

AGENDA
STATE RECORDS BOARD

7/27/2017

8:30 a.m.

Kansas State Historical Society
Center for Historical Research
6425 SW 6th Ave.
Executive Conference Room, 2nd Floor

1. Introductions and announcements
2. Minutes from previous meeting
3. Kansas State Department of Administration ERP
4. Kansas State Board of Examiners in Optometry
 - a. New Entries
 - b. Revised Entries
 - c. Supersede Other Entries
5. Local General Schedule
 - a. New Entries
6. State General Schedule
 - a. Revised Entries
7. Attorney General's Office
 - a. New Entries
8. Housekeeping changes:
 - a. Housekeeping
 - Insurance Department
 - Kansas State University
9. Other business:
 - a. SRB Annual Report FY 2017
 - b. Revised ERP Template and Cover Sheet
 - c. Body Cameras Retention Schedule
 - d. Future meetings:
 - October 19, 2017
 - January 18, 2018
 - April 19, 2018

State Records Board

April 20, 2017

Executive Conference Room – Kansas Historical Society

Present: Lisa Mendoza, designee of the Attorney General (chair)
Jennie Chinn, Executive Director, Kansas Historical Society (KHS)
Matt Veatch, State Archivist
Bill Sowers, designee of the State Librarian
Philip Michael, designee of the Secretary of Dept. of Administration (DofA)
Ryan Leimkuehler, Government Records Archivist (KHS)
Megan Rohleder, Electronic Records Archivist (KHS)
Mark Cole, Archives Specialist (KHS)
Martin Eckhardt, Office of the Chief Financial Officer (OCFO)
Nancy Ruoff, Office of the Chief Financial Officer (OCFO)
Jay Hedrick, Executive Director, Kansas Board of Veterinary Examiners (KBVE)

Via Phone: Cliff Hight, University Archivist, Kansas State University (KSU)
Kathy Kugle, Division of Human Capital Services, KSU (DHC)
Monty Nielsen, University Registrar (KSU)
Barbara Nagel, Assistant Registrar (KSU)
Jackie Yingling, Assistant Director, Kansas Board of Pharmacy (KBOP)
Athena Andaya, Office of the Attorney General, Legal Counsel, (KBVE)

Meeting called to order at 8:33 a.m. and Ms. Mendoza began the introductions. Ms. Mendoza inquired if there were announcements for the board. With no announcements, moved to reviewing previous meeting minutes.

Minutes: Previous meeting minutes were reviewed. Ms. Mendoza provided copies for technical corrections to be made by KHS staff.

Motion: Ms. Chinn moved approval of meeting minutes as amended by Ms. Mendoza. Mr. Veatch seconded, unanimous approval of January 19, 2017 minutes as amended.

Kansas Board of Pharmacy: Ms. Rohleder presented the amended Electronic Records Committee (ERC) endorsed ERP for eLicense. Mr. Rohleder indicated that attachments were added to the end of the ERP to show how the security audit worked as well as a notation of what provisions are in place in the event the vendor goes out of business. Ms. Rohleder informed the board that all associated records series had already been updated. Mr. Veatch commented to the board that the ERC was close to having a revised ERP template and that would present endorsed version at the next SRB meeting.

Motion: Mr. Veatch moved to approve ERP as presented. Mr. Michael seconded, unanimous approval.

Mr. Leimkuehler requested that the Kansas Secretary of State revised entries be move to the last order of business due to lack of agency representative.

Kansas Board of Veterinary Examiners: Mr. Leimkuehler gave a brief description of the KBVE. Ms. Rohleder presented their amended and endorsed ERP to the board. Ms. Rohleder stated that section A had been revised to show that documents could also be stored in native formats and wording was added to describe what would happen if vendor went out of business.

Motion: Mr. Michael moved to approve the amended ERP as presented. Mr. Veatch seconded, unanimous approval.

