

DEPARTMENT OF BUDGET & FINANCE

Approved Records Retention and Disposition Schedules (Forms SA-1)
Compiled By The DAGS, Archives Division, Records Management Branch*

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**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5303000000
B&F BUDGET PROGRAM PLANNING & MANAGEMENT

RECORD
SERIES ID RECORD SERIES DESCRIPTION

530300-00001 CIP RECORDS (FUNDED PROJECTS), 1958 – Present
SA-1 DTD 10/19/93, ITEM 1
Retention: 20 years after completion of project.
Disposition: Records may be microfilmed. Originals may be destroyed after microfilming.
(CIP Branch)

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5305000000
B&F FINANCIAL ADMINISTRATION DIVISION

RECORD
SERIES ID RECORD SERIES DESCRIPTION

530000-00001 CASHED WARRANTS

SA-1 DTD 8/15/89, ITEM 1

Retention: 10 years after void date.

Disposition: Destroy after 3 years if microfilmed, otherwise destroy 10 years after void date.

Retain microfilmed copy for 10 years after void date and destroy. Authority - HRS 40-11

530500-00001 BOND AND COUPON PAYMENT RECORDS, 1960 – Present

SA-1 DTD 6/24/92, ITEM 1

Retention: 7 years after maturity or redemption of bond/coupon.

Disposition: Records may be microfilmed by the agency, subject to provisions of Section 92-31, HRS.
(TREASURY MANAGEMENT BRANCH)

530500-00003 STATEMENT OF DEPOSITS & WITHDRAWALS, 1949 – Present

SA-1 DTD 5/7/92, ITEM 1

Retention: Permanent.

Disposition: Retain records 10 years in office before transferring to State Archives. Records may be microfilmed by the agency, subject to the provisions of Section 92-31, HRS.
(TREASURY MANAGEMENT BRANCH)

530500-00004 STATEMENT OF CASH, 1953 – Present

SA-1 DTD 5/7/92, ITEM 2

Retention: Permanent.

Disposition: Retain records 10 years in office before transferring to State Archives. Records may be microfilmed by the agency, subject to the provisions of Section 92-31, HRS.
(TREASURY MANAGEMENT BRANCH)

530500-00005 STATE BOND ISSUANCE FILES, 1958 – Present

SA-1 DTD 4/15/03, ITEM 1

Retention: 6 years after the bonds mature or are fully redeemed.

Disposition: The original hard copy files must be retained in conformance with the cited retention.
Destroy after the cited retention.

(BONDS ADMINISTRATION BRANCH)

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5306000000
B&F EMPLOYEES' RETIREMENT SYSTEM

RECORD
SERIES ID RECORD SERIES DESCRIPTION

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- 530600-CC001 CANCELLED CHECKS, January 10, 1989 – Present
SA-1 DTD 8/2/89, ITEM 1
Retention: 3 years if audited, otherwise 6 years.
*Independent audit is conducted annually (fiscal year). Cancelled checks can be transferred to State Records Center by bank statement cut-off period (10th and 25th of each month). Records Center staff will not be responsible for retrieval of individual checks. Agency will be serviced by bank's microfilmed records.
- 530600-IM001 INDIVIDUAL MEMBER'S RECORD - ACTIVE MEMBER, 1961 - Present
SA-1 DTD 8/28/2000, ITEM 1A
Retention: 40 years after termination.
Disposition: If records are microfilmed, original records may be destroyed after filming and a security microfilm copy may be stored in the State Records Center (SRC). Unmicrofilmed records may be stored at the SRC for the authorized retention period, then destroyed.
- 530600-IM002 INDIVIDUAL MEMBER'S RECORD – PENSIONER, 1961 - Present
SA-1 DTD 8/28/2000, ITEM 1B
Retention: 40 years after date of death.
Disposition: If records are microfilmed, original records may be destroyed after filming and a security microfilm copy may be stored in the State Records Center (SRC). Unmicrofilmed records may be stored at the SRC for the authorized retention period, then destroyed.
- 530600-LI001 CORRESPONDENCE FILES RELATING TO INVESTMENT MATTERS BETWEEN ERS AND ADVISORS, CONSULTANTS AND CUSTODIANS
SA-1 DTD 6/5/86, ITEM 1
Retention: Destroy 2 years after investment ends.
(LOAN & INVESTMENT SECTION)
- 530600-LI002 CORRESPONDENCE FILES RELATING TO GUARANTEED INSURANCE CONTRACTS (GIC) WHICH PROVIDE A FIXED RATE OF INTEREST FOR A SPECIFIC PERIOD
SA-1 DTD 6/5/86, ITEM 2
Retention: Destroy 2 years after investment ends.
(LOAN & INVESTMENT SECTION)
- 530600-LI03A REPORTS RELATING TO INVESTMENT PERFORMANCE, ADVISORS' PERFORMANCE & TRADE INFORMATION SUBMITTED BY ADVISORS, CONSULTANTS, CUSTODIANS & GIC FIRMS (A) MONTHLY
SA-1 DTD 6/5/86, ITEM 3A
Retention: Destroy after 6 months.
(LOAN & INVESTMENT SECTION)
- 530600-LI03B REPORTS RELATING TO INVESTMENT PERFORMANCE, ADVISORS' PERFORMANCE & TRADE INFORMATION SUBMITTED BY ADVISORS, CONSULTANTS, CUSTODIANS & GIC FIRMS (B) QUARTERLY
SA-1 DTD 6/5/86, ITEM 3B
Retention: Destroy after 2 years.
(LOAN & INVESTMENT SECTION)

