

STATE OF HAWAII
RECORDS DISPOSITION AUTHORIZATION

State Archives
Iolani Palace Grounds, Honolulu, Hawaii 96813

Attention: State Archivist

1. In compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request Continuous authorization to destroy or otherwise dispose of the numbered record items listed below. Authorization

ITEM NO.	FORM NO.	DESCRIPTION	YEARS OR PERIOD		RETENTION
			FROM	THROUGH	
430704 -00001		<p>DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS Business Registration Division</p> <p>Investor Education Program (IEP) Files IEP files are created for each community event IEP staff attend and each presentation they conduct. The files contain copies of the registration form and payment, event flyer and other information for the event.</p> <p>Retention: 2 years from event or presentation date.</p> <p>Disposition: Destroy after cited retention.</p> <p><i>Ty Nohara</i> _____ Ty Nohara, Commissioner Business Registration Division</p>			

2. Record items Nos. N/A

_____ will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.

It is requested that Record items Nos. N/A

_____ be transferred to the State Archives.

3.

DJ

Dean I. Hazama

SIGNATURE OF RECORDS OFFICER

Dept. of Commerce and
Consumer Affairs

AGENCY

Catherine P. Awakuni Colon

Catherine P. Awakuni Colon

SIGNATURE OF HEAD OF DEPARTMENT

DATE: Mar 9, 2021

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions: N/A

Record items Nos. N/A

_____ to be transferred to State Archives *Adam Jansen*

AGENCY

Adam Jansen

STATE ARCHIVIST

DATE: Mar 10, 2021

5. Destruction or other disposal, with exceptions indicated, approved. *Curt T. Otaguro*

Continuous authorization
 Authorization

Curt T. Otaguro
COMPTROLLER

DATE: Mar 10, 2021

STATE OF HAWAII
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
Archives Division
Comments and Recommendation

Date: 3/5/2021

Records Analyst Name: Gina Vergara-Bautista

Nature of Request: The Investor Education Program, Securities Compliance Branch, Business Registration Division, , Department of Commerce and Consumer Affairs is requesting a new retention schedule for Investor Education Files.

Agency Description:

The Investor Education Program (IEP) provides investor education and financial literacy outreach statewide. The IEP maintains outreach programs for kupuna (seniors) and caregivers, working families and union members, keiki (youths), industry professionals, military, and Hawaiian and other ethnic communities. The IEP is also the state coordinator of LifeSmarts, a national consumer education program for youth.

Record Series Description:

IEP files are created for each community event they attend and each presentation they conduct. The files contain copies of the registration form and payment, event flyers and other information for the event.

At events, the IEP will have a table or booth to pass out our investor education outreach materials (brochures, handouts, etc.). Presentations are primarily done for seniors (at community centers, retirement homes, etc.) and files would contain an internal summary sheet with info on the location, time, date, topic, estimated attendance, etc. and evaluations distributed and collected by our staff following their presentation.

Laws Affecting Retention:

None.


Recommendation:

Below is the proposed retention and disposition that meets the business needs of the agency.

Proposed Series Number, Series Name, and Description	Proposed Retention	Proposed Disposition
<p>430704-0001</p> <p>Investor Education Program (IEP) Files</p> <p>IEP files are created for each community event IEP staff attend and each presentation they conduct. The files contain copies of the registration form and payment, event flyers and other information for the event.</p>	<p>2 years from event or presentation date.</p>	<p>Destroy after cited retention.</p>

Approved

Disapproved

Reviewed by: 

 Adam Jansen, Archives Administrator

Date: Mar 9, 2021
