

UIPA RECORD REQUEST LOG (Revised)
FREQUENTLY ASKED QUESTIONS (FAQ)
December 2013

The UIPA Record Request Log was revised in December 2013. While the written Instructions will answer most questions about the changes to the Log, here are additional questions that may not have been directly addressed in the Instructions. For any other questions, please call OIP at 586-1400 or email oiip@hawaii.gov. For updates, please check out the training page or look for OIP's What's New emails and articles on its website at oiip.hawaii.gov.

1. When do agencies have to start using the revised Log?

The revised Log must be used by January 1, 2014, but the agency may begin using it immediately and transfer its data for the first part of FY 2014 onto the new Log. Because the changes in data entry are minimal, the agency can simply copy the data from its current Log for FY 2014 onto the new Log. If there were any complex requests, then the agency can simply replace any dates in **Columns K and L** with a single "x" per affected column. For **Column I**, agencies must manually add an "x" when initial responses were sent within 10 workdays of receiving the request. Agencies do not need to go back and correct their entries in other columns. **After modifying, if necessary, and transferring the old data, please enter the yellow highlighted "Totals" (row 11) from the revised Log onto your department's Log for uploading onto the Master Log at data.hawaii.gov by January 31, 2014.** See the written Instructions on how to transfer data from the old Log to the new Log.

2. What are the changes to entering data in the revised Log?

In summary, while the Log revised in December 2013 adds 16 new columns of automatically calculated statistics, a new blue row to explain how the yellow highlighted "Totals" are calculated, and a new orange highlighted row of the agency's "Averages" that are automatically calculated, **the biggest changes affecting agencies in entering data take place in just three columns.** **Column I** has been changed so that the agency must now manually enter an "x" if, within 10 work days, it sent an "initial response," which has been redefined to be a notice, acknowledgment, or completion of the case. In order to distinguish between complex and noncomplex requests, agencies now need to enter an "x" (instead of dates) in **Column K** to identify a complex request, and also in **Column L** to indicate whether incremental responses were provided for a complex request.

3. Why are agencies required to fill out the Log?

The Uniform Information Practices Act (UIPA) requires each agency to "[t]ake steps to assure that all its employees and officers responsible for the collection, maintenance, use, and dissemination of government records are informed of the requirements of this chapter." HRS § 92F-18(a)(2). The law also states that "[e]ach agency shall compile a public report describing the records it routinely uses or maintains using forms prescribed by the office of information practices." HRS § 92F-18(b). Each agency must file an annual report "to ensure that the information remains accurate and complete." HRS § 92F-18(c).

4. Why did OIP create the Log?

The state Office of Information Practices (OIP) has created the Log as a uniform tool/method of collecting data that each state and county department/agency must provide to OIP. Consistent with the State's open data policy (Act 263, SLH 2013), the information collected by the Log will be posted on the State's centralized website – data.hawaii.gov – where data can be summarized and used to create various reports and visualizations by agency, department, and branch of government to show how Hawaii's open records law is working. OIP has posted a Master Log on data.hawaii.gov, where each department will report the total numbers from all of their agencies' Logs.

The Log is a useful tool to help agencies meet their UIPA obligations, as it will assist agencies to keep track of UIPA requests, so that the requests do not go unresolved when the personnel handling them may have forgotten to respond, have gone on vacation, or have left their jobs. The Log also helps agencies to comply with the UIPA because it walks agency personnel through the process of properly responding to UIPA requests. Moreover, based on the agencies' entries of their response times and fee waivers, the Log automatically calculates search, review, and segregation fees. Overall, the Log data will give agencies, OIP, the Legislature, and the general public a better analysis of how the UIPA is working in Hawaii, including how many UIPA requests are being made, how requests are resolved, the timeliness of agencies' UIPA responses, the amount of resources being used to fulfill agencies' UIPA obligations, and how many fee waivers are being granted.

Notably, OIP has not revised its administrative rules setting forth allowable fees and waivers since 1998, and there have been many changes in personnel costs and technology since then. Before it considers possible amendments to its administrative rules, OIP is seeking objective data that is collected in a uniform manner, which can be used to evaluate whether any rule changes are warranted.

