1.0 PURPOSE

To establish guidelines for the organization of Department records which will expedite the reporting of record use and maintenance as required under the Uniform Information Practices Act.

2.0 REFERENCES

.1 State Records Management Manual, General Records Schedule Number One.

.2 Hawaii Revised Statutes, §92F.

.3 Department Policies ADM.05.01, Access Control to Department Confidential Information; ADM.05.02, Public Access to Department Information.

3.0 POLICY

.1 In accordance with the provisions of the Uniform Information Practices Act, the Department shall prepare public reports which describe each set of records that are routinely used or maintained within the Department. A uniform system shall be established throughout the Department for the organization of records which will expedite this reporting requirement. The record organization system shall be based upon the State General Records Schedule.

.2 Each correctional facility branch, intake service center branch, law enforcement division, and staff office shall designate a staff member to function as a Records Liaison Officer for their organization who will be responsible for all record reporting requirements. Each deputy director shall be responsible for ensuring that requested information and reports required by their subordinate organization under the provisions of this policy are fully complied with.

.3 The Deputy Director for Administration shall appoint a staff member to function as the Department Records Officer. This position shall be responsible for providing guidance and assistance to all Department personnel in setting up their systems to comply with this policy. The Department Records Officer shall also be responsible for compiling the
Director's annual public report to the Office of Information Practices which summarizes all record activity in the Department.

4.0 PROCEDURES

.1 Records Organization

a. Each Departmental organization shall conduct a records inventory to identify information categories and subject files. Attachment A provides a guideline for identifying these categories.

b. All file folders and file drawers shall be labeled with the appropriate subject code for the identification of records contained therein.

c. Every existing record need not be catalogued. The emphasis should be on those records that are routinely used or maintained.

.2 Records Reporting

Each designated Records Liaison Officer shall be responsible for the following:

a. Establish and maintain a record log for their organization

The record log shall contain the following information:

1. The name (subject) and location of each file or set of records, being maintained within their organization.

2. The authority or reason why the file or set of records is being maintained.

3. The categories of individuals for whom records are maintained.

4. The categories of information or data maintained in the files or records (subject categories as found in State General Records Schedule #1).

5. The categories of sources of information in the records (where did you get the information, i.e., investigation, medical examination, inspection of facilities, etc.)
6. The categories of uses and disclosures made of the records.

7. The agencies and categories of persons outside of the Department which routinely use the records.

8. The records routinely used by your organization or office which are maintained by:
   a) Another agency, or
   b) A person other than an agency.

9. The policies and practices of the agency regarding storage, retrievability, access controls, retention, and disposal of the information maintained in records.

10. The title, business address, and business telephone number of the individual or individuals responsible for the care and maintenance of the organization's records.

11. The agency procedures whereby an individual may request access to records.

12. The number of written requests for access within the preceding year, number denied, the number of lawsuits initiated against the agency under this part, and number or suits in which access was granted.

b. Submit Monthly Reports

1. The record log shall be used to compile a monthly records report. Attachment B provides the instructions and reporting form to be used.

2. The monthly records report shall be completed within five working days from the beginning of each month and the report forwarded to the respective deputy director through the chain of command with a copy to the Department Records Officer.

   Negative reports are required.
5.0 **SCOPE**

This policy applies to all organizations within the Department.

