benefits Enrollment Forms and Supporting Documents (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.
5.28 Premium Conversion Plan Forms 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.
5.29 Request for Approval of Out-Service Training (OSTR, Form 411) 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.

**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>
5.32 Workers' Compensation Records		
<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 of 1985</i>. 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 style="text-align: center;">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>	DLIR Disability Compensation Div.	
<p>(1) Subpoenaed Medical Records</p>		<p>Retention: 8 years from last payment of compensation, for injuries occurring 6-12-85 or later.</p> <p style="text-align: center;">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>(2) All other case records</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>
<p>c. DAGS Accounting Division Records</p>	DAGS Accounting	<p>Retention: 6 years after final payment on claim.</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.33 Temporary Disability Insurance Case Records</p> <p>Records maintained in compliance with Chapter 392, <i>HRS</i>.</p>	Operating Dept. - Personnel / DLIR Disability Compensation Division	<p>Retention: 2 years after close of case.</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.34 Records Relating to Incentive and Service Awards Programs (including suggestion awards programs)</p>	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>5.35 Employee Records Relating to Exposure to Toxic Substances and Harmful Agents (e.g., asbestos, blood borne pathogens, etc.)</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>	<p>Operating Department</p>	<p>Retention: Comply with applicable Dept. of Labor and Industrial Relations, Hawaii Occupational Safety and Health Division (HIOSH) Hawaii Administrative Rules (HAR).</p> <p>Disposition: Destroy after cited retention.</p>
<p>5.36 Alcohol and Drug Testing Records</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>Retention Authority: <i>Federal Register</i>, Vol. 65, No. 244, page 795660, 12/19/2000, <i>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>Retention: 5 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 3 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 1 year.</p> <p>Disposition: Destroy after cited retention.</p>

**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>
<p>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</p> <p>Applies to: Form SPO-H-100A; Status Report</p>	<p>Operating Department / State Procurement Office</p>	<p>Retention: 1 year after determination is made that the applicant is not qualified.</p> <p>Disposition: Destroy after cited retention</p>
<p>6.6 Property Inventory Reports</p> <p>These include:</p> <p>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).</p> <p>Approved by Comptroller through SA-1 dated 5/8/06, GRS No. 6, Item 6.6.</p>	<p>Operating Department - Fiscal, Property Management</p> <p>State Procurement Office: Inventory Management Office</p>	<p>Retention: 3 years if audited, otherwise 6 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>6.7 Detail Inventory of Property</p> <p>(MDB 033 or equivalent).</p>	<p>Operating Department - Fiscal, Property Management</p> <p>State Procurement Office: Inventory Management Office</p>	<p>Retention: 3 years.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years.</p> <p>Disposition: Destroy after cited retention.</p>
<p>6.8 Valuation of Real Property Documents</p> <p>Supporting documents verifying the purchased, constructed, estimated or appraised cost of land, land improvements, buildings, building improvements, and infrastructure assets.</p>	<p>Operating Department – Designated Property Custodian</p>	<p>Retention: Life of asset.</p> <p>Disposition: Destroy after asset is disposed of.</p>