Mr. Leimkuehler presented the revised and superseded entries to the board. Mr. Leimkuehler indicated that majority of the changes are in the retention period and the addition and removal of certain restrictions. The board reviewed and discussed the proposed series changes with Mr. Hedrick and Ms. Andaya. Through this discussion, the board determined that the restrictions for series 0003-700 should read, "K.S.A. 45-221(a)(1)(2)(3)(4)(6)(11)(14)(20)(25)(30), K.S.A. 47-849, K.S.A. 60-226, and K.S.A. 60-426". The board also indicated that the restrictions listed in series 0006-700 and series 0008-700 should be separated by comma's instead of periods. In addition, the precedent-setting language be removed from series 0008-700 comments section and placed into series 0006-700 comments. The new comments for series 0008-700 should be revised to state, "If no probable cause found, retain 5 years after investigation is closed, then destroy. If investigation results in a hearing, records shall be transferred to the Hearing Files.". The board determined that the restrictions for series 0013-700 should read, "K.S.A. 45-221(a)(6)(9)(14)(20)(25)(30)" and FOIA restriction be removed. Discussion of series 0014-700 resulted in removal of restriction 45-221(a)(1) and the addition of 45-221(a)(14)(30). Series 0020-700 discussion determined restrictions should only state, "K.S.A. 45-221(a)(6)(9)" and series 0021-700 restrictions should state, "K.S.A. 45-221(a)(6)(9)(14)(30)".

Motion: Mr. Veatch moved to approve the revised series as amended, Ms. Chinn seconded. Unanimous approval.

Mr. Leimkuehler explained that the entries to be superseded were straight forward. The board reviewed and no discussion was necessary.

Motion: Mr. Veatch moved to approve the superseded series as presented, Mr. Sowers seconded, unanimous approval.

Kansas State University: Mr. Leimkuehler indicated that the series being presented are from the Division of Financial Services and the Division of Human Capital Services and provided a brief description of each division. The proposed series will fulfill business obligations and current business practices. The board had no questions or concerns on the proposed new series.

Motion: Mr. Sowers moved to approve new series as presented. Mr. Michael seconded, all in favor.

Mr. Leimkuehler continued with the proposed revised schedule entries. Mr. Leimkuehler indicated that some of the series that are presented due to not having the housekeeping authority to add ERP's to series. The board will address adding that authority in the housekeeping section of the agenda. Ms. Mendoza asked Mr. Hight what specific federal restrictions would apply to series 0001-367. Mr. Hight indicated Family Educational Rights and Privacy Act (FERPA) would be the restriction that would apply. Ms. Mendoza requested that the specific FERPA citation be listed as a housekeeping change once Mr. Hight provided it to archive staff. Ms. Mendoza also questioned the restrictions listed for series 0070-367. Discussion with Mr. Hight resulted in the restrictions being amended to just, "K.S.A. 45-221(a)(4)". Further discussion with Mr. Hight and Ms. Kugle regarding the employee personnel files resulted in series 0071-367 brought into question. Mr. Hight indicated that the nuances of the different divisions have essentially created three separate types of employee files. Series 0071-367 being a previously approved schedule entry, series 0070-367 being presented and a new schedule entry that is currently being worked on to present to the board. The board determined that household changes to series 0070-367 could be done to update the format and ERP to reflect current business practice, but to table the series until both 0070-367 and 0071-367 could be revised by the agency and presented at the same time. Mr. Hight indicated that they would clarify both the titles and descriptions for each specific entry and hopefully have all three ready to present at the same time for board approval.

Motion: Mr. Veatch motioned to table series 0070-367, Mr. Sowers seconded, unanimous approval.

Motion: Mr. Veatch motioned to approve remaining revised series entries as amended. Ms. Chinn seconded, unanimous approval.

Kansas Department of Administration: Mr. Leimkuehler stated that most of the series changes pertain to the office of the Chief Financial Officer. The board discussed the new series entry. Only question was why restriction 45-221(a)(4) was listed. Ms. Ruoff indicated that some service desks request may involve employee information and is why they listed it. No further discussion.

Motion: Mr. Sowers moved to approve new schedule entry as presented. Ms. Chinn seconded, unanimous approval.

Mr. Leimkuehler indicated that the presented revised schedule entries were mainly restrictions being added and minor description changes to better clarify the series. Board discussion resulted in the restrictions for series 0098-173 being amended to, "K.S.A. 45-221(a)(1), K.S.A. 75-104". For series 0236-173, it was determined to remove restriction 42 USC 418 and replace with K.S.A. 45-221(a)(1). The board requested more clarification for the descriptions for series 0492-173. Mr. Eckhardt clarified the two series and description was amended. Series 0492-173 description amended to, "Records regarding forms revisions for statewide financial and accounting policies issued by the Department of Administration." Series 0505-173 was amended to, "Records regarding statewide financial and accounting policies issued by the Department of Administration."

Motion: Mr. Veatch moved to approve the revised series as amended. Ms. Chinn seconded, unanimous approval.