**APPROVAL RECOMMENDED:**

[Signature]
Deputy Director for Administration  
01/08  
Date

[Signature]
Deputy Director for Corrections  
01/18/08  
Date

[Signature]
Deputy Director for Law Enforcement  
6-19-08  
Date

**APPROVED:**

[Signature]
Director  
01/20/08  
Date
<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>SUBJECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIV- CIVIL RIGHTS</td>
<td>(Program and Activities involving Affirmative Action, American Disabilities Act, Civil Rights, EEO, etc.)</td>
</tr>
<tr>
<td>RECORDS</td>
<td>CIV-1.00</td>
</tr>
<tr>
<td></td>
<td>CIV-X.XX</td>
</tr>
<tr>
<td>CJH- CRIMINAL JUSTICE</td>
<td>CJH-1.00 Adult Offender Criminal Justice File</td>
</tr>
<tr>
<td>HISTORY RECORDS</td>
<td>INCLUDES:</td>
</tr>
<tr>
<td></td>
<td>CJH-1.01 Sentenced Felons</td>
</tr>
<tr>
<td></td>
<td>CJH-1.02 Sentenced Probationers and Sentenced Misdemeanants</td>
</tr>
<tr>
<td>COM- COMMUNICATIONS</td>
<td>(Radio, Electronic Mail, Cellular/Portable Telephone, and Facsimile).</td>
</tr>
<tr>
<td>RECORDS</td>
<td>COM-1.00 Radio Systems/Equipments</td>
</tr>
<tr>
<td>COR- CORRECTIONS</td>
<td>(Programs and Activities unique to Corrections)</td>
</tr>
<tr>
<td>RECORDS</td>
<td>COR-1.00 Offender/Inmate Personal File</td>
</tr>
<tr>
<td></td>
<td>INCLUDES:</td>
</tr>
<tr>
<td></td>
<td>COR-1.01 Notice Of Programming</td>
</tr>
<tr>
<td></td>
<td>COR-1.02 Inmate Job Description</td>
</tr>
<tr>
<td>DEF- CIVIL DEFENSE</td>
<td>DEF-1.00 Correspondence Relating to Civil Defense</td>
</tr>
<tr>
<td></td>
<td>DEF-2.00 Department Civil Defense Implementation Plans</td>
</tr>
<tr>
<td>EDP- ELECTRONIC DATA</td>
<td>(EDP, Computer, and Optical)</td>
</tr>
<tr>
<td>PROCESSING RECORDS</td>
<td>EDP-1.00 Corrections Information System</td>
</tr>
<tr>
<td></td>
<td>INCLUDES:</td>
</tr>
<tr>
<td></td>
<td>EDP-1.01 Departmental Admissions Log</td>
</tr>
<tr>
<td></td>
<td>EDP-1.02 Departmental Leave Log</td>
</tr>
<tr>
<td></td>
<td>EDP-1.03 Departmental Housing and Transfer Log</td>
</tr>
<tr>
<td>EDU- EDUCATION/TRAINING</td>
<td>(Activities and Programs pertaining to education and training).</td>
</tr>
<tr>
<td>RECORDS</td>
<td>EDU-1.00</td>
</tr>
<tr>
<td>CATEGORY</td>
<td>SUBJECT</td>
</tr>
<tr>
<td>------------------</td>
<td>-------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| MED- MEDICAL RECORDS | MED-1.00 Inmate Medical Records INCLUDES:  
MED-1.06 Consultation Record  
MED-2.00 Inmate Dental Records INCLUDES:  
MED-2.09 Dental Treatment Record |
| PIR- PUBLIC INFORMATION/NEWS RELEASES | PIR-1.00 Press/News Releases |
| REL- RELIGIOUS RECORDS | (Religious Programs and Activities)  
REL-1.00  
REL-X.XX |
| RIS- RISK MANAGEMENT RECORDS | RIS-1.00 Tort Claims Of Inmates, Employees, and the Public  
RIS-2.00 Claims for State Property Loss/Damage  
RIS-3.00 Claims for Automobile Accidents Involving State Vehicles  
RIS-4.00 Claims for Damage/Loss to State Marine Boat or Vessels |
| SAF- SAFETY RECORDS | (Osha, Environmental Health and Fire Safety)  
SAF-1.00 Environmental Safety Inspections  
SAF-2.00 Fire Safety Inspections  
SAF-3.00 Health Inspections |
SEC-1.00 |
| TRA- TRANSPORTATION RECORDS | (Travel requests, private vehicle mileage, parking)  
TRA-1.00 Travel Requests INCLUDES:  
TRA-1.01 Intra-State  
TRA-1.02 Out-of-State |
| VOL- VOLUNTEER SERVICES RECORDS | (Volunteer Programs, Activities, and Services)  
VOL-1.00 Volunteer's Employment File |

List each broad category together with its file subjects, using the above samples. Identify categories 1 through 9 and the subject files of information relating to each category, using State General Records Schedule #1.

[doc #36250]
adm.05.03
<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>SUBJECT</th>
</tr>
</thead>
</table>
| EMG- EMERGENCY RESPONSE | EMG-1.00 Emergency Response Plans  
EMG-2.00 Emergency Response Procedures Manual  
EMG-3.00 Correspondence Relating to Emergency Matters |
| ENV- ENVIRONMENTAL PROTECTION | (Environmental Protection Programs and Activities)  
ENV-1.00 Correspondence Relating to Reducing, Reusing, and Recycling Waste  
ENV-2.00 Waste Management  
INCLUDES:  
ENV-2.01 Hazardous Waste  
ENV-2.02 Reduce, Reuse, and Recycle Waste |
| FAC- FACILITIES/PROPERTY RECORDS | (Facilities owned, leased or rented, Construction, Maintenance, Utilities, Equipment Systems)  
FAC-1.00 Construction Projects |
| FSV- FOOD SERVICES RECORDS | (Activities and Operations unique to Food Services)  
FSV-1.00 Temperature Reports  
FSV-2.00 Menus  
FSV-3.00 Meal Counts |
| INV- INVESTIGATIONS RECORDS | (Alleged Criminal Activity)  
INV-1.00 Individual's Case File  
INCLUDES:  
INV-1.01 Request For Background Check |
| LAH- LAW ENFORCEMENT RECORDS | (Program and Activities unique to Law Enforcement such as: Protective Services, Narcotics Enforcement, Special Services, and Harbors Patrol and Marine Patrol)  
LAH-1.00 (CRIMINAL) Evidence/Property Report  
INCLUDES:  
LAH-1.02 Photo File  
LAH-2.00 Registrants (NARCOTICS) File |
| LIB- LIBRARY RECORDS | LIB-1.00 Inmate Law Library Access  
INCLUDES:  
LIB-1.01 Inmate Requests To Use Library  
1.02 Law Library Schedule Based On Inmate Requests |
MONTHLY RECORDS REPORT AND COMPLETION INSTRUCTIONS FOR FORM PSD 1018