**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>
6.9 Inventory Change Register (MDB 042 or equivalent).	Operating Department - Fiscal, Property Management	Retention: 3 years. Disposition: Destroy after cited retention.
6.10 Detail Inventory Reports 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.
6.11 Maintenance Record Records documenting the service and repair of equipment.	Operating Department	Retention: Life of equipment. Disposition: Destroy after the equipment is disposed of.
6.12 Forklift (Lift Truck) Safety Inspection Reports 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>
<p>7.1 General Record Schedules</p>	<p>Departmental Records Officer / Office</p> <p>DAGS Archives</p>	<p>Retention: Non-permanent.</p> <p>Disposition: Destroy when superseded or revised.</p> <p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p>
<p>7.2 Request for Records Destruction & Records Retention/Disposition Schedule</p> <p>(SA-1 or equivalent and supporting documents including Records Inventory Worksheet, ARM 6 or equivalent.).</p>	<p>Office / Departmental Records Officer / Attorney General</p> <p>DAGS Archives</p>	<p>Retention: Non-permanent.</p> <p>Disposition: Retain SA-1 until superseded or revised. Supporting documents may be destroyed when not administratively useful.</p> <p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p>
<p>7.3 Records Transfer/Storage List</p> <p>(ARM 5 or equivalent).</p> <p>Used when transferring records for storage to the DAGS, Archives Division, Records Management Branch, State Records Center.</p>	<p>Departmental Records Officer / Office</p> <p>DAGS Archives</p>	<p>Retention: 3 years after records are destroyed.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p>
<p>7.4 Report of Records Destruction</p> <p>(ARM 7 or equivalent).</p> <p>Used by departments to report records on approved retention/disposition schedules that are destroyed (under agency control).</p>	<p>Departmental Records Officer / Office</p> <p>DAGS Archives</p>	<p>Retention: 3 years after records are destroyed.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p>

**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>
<p>7.5 Notification for Records Destruction</p> <p>(ARM 4 or equivalent).</p> <p>Used by DAGS Archives Division, Records Management Branch to notify agency (record owner) that records are eligible for destruction according to approved retention schedule.</p>	<p>Departmental Records Officer / Office</p> <p>DAGS Archives</p>	<p>Retention: 3 years after records are destroyed.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p>
<p>7.6 Records Involved in Receipt and / or Transfer of Historical Records</p> <p>a. Records Transfer List</p> <p>(SA-6 or equivalent).</p> <p>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.</p> <p>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).</p>	<p>Departmental Records Officer / Office</p> <p>DAGS Archives</p> <p>DAGS Archives</p>	<p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p> <p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p> <p>Retention: Permanent.</p> <p>Disposition: May be microfilmed. Originals may be destroyed after microfilming.</p>

**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>
8.1 Public Works Construction Project Files		
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.
8.2 Final Construction Drawings, Plans, and Specifications		
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.
8.3 Leasing of Private Office Space Records		
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>8.4 Records on self-evaluation of physical facilities, as required under the Americans with Disabilities Act (ADA) of 1990.</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> <ul style="list-style-type: none"> (1) A list of the interested persons consulted; (2) A description of areas examined and any problems identified; and (3) A description of any modifications made. 	<p>Operating Department</p>	<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>
<p>9.1 Security Logs</p> <p>Logs that record information such as periodic facility checks, notations of incidents, and guard assignments.</p>	Operating Department	<p>Retention: 2 years from date.</p> <p>Disposition: Destroy after cited retention.</p>
<p>9.2 Visitor Control Files</p> <p>Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.</p>	Operating Department	<p>Retention: 2 years from date.</p> <p>Disposition: Destroy after cited retention.</p>
<p>9.3 Security Incident / Violation Reports</p> <p>a. Reports from security personnel on routine incidents that do not result in further investigation by agency personnel and / or police.</p> <p>b. Files relating to alleged violations of a sufficiently serious nature that they are referred for further investigation by agency personnel or the police.</p>	Operating Department Operating Department	<p>Retention: 2 years from date.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 years from date or when case, involving use of these records, has been adjudicated and all appeals have been completed.</p> <p>Disposition: Destroy after cited retention.</p>
<p>9.4 Credential Files</p> <p>Identification of credentials and related papers.</p> <p>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.</p> <p>b. Receipts, indexes, listings, and accountable records.</p>	Operating Department Operating Department	<p>Retention: 6 months after credentials are returned to issuing office.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: Non-permanent.</p> <p>Disposition: Destroy after all credentials are accounted for.</p>
<p>9.5 Key Accountability Files</p> <p>Files relating to accountability for keys issued.</p> <p>a. For areas under maximum security.</p> <p>b. For other areas.</p>	Operating Department Operating Department	<p>Retention: 3 years after keys are returned to issuing office.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 6 months after keys are returned to issuing office.</p> <p>Disposition: Destroy after cited retention.</p>

