

A8.450 Records Management Guidelines and Procedures

1. General

The purpose of these procedures is to provide guidelines and instruction for the retention, scheduling, storage, microfilming, transfer, and disposition of University records.

2. Objectives

The objectives of these records management procedures include the following:

- a. To insure that records serve the purpose for which they were created in an efficient and economical manner;
- b. To eliminate the maintenance of unnecessary copies of records;
- c. To organize and maintain records in an orderly fashion so that a needed record can be retrieved quickly;
- d. To dispose of records after they have served their purpose and have met other legal or audit requirements; and
- e. To preserve certain records of enduring historical value in an archives for research and other purposes.

3. State of Hawaii Records Management Program

The Archives Division - Records Management Branch, Department of Accounting and General Services, provides assistance to State agencies in the following areas:

- a. Development and revision of records retention and disposition schedules;
- b. Application and interpretation of the State General Records Schedule;
- c. Transfer and storage of records at the State Records Center;
- d. Microfilming services.

The Department of Accounting and General Services Records Management Branch has enacted a fee schedule for storage and other services. Departments are urged to contact the Records Management Branch for currently assessed fees.

4. Responsibilities in Records Management Matters

- a. The Office of Procurement, Real Property and Risk Management (OPRPRM) shall:
 - 1) Act as a liaison between University departments and the Archives Division - Records Management Branch, Department of Accounting and General Services;
 - 2) Assist University departments in applying the guidelines and standards set forth in these procedures for the management of University records;
 - 3) Assist University departments in all actions involving the retention, transfer, or disposal of all University records; and
 - 4) Administer all official forms relating to records disposition actions as required by the Archives Division - Records Management Branch, Department of Accounting and General Services.
- b. Department Fiscal Officers shall:
 - 1) Implement these records management procedures within their respective departments;

- 2) Coordinate with the OPRPRM as required in these procedures on matters relating to the disposition of University records;
- 3) Provide recommendations to the OPRPRM to assist in the management of University records; and
- 4) Conduct inspections within their respective departments to ensure that appropriate disposition actions are taken and that proper records management procedures are followed.

5. Records Inventory

a. University Records

University records include all recorded information, regardless of medium or characteristics, which is created or received or maintained by a department in connection with its transaction of University affairs and/or in meeting its duties and responsibilities for the University. Such records would include both original documents and record copies. A record copy is a reproduction of the contents of an original document which is prepared either simultaneously or separately and can be identified by a particular function or by method of creation.

Additional copies of documents used solely for convenience or reference are non-records and may be destroyed at the discretion of the department. For records management purposes, publications and other library material are considered non-record material.

b. Inventory of Records

Record holdings should be inventoried before further management controls are instituted. An inventory consists of a complete listing of records by record series, together with descriptions and supporting information. A record series is a group of identical or related records which are normally filed together and which can be evaluated as a unit to determine an appropriate retention period.

The individual who creates or maintains a record or file is generally the person most qualified to inventory its contents. The inventory process focuses on the general function and overall content of records and identifies the record medium (e.g. paper, microfilm, computer disk, size, filing method, reference rate, current volume and annual accumulation). Inventory information should be noted on the Records Inventory Form ARM6 (**Attachment 450.2**).

In addition to being used for retention scheduling, inventory data may be used to address other aspects of records management. Accumulation rates are a factor in deciding whether to microfilm a record series, and filing methods may illustrate problems with retrieval. Information regarding the frequency of use and/or reference for a particular record series will assist in determining when such records may be placed into storage.

Inventories and retention schedules for records maintained by University departments should be reviewed every one to three years.

6. Records Retention Schedules

a. Record Evaluation

After records are inventoried, University departments should evaluate each record series for its purpose and value to determine proposed retention periods. This evaluation process should consider the following areas for each record series:

- 1) Administrative Value - Records which assist a department in performing its current work and daily operations;
- 2) Organizational Value - Records which provide basic facts concerning a department's organization, structure, and functions such as policies, procedures, board minutes, and administrative decisions;

- 3) Legal Value - Records which provide the basis for legally enforceable rights and obligations of the University such as contracts, leases and other real property documents, as well as other agreements;
- 4) Fiscal Value - Records which pertain to the financial transactions of the University, such as budgets, ledgers, allotments, payrolls, and vouchers; and
- 5) Historical or Archival Value - Records which reflect significant historical events and document the development of the University.

b. Determination of Retention Periods

When every record series maintained by a department has been evaluated for purpose and value, a proposed retention period should be assigned to each series. A retention period represents that period of time when a particular record will be needed by a department to perform its operational responsibilities and duties within the University. The determination of these retention periods will involve discussions between the departmental fiscal officer and the respective departmental personnel who create, use and/or maintain the records under consideration.