Finally, data from the Log can be used to measure the effectiveness of the UIPA. The baseline information collected by the Log can be compared over time with new data to determine the impact of the State's open data and modernization efforts on the number, outcomes, fees, and costs of UIPA record requests and the amount of agency staffing/time needed to fulfill them. Additionally, the Log data may help to identify and support improvements, such as electronic processing of record requests.

5. Based on the Master Log data, will OIP be posting charts, graphs, and other visualizations on data.hawaii.gov?

Yes. OIP has already begun posting charts on data.hawaii.gov based on the preliminary results obtained on the Master Log for FY 2013. OIP will continue to develop and post additional visualizations, which can be found by logging on to data.hawaii.gov and searching for the "UIPA Log" or "OIP Log." Agencies and members of the public can also create and post their own visualizations using OIP's charts and the data provided on the Master Log.

6. Do routine requests have to be tracked?

Yes, by the agency. Routine requests, where the agency has established a fee schedule and the UIPA Notices to Requester are not sent, should not be tracked on the

same Log whose yellow highlighted “Totals” in row 10 will eventually be uploaded onto the Master Log because those numbers will skew the results. Instead, each agency is expected to track, on its own, the total number of routine requests that it receives and to manually add that number in a designated column when the Log is uploaded to the Master Log on data.hawaii.gov.

7. The Log is so long; do all columns have to be filled out?

No. While there are a lot of columns, you should not feel intimidated by the Log’s appearance because it is easy to fill out if you have an average knowledge of the UIPA. Not all columns have to be filled out and most will be automatically calculated or populated for you. For example, the section on how a request is resolved has nine possible column entries, but one column is automatically calculated and this section could be filled out with as little as one entry by the agency. No data is entered by the agency after Column AH, and 27 columns will be automatically calculated or populated by the Log.

Overall, the agency may have to fill out as few as 12 columns. For example, in order to determine the timeliness of responses, dates must be entered. In order to have the Log automatically calculate the chargeable fees, the actual time spent on search, review, and segregation must be entered.

8. How do I learn how to use the Log?

For training on how to use the Log, OIP has a 1.5 hour-long power point presentation and Sample Log on the UIPA training page of its website at oip.hawaii.gov. The Log itself contains brief instructions in the column headings and in pop-ups for easy reference while using it. A full set of written instructions can be downloaded from OIP’s website and kept by the user’s computer to assist in filling out the Log. A separate document answering “Frequently Asked Questions” about the Log is also on the website.

There is separate training on OIP’s website to explain how each department should upload the department’s Log onto the Master Log at data.hawaii.gov. Additionally, OIP’s website has various videos, guides, and other training materials regarding the UIPA in general.

If you have additional questions about the Log or the UIPA, you can call OIP at 586-1400 or email oip@hawaii.gov.

9. Where do I find the UIPA Log form?

The UIPA Log is an Excel spreadsheet posted under [UIPA Record Request Log](#) on the OIP’s training page at oip.hawaii.gov. One worksheet is the UIPA Log form itself, which does not show the highlighted Examples and is ready for agencies to enter data into the white rows that begin at row 12 (not to be confused with the request numbers shown in Column C). The other worksheet is a Sample Log, which agencies can use for practice and training. The Sample Log contains four Examples of how to properly enter data in highlighted rows 5 through 8, while its white rows 12 through 15 show data that has been erroneously entered.

10. Can the formulas be viewed and can the Log be revised?

Like any Excel spreadsheet, you can see the formulas in the Log's formula bar. But the **Log formulas are locked and cannot be revised**, in order to ensure that uniform information will be collected from various levels of government without having any columns, formulas, and instructions accidentally modified or deleted. To align properly with the Master Log when the agency's "Totals" are uploaded onto data.hawaii.gov, **the agency must not add or delete any columns from F on**. The agency can only modify Columns C, D, and E.

11. Why do we have to keep track of search, review, and segregation (SRS) time, when the agencies are not charging for the records and it costs more to process payment than to give the records to the requester?

If it is a routine request for which a Notice to Requester has not been sent, it is not necessary to track SRS time.