**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>
<p>10.1 Medical Records (as defined by §622-58, HRS)</p> <p>a. Basic Medical Information</p> <p style="padding-left: 20px;">(1) Adults</p> <p style="padding-left: 20px;">(2) Minors</p> <p>b. Non-basic Medical Information</p> <p style="padding-left: 20px;">(1) Adults</p> <p style="padding-left: 20px;">(2) Minors</p> <p>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.”</p> <p>Approved by Comptroller through SA-1 dated 12/6/05, Item 10.1c.</p> <p>NOTE: The maintenance and use of medical records must comply with requirements of the federal Health Insurance Portability and Accountability Act of 1996 (HIPAA).</p>	<p>Operating Department - Medical Care Facility</p>	<p>Retention: 25 years after date of last entry.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 25 years from age of majority.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 7 years after date of last entry.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 7 years from age of majority.</p> <p>Disposition: Destroy after cited retention.</p> <p>Retention: 7 years after creation/generation.</p> <p>Disposition: After cited retention, the record may be presented to the patient or destroyed.</p>
<p>10.2 Dental Patient Records</p>	<p>Operating Department</p>	<p>Retention: 7 years after date of last entry.</p> <p>Disposition: Destroy after cited retention.</p>

**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>
11.1 Input Records / Source Documents		
<p>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).</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>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.</p>
<p>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.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>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.</p>
<p>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.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>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.</p>
11.2 Security Backup File		
<p>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.</p>		
<p>a. File identical to records scheduled for transfer to State Archives</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>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.</p>
<p>b. File identical to records authorized for disposal by the Comptroller.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.</p>

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>
<p>11.3 Documentation</p> <p>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.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or database.</p>
<p>11.4 Indexes for Electronic Records</p> <p>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.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Delete with related records or when no longer needed, whichever is later.</p>
<p>11.5 Special Purpose Programs</p> <p>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.</p>	Operating Department	<p>Retention: Non-permanent.</p> <p>Disposition: Delete when related master file or database has been deleted.</p>
<p>11.6 Files / Records Related to Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.</p> <p>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.</p> <p>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.</p> <p>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.</p>	<p>Operating Department</p> <p>Operating Department</p> <p>Operating Department</p>	<p>Retention: Non-permanent.</p> <p>Disposition: Delete / destroy when no longer needed.</p> <p>Retention: Non-permanent.</p> <p>Disposition: Delete after information has been transferred to the master file and verified.</p> <p>Retention: Non-permanent.</p> <p>Disposition: Delete / destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.</p>

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
Institute of Museum Services	45 CFR Part 1183
ACTION	45 CFR Part 1234
Commission on the Bicentennial of the United States Constitution	45 CFR Part 2015
Department of Transportation	49 CFR Part 18

APPENDIX B: INDEX TO COMMON FORMS

Form & Report Number	Schedule Number	Item Number
AGS-16,17A, 17B, 18, 34	6	6.6
AMD-MP-001, AMD-MP-002	3	3.C-9a
ARM 1, ARM 2, ARM 3	7	7.6b
ARM 4	7	7.5
ARM 5	7	7.3
ARM 6	7	7.2
ARM 7	7	7.4
DPS 5	4 5	4.4 5.13
DPS 7	5	5.21
E-1	5	5.27
Form 410	5	5.30
Form 411	5	5.29
G-1	5	5.20
G-2	5	5.22
HRD 10	4 5	4.5 5.24
HRD 278	5	5.37
HRD 305	5	5.7
HRD 315	5	5.5
HRD 330	5	5.6
HRD 391	5	5.9
HRD 392	5	5.8
HRD 397, 398, 399	5	5.14
HW-2	4	4.9
HW-4	4	4.6
I-9	5	5.12
ICSD-001	1	1.30
ICSD T-205	1	1.29
IRS Form 1096, IRS Form 1099	4	4.8

