	<b>DEPARTMENT OF PUBLIC SAFETY</b>	<b>EFFECTIVE DATE:</b> JUN 20 2008	<b>POLICY NO.:</b> ADM.05.03
	<b>DEPARTMENT ADMINISTRATION          POLICY AND PROCEDURES</b>	<b>SUPERSEDES (Policy No. &amp; Date):</b> Director's Memo 92-03	
	<b>SUBJECT:</b> <b>RECORDS ORGANIZATION AND REPORTING</b>		Page 1 of 4

## 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

PSD P & PM	<b>SUBJECT:</b>  <b>RECORDS ORGANIZATION AND REPORTING</b>	<b>POLICY NO.:</b> ADM.05.03
		<b>EFFECTIVE DATE:</b> JUN 20 2008
		Page 2 of 4

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.)

PSD P & PM	SUBJECT:  <b>RECORDS ORGANIZATION AND REPORTING</b>	POLICY NO.: <b>ADM.05.03</b>
		EFFECTIVE DATE: <b>JUN 20 2008</b>
		Page 3 of 4

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.

PSD P & PM	SUBJECT:  <b>RECORDS ORGANIZATION AND REPORTING</b>	POLICY NO.: ADM.05.03
		EFFECTIVE DATE: JUN 20 2008
		Page 4 of 4

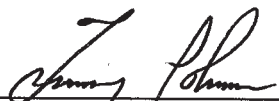
**5.0 SCOPE**

This policy applies to all organizations within the Department.

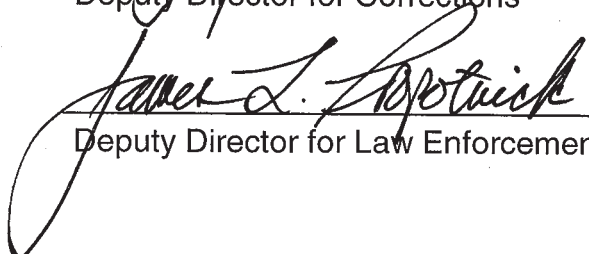
APPROVAL RECOMMENDED:

  
Deputy Director for Administration

6/6/08  
Date

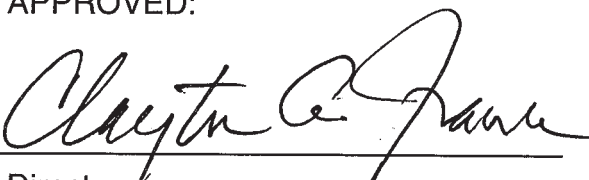
  
Deputy Director for Corrections

6/18/08  
Date

  
Deputy Director for Law Enforcement

6-19-08  
Date

APPROVED:

  
Director

6/20/08  
Date

## SAMPLE LISTING OF INFORMATION CATEGORIES

CATEGORY	SUBJECT
CIV- CIVIL RIGHTS RECORDS	(Program and Activities involving Affirmative Action, American Disabilities Act, Civil Rights, EEO, etc. CIV-1.00 CIV-X.XX
CJH- CRIMINAL JUSTICE HISTORY RECORDS	CJH-1.00 Adult Offender Criminal Justice File INCLUDES: CJH-1.01 Sentenced Felons CJH-1.02 Sentenced Probationers and Sentenced Misdemeanants
COM- COMMUNICATIONS RECORDS	(Radio, Electronic Mail, Cellular/Portable Telephone, and Facsimile). COM-1.00 Radio Systems/Equipments
COR- CORRECTIONS RECORDS	(Programs and Activities unique to Corrections) COR-1.00 Offender/Inmate Personal File INCLUDES: COR-1.01 Notice Of Programming COR-1.02 Inmate Job Description
DEF- CIVIL DEFENSE	DEF-1.00 Correspondence Relating to Civil Defense DEF-2.00 Department Civil Defense Implementation Plans
EDP- ELECTRONIC DATA PROCESSING RECORDS	(EDP, Computer, and Optical) EDP-1.00 Corrections Information System INCLUDES: EDP-1.01 Departmental Admissions Log EDP-1.02 Departmental Leave Log EDP-1.03 Departmental Housing and Transfer Log
EDU- EDUCATION/TRAINING RECORDS	(Activities and Programs pertaining to education and training). EDU-1.00

CATEGORY	SUBJECT
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- SECURITY RECORDS	(Includes: Physical Security, Personnel Security and Information Security) 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.

CATEGORY	SUBJECT
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
LAW- LAW ENFORCEMENT RECORDS	(Program and Activities unique to Law Enforcement such as: Protective Services, Narcotics Enforcement, Special Services, and Harbors Patrol and Marine Patrol). LAW-1.00 (CRIMINAL) Evidence/Property Report INCLUDES: LAW-1.02 Photo File LAW-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 memorandum 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 incumbents 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.

**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

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:

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\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Submitted by:

\_\_\_\_\_  
Records Liaison Officer

\_\_\_\_\_  
Date

Approved by:

\_\_\_\_\_  
Warden/Administrator

\_\_\_\_\_  
Date