1. MONTHLY RECORDS REPORT INSTRUCTIONS

Attached are completion instructions for use in submitting your monthly records reports in accordance with Policy ADM.05.03. This form is intended to assist you until OIP provides us with their report format. It is hoped that the attached will be fairly close to what OIP will be designing.

Only files or records that consist of each organization's official records are involved in this report requirement. Therefore, your organization's official State records are the only ones to be reported (original or master and not duplicate copies in files).

Each Division's, Staff office's, branch's, and section's completed report shall be forwarded to the appropriate Deputy, with a copy to the Department Records Officer, and shall include the following in memorandums of transmittal:

a. Number of written request for access during report period. If orally, identify the number made separately from those made through written request.
b. Number denied.
c. Number referred to OIP for opinion, as applicable.
d. Number responded to by OIP.
e. Number of lawsuits initiated against your organization or the Department as a result of denial by your organization. (List separately as applicable.)
f. Number of lawsuits in which access was granted.
g. Number of suits still pending.

2. COMPLETION INSTRUCTIONS FOR FORM PSD 1018

Each organization that is maintaining the Department's original or master copy of official correspondence, documents, and/or records shall complete this form.

Organizations Title and Organization Code - Identify organization title and code.

Complete each item as applicable to your organization's official department record or file:
a. Record Name – Official name or title of the subject file.
b. Common Name – The unofficial name frequently used to describe the record. For example, the State Form G-1, "Application for Leave of Absence" is commonly referred to as a "Vacation Leave Form" or as a "Sick Leave Form".
c. Information category and title – The category and subject titles are listed in State General Records Schedule Number 1 and Attachment A. If the category is new, insert the first three (3) letters of its title, hyphen, followed by the category title.
d. Subject title number – Identified by the category title's trigraph, hyphen, and subject title number. If category and subject file is new, insert trigraph of the title of the new category, hyphen, and "X.XX"
e. Form number (if one is assigned) – If the record is assigned a form number and revision date, enter that information. For example, State form for “Application for Leave of Absence” is numbered G-1 with revision date of 5/1/76.
f. Title of official to be contacted for access – Identify the official's organization title that is on the latest approved department organization chart.
g. Name of official to be contacted – The incumbent's full name (First, Middle, Last).
h. Business address of official – Provide the business address of the official that is to be contacted.
i. Phone number of official – Business phone number of official.
j. Access classification of subject (check one of the following):

☐ Public – if no confidential information is maintained in the file.

☐ Confidential – if file contains confidential information or even a mixture of public and confidential information.

☐ Undetermined – if information is difficult to identify as public or confidential and needs OIP opinion.

k. Self explanatory, see above.
l. Legal authority for access classification – Identify appropriate reference that cites legal authority for access classification. For example, criminal history information or records that are confidential in accordance with Chapter 846, HRS; therefore, box for HRS should be checked.
m. Legal Authority for maintaining record – Legal reference that establishes requirement for maintaining records or files.

n. Length of retention – Indicate how long records are to be retained.
o. (1) Retention reason – Identify reference that establishes retention requirement. Sources are the General Records Schedule or SA-1, statutes, rules, and directives.
   (2) Specific reference of item checked – Give specific reference that states retention requirements. Identify specific legal citation by chapter and section number, or chapter and paragraph number; or directive or document. (Retention and Disposition Schedule.)

p. Identify the types of information contained in the record. Up to four (4) data groups of information may be entered, i.e., records containing data about complaints, health, finances, procurement, etc.

q. Identify the groups of individuals about whom the records pertain. Up to four (4) groups of individuals may be identified.

r. Identify the non-government sources that furnish the information in the record. Enter up to three (3) sources, i.e., businesses, the general public, and individuals are examples of non-government sources.

s. Identify up to three (3) government agencies that provide information kept in your record files.

t. Identify the government authority that explains the procedure for obtaining access to the record. Check one or both boxes. If both boxes are applicable, check them both.