APPENDIX B: INDEX TO COMMON FORMS

Form & Report Number	Schedule Number	Item Number
IRS W-9	4	4.20
MBP 405	3	3.D-3c
MBP 420	3	3.D-3a
MBP 422, 425	3	3.D-3b
MBP 430	3	3.D-3a
MBP 435, 440, 442, 444, 445	3	3.D-1
MBP 452	3	3.D-2a
MBP 453, 454	3	3.D-2b
MBP 461, 462	3	3.C-4
MBP 470	3	3.D-1
MBP 477	3	3.D-2c
MBP 490	3	3.D-3d
MDB 012, 020	6	6.6
MDB 033	6	6.7
MDB 042	6	6.9
MDB 050, 070, 072	6	6.10
N-1, N-2	5	5.27
OSHA No. 101, 200, 200-S, 300, 300A, 301	5	5.31
PCP-2	5	5.28b
PRD 401	4	4.1
PRE 314	4	4.1
PRE 315	4	4.18
PRE 321	4	4.19
PRE 323	4	4.3
PRW 231	4	4.17
PRW 241	4	4.1
RMA-001, RML-001, RMP-001, RMTC	1	1.9
SA-1	7	7.2

APPENDIX B: INDEX TO COMMON FORMS

Form & Report Number	Schedule Number	Item Number
SAF A-01, SAF A-08, SAF A-15, SAF A-19	3	3.B-1
SAF A-20	3	3.D-8
SAF A-21	3	3.B-1
SAF A-27	3	3.D-6
SAF A-28	3	3.D-7
SAF A-30	3	3.A-9
SAF A-42, SAF A-43, SAF A-44, SAF A-45, SAF A-46	3	3.D-5b
SAF A-47	3	3.D-5a
SAF A-50, SAF A-51, SAF A-52, SAF A-53, SAF A-54, SAF A-55, SAF A-57, SAF A-71	3	3-D-4
SAF B-10	3	3.A-6
SAF B-13, SAF B-14	3	3.A-1
SAF B-24	3	3.A-3
SAF B-31	3	3.A-2
SAF C-02, SAF C-03, SAF C- 04, SAF C-06, SAF C-07	3	3.C-3b
SAF C-08	3	3.C-4
SAF C-12, SAF C-13	3	3.D-4
SAF C-30	3	3.C-6
SAF C-31, SAF C-32	3	3.C-9b
SAF C-33	3	3.C-9c
SAF C-41	3	3.C-3a
SAF C-53	3	3.C-5c
SAF C-58	3	3.C-5d
SAF C-60, SAF C-61, SAF C- 62, SAF C-62, SAF C-63	3	3.C-5b
SAF D-51	4	4.14
SAF D-52, SAF D-55, SAF D-56	4	4.11

APPENDIX B: INDEX TO COMMON FORMS

Form & Report Number	Schedule Number	Item Number
SAF D60, SAF D-62, SAF D-63, SAF D-66	4	4.10
SAF D-67	4 5	4.10 5.28a
SAF D-70, SAF D-71	4	4.13
SAF D-94	4	4.2
SBD-1931	4	4.10
SF-4	5	5.10
SF-5A, SF-5B	4	4.4
SPO Forms 1, 1A, 1B, 2, 3, 7, 7A, 7B, 8, 9, 10, 12, 13, 14, 15, 16, 18, 18A, 20, 24	6	6.1
SPO Forms 5, 5A	6	6.2
SPO Forms 16, 17A, 17B, 19, 26, 34	6	6.2
W-2	4	4.9
W-4	4	4.6
W-5	4	4.7
W-9	4	4.20
WC-1	5	5.31, 5.32