Even if the agency is not now charging for UIPA record requests or waives most fees, the agency must still keep track of the time it spends on requests in which it sends a Notice to Requester. Objective data from the agencies themselves about how much time it takes to actually respond to record requests will help to provide a true measure of the costs and benefits of the UIPA. The data can be analyzed to determine whether and how OIP's 1998 rules regarding allowable fees, costs, and waivers could be changed in light of increased personnel costs and technology, and whether a more efficient system can be developed to fulfill record requests. Over time, this data could also help the State to evaluate how its efforts to upgrade its technology and to provide more readily accessible information through data.hawaii.gov have impacted agency staff time and resources to fulfill UIPA record requests.

12. Does each agency have to turn in its Log to OIP?

Not directly to OIP. Each agency's Log totals must be gathered by department, which will then upload all of its agencies' totals onto the Master Log at data.hawaii.gov. Separate instructions on how to upload to the Master Log are posted on the training page of OIP's website at oip.hawaii.gov.

13. How often must the Log data be uploaded to data.hawaii.gov?

Beginning in 2014, agencies must upload their Log data twice a year to their department's Log, which must then be uploaded onto the Master Log at data.hawaii.gov as follows: (1) **by January 31**, to cover record requests received by the agency from July 1 through December 31; and (2) **by August 31**, to cover the requests received during the entire fiscal year from July 1 through June 30. For instructions on how to upload the Log data to data.hawaii.gov, go to OIP's training page on its website at oip.hawaii.gov.

14. Do I start a new Log with each new fiscal year?

Yes, the Log is to be kept on a fiscal year basis, which begins on July 1 and ends on June 30. Every July 1, please start a new Log of record requests received from that date forward. Except as described in question 1 above, you do not have to start a new Log after

uploading your semiannual results to data.hawaii.gov in January, because you will use one Log for the entire fiscal year.

This means, however, that you will be working with two Logs for approximately two months after each fiscal year ends on June 30 because you will still be inputting results in the prior year's Log regarding pending requests received in that year, while also recording new requests in the current fiscal year's Log. Because the agency's fiscal year-end Log does not have to be uploaded to data.hawaii.gov until August 31, you have additional time to try to resolve and to report all requests received through June 30 of the prior fiscal year.

15. What is the retention period for the Logs?

Each agency must retain the electronic and paper versions of its Logs for 20 years.

16. Do agencies still have to fill out OIP's "Log of Written Requests for Access to Agency Records" or the "Report of Statistical Information Required by the UIPA, Section 92F-18(b)(12)," which were formerly required by the Records Report System?

No. The Log replaces both of those previous reports.

17. How many record requests can I record on the Log?

Although the print area for the Log is currently set at 50 requests, the Log can actually record up to 1000 requests. If you need to record more than 1000 requests in a fiscal year, you can contact OIP for help in adding more rows to the Log.

18. The Log is so long; how can I print it out?

Detailed instructions on how to print out the Log in sections are provided in the written Instructions. Additionally, to accompany the power point training, a PDF version of the Sample Log with incorrect data entries has already been pre-formatted and is ready to be printed, preferably in color, and can be downloaded from OIP's [UIPA Record Request Log training page](#) at oip.hawaii.gov.

19. Can the agency use a printed version of the Log to manually write in their entries?

Not unless someone will later enter the data onto the computer. Manually entered data cannot be uploaded to data.hawaii.gov and will not provide the benefit of having totals, fees and costs, and various statistics automatically calculated.

20. Why can't OIP just distribute a survey asking agencies to provide the information desired, rather than using a Log?

Because a lot of detailed information is needed for OIP's study of fees, costs, and waivers, the Log was developed as an excel spreadsheet to uniformly and electronically collect data. The Log also automatically calculates for the agencies many amounts that could not be easily provided by the agencies in response to a multi-page survey. As an Excel spreadsheet, the Log data can be easily uploaded to data.hawaii.gov, where it will be summarized and publicly available to view or create various reports.

21. Why am I getting an error message (#VALUE!) in Column Y and later?

If you mistakenly entered decimals using a comma, instead of a period, then the amounts in Columns V through X will not total properly and there will be an error message in Column Y and later columns.

Although you will not get an error message to notify you, remember that you need to properly enter the data in the other columns as well, in order for the Log's "Totals" and "Averages" to provide correct data. For example, remember to enter only one "x" and no other letter, symbol, or date in Columns F, I through M, and O through U. Also, in Columns G and H, be sure to enter only one date per request.