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5306000000
B&F EMPLOYEES' RETIREMENT SYSTEM

RECORD

SERIES ID RECORD SERIES DESCRIPTION

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- 530600-LI03C REPORTS RELATING TO INVESTMENT PERFORMANCE, ADVISORS' PERFORMANCE & TRADE INFORMATION SUBMITTED BY ADVISORS, CONSULTANTS, CUSTODIANS & GIC FIRMS (C) ANNUALLY
SA-1 DTD 6/5/86, ITEM 3C
Retention: Destroy after 2 years.
(LOAN & INVESTMENT SECTION)
- 530600-LI004 PROSPECTUS RELATING TO ITS GROWTH, EARNINGS, ASSETS ETC, PROVIDED BY PROSPECTIVE FIRMS
SA-1 DTD 6/5/86, ITEM 4
Retention: Destroy after 6 months.
(LOAN & INVESTMENT SECTION)
- 530600-LI005 SERVICE CONTRACTS BETWEEN ERS & FIRMS & INDIVIDUALS DOING BUSINESS WITH ERS ON INVESTMENT MATTERS
SA-1 DTD 6/5/86, ITEM 5
Retention: Destroy 6 years after termination.
(LOAN & INVESTMENT SECTION)
- 530600-LI06A DIRECT COMMERCIAL & PARTICIPATION LOAN FILES CONSISTING OF APPLICATIONS, PARTICIPATION LOAN AGREEMENTS, MORTGAGE AGREEMENT, NOTE, CONSTRUCTION LOAN AGREEMENT, STATEMENT OF ASSETS AND LIABILITIES, ETC.
(A) PAID UP LOANS
SA-1 DTD 6/5/86, ITEM 6A
Retention: Destroy 6 years after final settlement.
(LOAN & INVESTMENT SECTION)
- 530600-LI06B DIRECT COMMERCIAL & PARTICIPATION LOAN FILES CONSISTING OF APPLICATIONS, PARTICIPATION LOAN AGREEMENTS, MORTGAGE AGREEMENT, NOTE, CONSTRUCTION LOAN AGREEMENT, STATEMENT OF ASSETS AND LIABILITIES, ETC.
(B) FORECLOSED, LIQUIDATED LOANS
SA-1 DTD 6/5/86, ITEM 6B
Retention: Destroy 10 years after final settlement.
(LOAN & INVESTMENT SECTION)
- 530600-LI007 PERIODICAL RELATING TO INVESTMENT MATTERS
SA-1 DTD 6/5/86, ITEM 7
Retention: Destroy when no longer needed.
(LOAN & INVESTMENT SECTION)

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5312000000
B&F PUBLIC UTILITIES COMMISSION

RECORD

SERIES ID RECORD SERIES DESCRIPTION

531200-00002 COMMISSION DECISION & ORDER FILE/REGISTRY
SA-1 DTD 12/3/79, ITEM 2
Retention: Permanent.

531200-00003 RULES & REGULATIONS OF COMMISSION
SA-1 DTD 12/3/79, ITEM 3
Retention: Permanent.
(See: GRS 1, 2002 Item 1.5)

531200-00004 AUTHORIZED DEVIATIONS FROM RULES & REGULATIONS
SA-1 DTD 12/3/79, ITEM 4
Retention: Permanent.