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Accident Reports and Claims	1	1.9
Accounting Records (except Payroll)	Schedule 3	
Accounts Receivable Ledgers	3	3.A-5
Accounts for Securities Held in Safekeeping after Return	3	3.D-12
Administrative Rules: Hearing Records	1	1.11
Administrative Records	Schedule 1	
Administrative Databases	1	1.23
Advance Payment of Earned Income Credit	4	4.7
Affidavit Relative to Wrong Warrant / Check Payment	3	3.C-5
Agency Internal Journal Entry and supporting documents	3	3.D-8
Alcohol and Drug Testing Records	5	5.36
Allotment Advice for CIP and Special Purpose Funds	3	3.B-1
Americans with Disabilities Act of 1990, Records on self-evaluation of physical facilities, as required under the	8	8.4
Application for Exempt Employment	5	5.37
Application for Investments	3	3.A-9
Application for Leave of Absence	5	5.20
Application for Civil Service Position	5	5.5
Application Data Survey Form (ADSF)	5	5.6
Application for Transfer of Vacation & Sick Leave	5	5.22
Appointment books - documenting employee activities	1	1.16
Appointment Approval, Request for	5	5.14
Appropriations and Allotments Reports	3	3.D-2
Appropriation Warrant	3	3.B-1
Appropriation & Expenditure Reports	3	3.D-3
Appropriation and Budgetary Allocation Forms	3	3.B-1
Assignment of Money By Party to Whom State is Directly Indebted	3	3.C-6
Attendance & Leave Record Card	5	5.21

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Attorney General Opinions	1	1.8
Audio Recordings of Meetings Made Exclusively for Note-taking	1	1.27
Audit Reports	3	3.D-10
Authorization to Purchase Outside of State Procurement Office Price List, Request for	6	6.2
Automobile Travel Records	3	3.C-9
Award Records, Incentive and Service	5	5.34
Bank Statements and Related Records	3	3.A-8
Bank Deposit Slips / Receipts	3	3.A-8
Batching Documents and Related Documents, Accounting System	3	3.D-5
Bill for Collection	3	3.A-6
Budget Management Reports	3	3.D-1
Budget Planning Records	Schedule 2	
Budget Execution Records	2	2.2
Budget Development Records	2	2.1
Building Repair - Requests	1	1.28
Calendars - documenting employee activities	1	1.16
Cancelled Checks (for Checks Issued in Lieu of Warrants - see Checks Cancelled)	3	3.A-8
Cash Overage / Shortage	3	3.A-7
Cash Receipts	3	3.A-3
Cashed Checks of Legislature	3	3.C-5
Certificates of Destruction of Bonds and Interest Coupons	3	3.D-11
Certification for Compensation	4	4.12
Certification of Eligibles	5	5.7
Check Registers	3	3.A-8
Checks Issued in Lieu of Warrants - Correction Records	3	3.C-5
Checks Cancelled	3	3.C-5
CIP Projects - see Public Works Construction Project Files		

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Circulars, Official Memoranda &	1	1.6
Civil Service Position, Application for	5	5.5
Claim for Void Check	3	3.C-5
Claim for Non-Received Check	3	3.C-5
Claim for Lost Check	3	3.C-5
Class Specifications	5	5.1
Classification & Pricing Appeal Records	5	5.3
Committee and Conference Files	1	1.1
Compensatory Time Off - see Premium Pay Records		
Computer Files - see Electronic Records		
Computer Hardware or Software Request	1	1.29
Construction Drawings, Plans, Specifications - Final	8	8.2
Construction Project Files	8	8.1
Contract Input	3	3.C-3
Contracts - see Purchase of Services		
Correction Slips, Pre-Audit	3	3.C-3
Correspondence, Official	1	1.2
Correspondence, General	1	1.3
Correspondence, Duplicate Files of	1	1.4
Credential Files	9	9.4
Criminal History Record Clearance, Request for	5	5.11
Daily Cycle Reports (Payroll)	4	4.15
Data Entry / Input Forms, Accounting System	3	3.D-4
Databases, Administrative	1	1.23
Deed of Gift (ARM 2)	7	7.6
Dental Patient Records	10	10.2
Departmental Rules and Regulations - see Hawaii Administrative Rules		
Deposit Slips / Receipts	3	3.A-8