c. Departmental Records Retention Schedules

When proposed retention periods have been established for the records maintained by a department, a listing of these record series and their respective retention periods should be compiled in a schedule format. This schedule should set forth the time when a record series may be retired to inactive status and the time when the records may be disposed. A department should forward its proposed records retention schedule to the OPRPRM which will in turn submit the schedule to the State Comptroller for approval as required by section 94-3, Hawaii Revised Statutes.

d. State General Records Schedule

The State of Hawaii General Records Schedules - Numbers 1-11, (**Attachment 450.7**) have been issued by the State Comptroller to provide retention and disposition standards for records common to the various agencies within the State government. This schedule includes records relating to fiscal services, accounting, procurement, property management, personnel, facilities construction and management, and general administration. The retention periods listed are considered to be the minimum necessary to be followed by State agencies with respect to the maintenance and disposition of the record series contained therein. Records that are unique to the University should be addressed in the records retention schedules prepared by University departments.

7. Records Disposition Procedures

a. Authorization for Disposition of University Records

Under State Law, all actions by State agencies with respect to the disposition of agency records are subject to the approval of the State Comptroller. The Archives Division Records Management Branch, Department of Accounting and General Services, has been designated to receive requests for disposition and to recommend to the State Comptroller the action to be taken. The alternative recommendations for disposition would include destruction, continued retention, transfer to the State Records Center, transfer to the State Archives, or microfilming.

b. Destruction of University Records

1) State General Records Schedules. Records covered by the State General Records Schedules may be destroyed without further concurrence from the State Comptroller as long as the minimum retention periods set forth in the schedules have been met.

- 2) Departmental Records Schedules. Records covered by departmental records schedules which have been approved by the State Comptroller may also be destroyed when the minimum retention periods set forth in the schedules have been met.
- 3) Records Not Covered by Approved Records Retention Schedules. Departments wishing to dispose of records not covered by the General Record Schedules or an approved departmental records schedule must submit Records Disposition Authorization Form SA-1 (**Attachment 450.1**) to the OPRPRM. This form requires a description of each particular record series listed, the inclusive dates of the records maintained by the department which fall in those series, and a proposed retention period for each record series. The records covered by the form may not be destroyed by the department until authorization is received from the State Comptroller.
- 4) Records Destruction Report. When records become eligible for disposal under the State General Records Schedules, an approved Departmental Records schedule, or an approved SA-1 Form (**Attachment 450.1**), departments must complete Records Destruction Report Form ARM7 (**Attachment 450.4**) for those records which are destroyed. To dispose of records stored in the State Records Center, the Records Destruction Report Form ARM4 (**Attachment 450.5**) should be completed. These forms should be submitted to the OPRPRM.
- 5) Nonrecord Material. The State General Records Schedule and department records schedules are intended to cover original documents and record copies only. Nonrecord material would include unofficial copies of documents used solely for convenience or reference and publications and library materials intended solely for reference purposes. Nonrecord material may be destroyed at the discretion of the department.

c. Transfer of Records to State Records Center

- 1) State Records Center. The State Records Center is located in the Shafter Flats/Mapunapuna area at 729-B Kakoi Street, Honolulu, Hawaii 96819. The Center contains a storage area for inactive records and a microfilming section. It receives records for storage and provides retrieval and disposition services to State agencies.
- 2) Records Eligible for Transfer. To be considered for storage at the State Records Center, the records must be designated on the State General Records Schedules, an approved departmental records schedule, or an approved Records Disposition Authorization Form SA-1 (**Attachment 450.1**). Generally, records transferred for storage at the State Records Center should have two (2) or more years remaining on their respective retention periods.
- 3) Records Storage Box - Packing Instructions

The following guidelines are to be used to insure that records are packed properly in standard record storage boxes:

- a) Records should be packed in the same order as they are filed in the agency;
- b) All records in each box should belong to the same record series;
- c) About one inch of space should be left in each box to facilitate referencing;
- d) Records should not be placed on top of other records in the box;
- e) The weight of each box should not exceed 35 pounds;
- f) Legal size records should be filed on the long (15 inch) side of the box, and letter size records should face the short (12 inch)

end of the box. Smaller records (e.g. 5" X 8" , 4" X 6", 3" X 5") may be filed using divider pieces;

- g) All boxes should be taped on the bottom with flaps folded on top;
 - h) Boxes should not be bulging at the top or sides;
 - i) The upper one-third portion of short (12 inch) end of each box should be left blank for Storage Center use. The remaining portion may be used by the department to record basic information regarding the contents of each box.
- 4) Records must be placed in standard Records Center boxes (H 10" X W 12" X L 15") which are to be provided by departments wishing to transfer their records.
- 5) Shipment of Records.
- a) Departments must complete Records Transmittal and Shelf List Form ARM5 (**Attachment 450.3**) and submit this form to the OPRPRM at least two (2) weeks before the proposed shipment date for the records.
 - b) The shipment of boxes by departments must be arranged in advance with the Records Center. Boxes should be delivered in numerical order and stacked five (5) boxes high. The State Messenger Service will not deliver boxes for departments to the Records Center.
- 6) Storage of Records. Records are stored at the Records Center in accordance with their projected reference activity. Lower shelves are utilized for the more active records to expedite their later retrieval.