531200-00005 COMMISSION DOCKETS ON UTILITIES AND TRANSPORTATION COMPANIES
(APPLICATIONS AND OFFICIAL DOCKET FILE)
SA-1 DTD 12/3/79, ITEM 5
Retention: Microfilm after 10 years & destroy.

531200-00006 CORRESPONDENCE (A) GENERAL CORRESPONDENCE OF THE COMMISSION CONCERNING
THE POLICIES; ADMINISTRATION; OPERATIONS; ORDER; DIRECTIVES; FRANCHISES,
INTERPRETATIONS OF GENERAL ORDERS, DECLARATORY RULINGS; INFORMAL OPINIONS
RENDERED, LEGAL OPINIONS, ETC
SA-1 DTD 12/3/79, ITEM 6A
RETENTION: Permanent.
(See: GRS 1, 2002, Item 1.2a)

531200-00007 CORRESPONDENCE (B) GENERAL CORRESPONDENCE & RELATED RECORDS
CONCERNING THE IMPLEMENTATION OF DEPARTMENTAL & COMMISSION POLICIES, RULES AND
PROCEDURES (INTERNAL MATTERS)
SA-1 DTD 12/3/79, ITEM 6B
Retention: 10 years.
(See: GRS 1, 2002, Item 1.2b)

531200-00008 CORRESPONDENCE (C) GENERAL CORRESPONDENCE OF THE COMMISSION
CONCERNING ROUTINE ACTIVITIES & REQUEST FOR INFORMATION WHICH DO NOT INVOLVE
POLICY DETERMINATION OR GOVERNMENT LIABILITY
SA-1 DTD 12/3/79 RECORDS CONTROL SCHEDULE ITEM 6C
Retention: 1 year.
(See: GRS 1, 2002, Item 1.3a)

531200-00010 REPORTS (A) COMMISSION'S ANNUAL REPORT
SA-1 DTD 12/3/79, ITEM 7A
Retention: Permanent.

531200-00012 REPORTS (C) SPECIAL REPORTS PREPARED BY COMMISSION STAFF
SA-1 DTD 12/3/79, ITEM 7C
Retention: Permanent.

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5312000000
B&F PUBLIC UTILITIES COMMISSION

RECORD
SERIES ID RECORD SERIES DESCRIPTION

531200-00013 REPORTS (D) SPECIAL REPORTS SUBMITTED TO COMMISSION
SA-1 DTD 12/3/79, ITEM 7D
Retention: Permanent.

531200-00014 REPORTS (E) UTILITY ACCIDENT REPORTS FILED WITH COMMISSION
SA-1 DTD 12/3/79, ITEM 7E
Retention: 5 years.

531200-00015 REPORTS (F) REPORTS ON FATAL UTILITY ACCIDENTS
SA-1 DTD 12/3/79, ITEM 7F
Retention: Permanent.

531200-00030 REPORTS (G) FINANCIAL REPORTS FOR PUBLIC UTILITIES
(1) MONTHLY
SA-1 DTD 12/3/79, ITEM 7G(1)
Retention: 2 years.

531200-00017 REPORTS (G) FINANCIAL REPORTS FOR PUBLIC UTILITIES
(2) ANNUAL
SA-1 DTD 12/3/79, ITEM 7G(2)
Retention: Permanent.
Disposition: Transfer to Archives In 5 years.

531200-00018 PRINTED ANNUAL REPORTS FOR PUBLIC UTILITIES COMPANIES FILED WITH COMMISSION
FOR INFORMATION
SA-1 DTD 12/3/79, ITEM 7H
Retention: Permanent.
Disposition: Transfer to Archives In 5 years.

531200-00031 REPORTS (I) FINANCIAL REPORTS FOR TRANSPORTATION COMPANIES
(1) MONTHLY
SA-1 DTD 12/3/79, ITEM 7I(1)
Retention: Retain until annual report filed.

531200-00019 REPORTS (I) FINANCIAL REPORTS FOR TRANSPORTATION COMPANIES
(2) ANNUAL
SA-1 DTD 12/3/79, ITEM 7I(2)
Retention: 5 years.

531200-00020 INFORMAL RESEARCHES, ANALYSES, STUDIES, PROBES, INQUIRIES, INVESTIGATIONS
DIRECTED BY COMMISSION
SA-1 DTD 12/3/79, ITEM 8
Retention: 5 years.