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Detail Inventory of Property	6	6.7
Detail Inventory Reports	6	6.10
DHRD Sponsored Classes Registration Forms	5	5.30
Diaries - documenting employee activities	1	1.16
Direct Hire Candidates, List of	5	5.8
Direct Hire Appointment, Notification of	5	5.9
Directives, Manuals, & Handbooks, Official	1	1.7
Discrimination Files	5	5.26
Disposal Application	6	6.6
Documentation - Electronic Records	11	11.3
Drafts, Preliminary	1	1.26
Drug Testing Records, Alcohol and	5	5.36
Earned Income Credit, Advance Payment of	4	4.7
EEO Complaints	5	5.26
Electro-encephalogram tracings	10	10.1c
Electronic Mail Records	11	11.7
Electronic Mail Records (E-mail) [non-substantive official information]	1	1.20
Electronic Records	Schedule 11	
Electronic Spreadsheets	1	1.24
Eligibles, Certification of	5	5.7
Emergency Procurement, Request for	6	6.1
Employee Performance Appraisal	5	5.18
Employee Personnel Action Report	5	5.13
Employee Selection Records: Civil Service Employees	5	5.10
Employment Eligibility Verification	5	5.12
Encumbrance Advice	3	3.C-3
Encumbrance Forms and Related Records	3	3.C-3
Equipment Maintenance Agreement	3	3.C-2

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Estimated Receipts Input	3	3.A-2
Exempt Employment, Application for	5	5.37
Exemption from Chapter 103D, HRS, Request for	6	6.1
Expenditure Plan records	2	2.2
Expenditure Report for Personnel Services	4	4.19
Expenditures	3	Part 3.C
Exposure to Toxic Substances and Harmful Agents, Employee Records Relating to	5	5.35
Extension of Contract Time, Request for	6	6.1
Facilities Construction and Management Records	Schedule 8	
Facsimile (fax) cover sheets and confirmation sheets	1	1.20
Fax logs	1	1.18
Federal & State Withholding Exemptions	4	4.6
Fees & Benefits, Statement of: Non-employee	4	4.8
Files / Records Created to Create, Use, and Maintain Master Files or Databases - Electronic Records	11	11.6
Final Construction Drawings, Plans and Specifications	8	8.2
Forklift (Lift Truck) Safety Inspection Reports	6	6.12
Formal Requests for Government Information	1	1.17
General Ledgers (Noncomputerized)	3	3.D-9
General Records Schedules	7	7.1
Grant Records	2	2.3
Government Information, Formal Requests for	1	1.17
Grievance Files	5	5.25
Handbooks, Official	1	1.7
Hawaii Administrative Rules	1	1.5
Health Care Records	Schedule 10	
Health Fund Enrollment Forms	5	5.27
Historical Records, Records involved in Receipt and/or Transfer of	7	7.6

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Imprest Records - See: Petty Cash Records		
Incentive and Service Awards Program Records	5	5.34
Incident Reports, Security	9	9.3
Indexes, Reference Guides, Finding Aids, etc.	1	1.21
Indexes for Electronic Records	11	11.4
Input Forms, Accounting System	3	3.D-4
Input Records / Source Documents - Electronic Records	11	11.1
Insurance - see Risk Management		
Insurance Benefits Enrollment Forms	5	5.27
Inventory	Schedule 6	
Inventory Change Register	6	6.9
Inventory of Property, Detail	6	6.7
Inventory Reports, Detail	6	6.10
Inventory Transaction Register	6	6.6
Investments, Application for	3	3.A-9
Invoices, Vendor	3	3.C-3
Job Announcements	5	5.4
Journal Voucher	3	3.D-6
Key Accountability Files (security records)	9	9.5
Leasing of Private Office Space Records	8	8.3
Leave of Absence, Application for	5	5.20
Leave Sharing Program Records	5	5.23
Leave Sign-up Sheets	5	5.19
Legal Opinions - Attorney General	1	1.8
Legislative Files	1	1.12
Liability - Release Forms	1	1.10
Listing of Recipients (W-2 and HW-2)	4	4.9a
Lift Truck – see Forklift		