u. Identify specific legal authority by chapter or section number to explain the procedure to request access to the record.

v. Identify government or Department policies and procedures about storage, retrieval, and access controls for records or files.

w. Identify the purposes for which the records or files are used. Examples of record uses include law enforcement, corrections, security, investigations, payroll, billing, budgeting, etc. Enter up to four (4) uses.

x. Identify routine non-government users of the record(s). Examples of non-government users are attorneys, insurance companies, banks, the media, the general public, etc. Enter up to five (5) users.

y. Identify government agencies that routinely use the record information. Enter up to five (5) government users.

z. Identify the place where the record is located. Use only organization titles. Enter up to three (3) locations. Also describe the physical form or medium of the record. Examples of record media include paper, computer, microfiche, pictures, videotapes, etc.

aa. Include any general comments about the information in the record or file.

Use only one set of PSD Form 1018 for each subject file of information.
Each organization's Record Liaison Officer who is designated by an Administrator or Staff Officer shall sign and date the last page of the report. Each report should be coordinated with all records clerks concerned and should be shown and approved by the administrator or manager who is in charge of the organization or facility prior to its submission.

Please follow guidelines in Policy ADM.05.02, State Records Management Manual, General Records Schedule #1 and this Policy.
STATE OF HAWAII

DEPARTMENT OF PUBLIC SAFETY

DEPARTMENT OFFICIAL RECORDS REPORT

ORGANIZATION TITLE: ________________ ORGANIZATION CODE: ________________

Please complete each item as applicable to your organization's official department records (originals or master copies only):

ITEMS:

1. Record name: _______________________________________________________

2. Common name: _____________________________________________________

3. Subject category and title: _________________________________________

4. Subject title number: _____________________________________________

5. Form number(s) (as applicable): ____________________________________

6. Title of official to be contacted for access: ____________________________

7. Name of official to be contacted: ____________________________________

8. Business address of official: _______________________________________

9. Phone number of official: _________________________________________

10. Access classification of subject (check one):

   □ Public
   □ Confidential
   □ Undetermined

11. Rationale for access classification (check one):

   □ Contains no privacy or information that, if made public, would frustrate government operations.
   □ Contains privacy or information, if made public, will frustrate government operations.
   □ Undetermined

PSD 1018 (02/94)
12. Legal authority for access classification (check one):
   □ Hawaii Revised Statutes
   □ Public Law
   □ Hawaii Administrative Rules
   □ Department Policy and Procedures

13. Legal authority for maintaining record (check one):
   □ Hawaii Revised Statutes
   □ Hawaii Administrative Rules
   □ General Records Schedule or Approved Form SA-1
   □ Department Policy and Procedure

14. Length of Retention: ____________ (No. Yrs.)

15. a. Retention reason (check one):
   □ Hawaii Revised Statutes
   □ Hawaii Administrative Rules
   □ General Records Schedule or Form SA-1
   □ Department Policy and Procedure
   
   b. Specific reference of time checked:

   ____________________________________________________________
   Chapter and Section

16. Type(s) of information in subject file:
   a. _________________________________________________________
   b. _________________________________________________________
   c. _________________________________________________________
   d. _________________________________________________________

17. Individual(s) about whom subject file is maintained:
   a. _________________________________________________________
   b. _________________________________________________________
   c. _________________________________________________________
   d. _________________________________________________________
18. Identify non-government source(s) of information:
   a. ____________________________________________
   b. ____________________________________________
   c. ____________________________________________

19. Identify government source(s) of information:
   a. ____________________________________________
   b. ____________________________________________
   c. ____________________________________________

20. Authority which states procedure to request access (check appropriate boxes):
   □ Hawaii Revised Statutes
   □ OIP Administrative Rules
   □ Department Policies and Procedures

21. Identify specific reference by chapter or section number:
   a. ____________________________________________
   b. ____________________________________________
   c. ____________________________________________

22. Policies and procedures about storage, retrieval, and access controls:
   a. PSD Policy and Procedures No. ________________
   b. PSD Policy and Procedures No. ________________
   c. PSD Policy and Procedures No. ________________

23. Identify how the records or files are used (Enter up to four uses):
   a. ____________________________________________
   b. ____________________________________________
   c. ____________________________________________
   d. ____________________________________________

24. Routine non-government user(s) of subject file:
   a. ____________________________________________
   b. ____________________________________________
   c. ____________________________________________
   d. ____________________________________________
   e. ____________________________________________
25. Routine government user(s) of subject file:
   a. 
   b. 
   c. 
   d. 
   e. 

26. Location where files are kept of subject file and medium:
   a. 
   b. 
   c. 

27. Any comments about subject file:

Submitted by: ___________________________  Approved by: ___________________________

Records Liaison Officer  Warden/Administrator

Date ______________  Date ______________