7) Recall or Requests for Records at the State Records Center.

- a) Departments may make requests to the Records Center by telephone for no more than three (3) items per day. Requests for records exceeding this amount shall be submitted in written form to Supervisor, Records Storage Section at the address stated above.
- b) Requests should state the record items desired, the assigned box numbers and the accession number indicated on the department's copy of the processed Transmittal Form ARM5 (**Attachment 450.3**).
- c) Requests for records should be submitted by the departmental fiscal officers only.
- d) Requested records will be sent by State Messenger Service on Oahu and by mail to the neighbor islands.
- e) Upon completion of use, departments should return the recalled records to the State Records Center for refiling.

8) Disposal of Records Stored at the State Records Center.

- a) Records stored at the State Records Center remain under the ownership and control of the University and will be released only with its permission.
- b) When records become eligible for disposal, the Records Center will send Records Destruction Report ARM4 (**Attachment 450.5**) to the University for its final approval. The department shall indicate its concurrence and forward the form to the OPRPRM within ten (10) days of receipt.
- c) Departments are responsible for the disposal of any records of a sensitive nature

containing personal information and shall make the necessary arrangements for their destruction by supervised shredding or binding. Departments shall complete Records Destruction Report Form ARM4 (**Attachment 450.5**) when such records are destroyed.

For a fee, the State Records Center will dispose of all other records by a bonded recycling company.

8. Transfer of Permanent Records to the State Archives

Records which a department considers of permanent value, but no longer in current use by the University, may be recommended for transfer to the State Archives.

- a. Records must be appraised and identified as permanent before transfer to the State Archives. Upon request, the State Archivist will assist the department in identification of permanent records.
- b. Pertinent finding aids such as file indexes or guides should accompany the records.
- c. Access restrictions to a record must be mutually agreed upon by the originating department and the State Archives prior to transfer.
- d. Upon transfer, the originating department relinquishes both physical and legal control of the records. Ownership and legal responsibility of the record passes to the State Archives.
- e. Records being transferred into the State Archives must be accompanied by two copies of the Records Transfer List, Form SA-6 (**Attachment 450.6**). One copy will be signed and returned to the department by the State Archivist.
- f. Records transferred to the State Archives are fumigated before being placed in an environmentally controlled storage area.

- g. The originating department is responsible for all physical and financial arrangements for shipment of permanent records to the Archives.

9. Hawaii State Archives Security Microfilm Storage

The Hawaii State Archives provides a security microfilm storage facility for master or original data stored on microfilm or magnetic tape and designated as having permanent archival value.

- a. The area is closed to the public and open only to State Archives staff. Access to film shall be left to the discretion of originating department.
- b. Only silver negative microfilm will be accepted. Film should be in conformity with standards as established by the American National Standard Institute (ANSI) - Chapter H1.28-81 or PH1.41-81.
- c. The originating department is responsible for all physical and financial arrangements for shipment of the security microfilm to the archives.

10. Microfilm Service Contract Specifications and Technical Assistance

A department may wish to have its microfilming done by a private company on a service contract basis.

In considering any such arrangement, the contracting department should be cognizant of the following points:

- a. All contracts must meet the microfilming specifications established by the National Bureau of Standards, ANSI, AIIM.
- b. The Archives Division will serve as a consultant to any state agency requesting assistance and upon request, will review the microfilm service contracts prepared by an agency.

11. Disposal of Original Public Records After Microfilming

- a. Pursuant to section 92-31, Hawaii Revised Statutes, no original records may be destroyed after microfilming unless an agency obtains permission to do so from the State Comptroller.
- b. To obtain such permission, the department shall submit to OPRPRM Form SA-1 (**Attachment 450.1**), Request and Authorization for Records Disposal, a signed certification stating that the listed records have been microfilmed in accordance with section 92-30, Hawaii Revised Statutes, and a statement that with the creation of these microfilm copies, the original records have ceased to have sufficient value to warrant their retention.

12. Confidentiality and Public Inspection of University Records.

Issues relating to the required disclosure or non-disclosure of University records are governed by Chapter 92F, Hawaii Revised Statutes (Uniform Information Practices Act), and certain federal laws and regulations. Requests from University departments regarding these matters should be directed to the Office of the Senior Vice President for Legal Affairs and University General Counsel.