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Loan Authorization and Receipt (ARM 1)	7	7.6
Lost Check	3	3.C-5
Mail Control Records	1	1.18
Mailing Lists	1	1.19
Maintenance Records - Equipment	6	6.11
Maintenance Requests	1	1.28
Manuals, Official	1	1.7
Medical and Insurance Benefits Enrollment Records	5	5.27
Medical Records	10	10.1
Memoranda & Circulars, Official	1	1.6
Mileage, Automobile	3	3.C-9
Minutes	1	1.1
News Releases	1	1.13
Notification for Records Destruction (ARM 4)	7	7.5
Notification of Personnel Action - see Personnel Action, Notification of		
Notification of Temporary Assignment	4 and 5	4.5 5.24
Occupational Injury - see Workers' Compensation		
Official Personnel Folder (OPF)	5	5.15
OPF for Transferred Employee	5	5.16
Organizational Files	1	1.14
OSHA Forms	5	5.31
Out-Service Training, Request for Approval of	5	5.29
Overtime Authorization	4	4.12
Passbooks	3	3.A-8
Payroll - Daily Cycle Reports	4	4.15
Payroll Adjustment Forms	4	4.13
Payroll Assignments	4	4.10

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Payroll Change Schedules	4	4.2
Payroll Expenditure Distribution	4	4.18
Payroll Expenditure Distribution Summary Sheet	4	4.3
Payroll Labor Distribution	4	4.17
Payroll Records	Schedule 4	
Payroll Registers	4	4.1
Payroll Transaction Register	4	4.16
Performance Appraisal, Employee	5	5.18
Personnel Action, Notification of	5	5.13
	and 4	4.4
Personnel Folder, Official (OPF)	5	5.15
Personnel Folder, Official (OPF) for Transferred Employee	5	5.16
Personnel Records	Schedule 5	
Petty Cash Records	3	3.C-7
Position Descriptions	5	5.2
Pre-Audit Correction Slips	3	3.C-3
Preliminary drafts of letters, memoranda, reports, worksheets, and internal notes	1	1.26
Premium Conversion Plan Forms	5	5.28
Premium Pay Attendance Sheets	4	4.12
Premium Pay Records	4	4.12
Price List Waivers	6	6.2
Private Office Space - Leasing Records	8	8.3
Procurement & Property Management Records	Schedule 6	
Procurement Files	6	6.1
Procurement Violation: Report of Findings and Corrective Actions; Request for After-the-Fact Payment Approval	6	6.1
Professional Services, Public Notice of	6	6.3

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Program Financial Plans, Program Memoranda, Program Structure Reviews, etc.	2	2.1
Project Working Papers	1	1.22
Property Inventory Reports	6	6.6
Property Management Records	Schedule 6	
Public Relations Files	1	1.13
Public Works Construction Project Files	8	8.1
Purchase of Health and Human Services: Procurement Files	6	6.4
Purchase of Health and Human Services: Registration Statement of Health and Human Services Provider Responsibility – Applicant Deemed not qualified	6	6.5
Purchase of Services	3	3.C-1
Purchase Order, Requisition and	3	3.C-3
Purchase Orders, Register of	3	3.C-3
Real Property Documents, Valuation of	6	6.8
Receipt Book	3	3.A-3
Record of Transfer and Receipt (ARM 3)	7	7.6
Record Destruction, Report of (ARM 7)	7	7.4
Recordings of Meetings Made Exclusively for Note-taking, Audio	1	1.27
Records Inventory Worksheet (ARM 6)	7	7.2
Records Management	Schedule 7	
Records Transfer List (SA-6)	7	7.6
Records Transfer/Storage List (ARM 5)	7	7.3
Regulations	1	1.5
Remittance Advice for Replenishment of Petty Cash Funds	3	3.C-7
Reorganization Proposals	1	1.14
Repair and Maintenance Projects - see Public Works Construction Project Files		
Reports: Daily, weekly, monthly and other periodic reports submitted for tabulation purposes	1	1.15
Request for Allotment/Allotment Advice	3	3.B-1