531200-00021 COPIES OF PUBLIC UTILITIES AND TRANSPORTATION COMPANIES STATE
AND FEDERAL TAX RETURNS
SA-1 DTD 12/3/79, ITEM 9
Retention: 5 years.

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5312000000
B&F PUBLIC UTILITIES COMMISSION

RECORD
SERIES ID RECORD SERIES DESCRIPTION

531200-00022 REAL PROPERTY TAX EXEMPTIONS CLAIMS FOR PUBLIC UTILITIES COMPANIES
SA-1 DTD 12/3/79, ITEM 10
Retention: 5 years.

531200-00023 RECORDS PERTAINING TO PUBLIC UTILITIES COMPANIES WHICH ARE DEFUNCT OR
REMOVED FROM PUC JURISDICTION AND/OR REGULATION BY LEGISLATIVE ACTION
SA-1 DTD 12/3/79, ITEM 11
Retention: Permanent.
Disposition: Transfer to Archives 5 years after inactive.

531200-00024 RECORDS PERTAINING TO COMPANIES, OTHER THAN PUBLIC UTILITIES WHICH ARE
DEFUNCT OR REMOVED FROM PUC JURISDICTION AND/OR REGULATION BY
LEGISLATIVE ACTION
SA-1 DTD 12/3/79, ITEM 12
Retention: 5 years.

531200-00025 MOTOR CARRIER CARGO INSURANCE CERTIFICATE (MCB-8)
SA-1 DTD 12/3/79, ITEM 13
Retention: Retain current record only.

531200-00026 MOTOR CARRIER CARGO INSURANCE ENDORSEMENT (MCB-9)
SA-1 DTD 12/3/79, ITEM 14
Retention: Retain current record only.

531200-00027 NOTICE OF CANCELLATION OF MOTOR CARRIER INSURANCE POLICY
SA-1 DTD 12/3/79, ITEM 15
Retention: Retain current record only.

531200-00028 MOTOR CARRIER CERTIFICATE OF INSURANCE (WC3539)
SA-1 DTD 12/3/79, ITEM 16
Retention: Retain current record only.

531200-00029 MOTOR CARRIER INSURANCE ENDORSEMENT (WC3538)
SA-1 DTD 12/3/79, ITEM 17
Retention: Retain current record only.

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 5313000000
B&F OFFICE OF THE PUBLIC DEFENDER

RECORD
SERIES ID RECORD SERIES DESCRIPTION

531300-00001 MISDEMEANOR CASE FILES (DISTRICT COURT), 1994 - Present
SA-1 DTD 1/6/98, ITEM 1
Retention: 2 years after close of file.
Disposition: Retain in office for 2 years after close of file, then destroy.

531300-00003 FAMILY COURT CASE FILES (ALL CASES), 1972 - Present
SA-1 DTD 1/6/98, ITEM 2
Retention: 10 years after close of file.
Disposition: Retain in office for 3 years after close of file. May transfer to State Records Center (SRC) for the remainder of authorized retention, then destroy.

531300-00004 FELONY CASE FILES: ROUTINE CASES, 1972 - Present
SA-1 DATED 1/6/98, ITEM 3A.
Retention: 10 years after close of file.
Disposition: Retain in office for 3 years after close of file. May transfer to State Records Center (SRC) for the remainder of authorized retention, then destroy.

531300-00002 FELONY CASE FILES: SPECIAL CASES, 1972 - Present
DEFENDENT RECEIVES A SENTENCE OF 20 YEARS OR GREATER.
SA-1 DATED 1/6/98, ITEM 3B.
Retention: 20 years after close of file.
Disposition: Retain in office for 3 years after close of file. May transfer to State Records Center (SRC) for the remainder of authorized retention, then destroy.

**RECORD SERIES REPORT
DEPARTMENT OF BUDGET & FINANCE**

DEPARTMENT: 531500000
B&F HAWAII EMPLOYER-UNION HEALTH BENEFITS TRUST FUND

RECORD
SERIES ID RECORD SERIES DESCRIPTION

531500-00001 MEDICAL AND INSURANCE BENEFITS ENROLLMENT FORMS & SUPPORTING DOCUMENTS
- Original paper records that were converted to electronic records, 1994 - Present
SA-1 DTD 5/14/03, ITEM 1
Retention: 3 years after conversion to electronic records.
Disposition: After the original paper records are converted to electronic records, the original records may be stored in the State Records Center. Destroy after the cited retention.