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Request for Approval of Out-Service Training (OSTR, Form 411)	5	5.29
Request for Authorization to Purchase Outside of State Procurement Office Price List	6	6.2
Request for Criminal History Record Clearance	5	5.11
Request for Emergency Procurement	6	6.1
Request for Exemption from Chapter 103D, HRS	6	6.1
Request for Extension of Contract Time	6	6.1
Request for Government Information, Formal	1	1.17
Request for Restrictive Specifications	6	6.1
Request for Taxpayer Identification Number and Certification Form (IRS Form W-9)	4	4.20
Request for Transfer of Funds	3	3.B-1
Request to Use an Alternative Procurement Method	6	6.1
Request to Create / Change Petty Cash (Imprest) Fund	3	3.C-7
Requisition and Purchase Order	3	3.C-3
Requisition for Services or Supplies	3	3.C-3
Restrictive Specifications, Request for	6	6.1
Risk Management Files	1	1.9
Rosters	1	1.19
Rules and Regulations - see Hawaii Administrative Rules		
Sales Journal	3	3.A-4
Schedules of Daily Activities	1	1.16
Scrapbooks, photographs, articles, program notes, etc.	1	1.13
Securities Held in Safekeeping after Return, Accounts for	3	3.D-12
Security and Protective Services Records	Schedule 9	
Security Backup File - Electronic Records	11	11.2
Security Incident / Violation Reports	9	9.3
Security Logs	9	9.1
Sole Source Records	6	6.1

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Special Purpose Programs - Electronic Records	11	11.5
Speeches, addresses and comments	1	1.13
Spreadsheets, Electronic	1	1.24
Statement of Completed Travel (Intra-State and Out-of State)	3	3.C-8
Statement of Fees & Benefits: Non-employee	4	4.8
Stop Payment for Payroll	4	4.14
Stop Payment Notice	3	3.C-5
Summary Warrant Voucher	3	3.C-4
Supervisor's Informational Personnel File & Duplicate OPF Documents	5	5.17
Taxpayer Identification Number and Certification Form, Request for (IRS Form W-9)	4	4.20
Telecom Request	1	1.30
Temporary Assignment, Notification of	4 and 5	4.5 5.24
Temporary Disability Insurance Case Records	5	5.33
Testimonies, Legislative	1	1.12
Time Sheets	4	4.11
Toxic Substances and Harmful Agents – Employee Records	5	5.35
Training - see Out-Service Training		
Transfer of Funds, Request for	3	3.B-1
Transfer of Vacation & Sick Leave, Application for	5	5.22
Travel Approvals and Statements	3	3.C-8
Travel Records - Automobile	3	3.C-9
Treasury Deposit Receipts	3	3.A-1
Universal Input Form	3	3.D-7
Valuation of Real Property Records	6	6.8
Variance plans - see Budget Execution Records		
Vendor Invoices	3	3.C-3

APPENDIX C: SUBJECT INDEX

<u>RECORDS SERIES</u>	<u>SCHEDULE NO.</u>	<u>ITEM NO.</u>
Visitor Control Files	9	9.2
X-ray films, electro-encephalogram tracings, and similar Imaging records	10	10.1c
(W-2 & HW-2) Wage and Tax Statements	4	4.9b.
Warrant / Check - Correction Records	3	3.C-5
Withholding Exemptions, Federal & State	4	4.6
Word Processing Files	1	1.25
Work Order Requests for Building Repair & Maintenance	1	1.28
Work Schedules	5	5.19
Workers' Compensation Records	5	5.32
Working Papers, Project	1	1.22