The board reviewed the records to be superseded. No questions or discussion regarding proposed changes.

Motion: Mr. Sowers moved to approve superseded series as presented. Mr. Veatch seconded, unanimous approval.

Kansas Secretary of State: A representative wasn't in attendance. Mr. Leimkuehler presented the proposed series changes with understanding that if board had questions regarding a series, that series would be tabled until representative was available. The board discussed the series and had no questions or concerns. Mr. Veatch did point out that even though series are mainly in electronic form, an ERP isn't required and that the records are to be archived.

Motion: Mr. Veatch moved to approve entries as presented. Ms. Chinn seconded, unanimous approval.

Housekeeping: The board reviewed the Housekeeping changes and accepted as presented. The board discussed the issue of adding the authority to update series following the approval of and approved ERP to the housekeeping rules. It was determined to add to existing language for rule #7, "may also update retention schedule when ERP has been approved."

Motion: Mr. Veatch moved to approve housekeeping edits and housekeeping rule as amended. Mr. Michael seconded, unanimous approval.

Other Business: Mr. Leimkuehler updated the board on webex training program.

The final order of business was to confirm the proposed future meetings. With nothing further to discuss, the board adjourned at 9:50 a.m.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
July 27, 2017**

1. **Agency:** Kansas State Board of Examiners in Optometry
2. **Records Officer:** Jan Murry **Phone:** 785-832-9986
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 07/13/2017
5. **a) Total records – No. of Series:** 8
b) New series – No. of Series: 2
c) Revised existing series – No. of Series: 4
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 2
6. **Archival/Permanent records – No. of Series:** 3
7. **Appraisal Narrative:**

The Kansas Board of Examiners in Optometry administers and enforces the provisions of Kansas Optometry Law. Records generated by this agency primarily focus on licensing and evaluating Kansas optometrists.

The appraisal is based upon discussions with agency staff by the appraising archivist. Two new series were identified national Board Records which contain scores received from the national Board of Optometry and Non-COPE Continuing Education Records which are comprised of applications for continuing education that is not COPE approved.

The revised series range from complete revisions to slight revisions. Examination Creation Records (Series 0009-488) clarified the records that are included in this series and clarified the retention period. Examination Rosters (0008-488) removed the comment of “until no longer useful” and established a 1 year retention period. Legal Case Files (0010-488) updated the restrictions to include possible restrictions with hearing and complaint files and added hearings and complaint files to description once they are superseded into this series. License

Files (0011-488) clarified the title to better reflect what was included in the records series and further clarified the retention period to give better guidance on when to transfer records to archives.

Complaint and Hearing Files (0005-488) was redundant to separate out from the Legal case Files (0011-448). Reciprocity Licensing Application Files (0025-488) was redundant to separate out from License Files (0011-488).

Retention/Disposition Schedule Entries

New Series

488-001

Board of Optometry Examiners

National Board Records (Series Unknown)

Scores received from the National Board of Optometry.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 5 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(a)(9)

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: rl: New entry created

Non-COPE Continuing Education Records (Series Unknown)

Council on Optometric Practitioner Education (COPE) Records contain application for continuing education (CE) approval, outline/PowerPoint of CE and CV of instructors, and approval by the Board of Optometry Examiners.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 5 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(a)(9)

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Retention/Disposition Schedule Entries

Revised Series

488-001

Board of Optometry Examiners

Examination Creation Records (Series 0009-488)

Contains all records generated for the creation of the exam including the blank copy of the exam.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(a)(9)

Schedule Authority: Agency Schedule

KAR Number 53-2-091

Last Surveyed 12 August 1991

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: rl: complete revision

Examination Rosters (Series 0008-488)

Lists of applicants scheduled to take the licensing examinations or of individuals who took them.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 1 cldr yr

Disposition: Destroy

Restrictions: KSA 45-221(a)(9)

Schedule Authority: Agency Schedule

KAR Number 53-2-091

Last Surveyed 12 August 1991

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: rl: removed comments, added 1 cldr yr to retention.

Legal Case Files (Series 0010-488)

Variety of documents relating to legal proceedings involving the Board. Includes complaint and hearings files related to complaints against optometrists received by the Board and investigations resulting from such complaints.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Archives

Restrictions: portions may be restricted per KSA 45-221(a)(1), (2), (3), (6), (11), (14), (20), (25), (29), (30), KSA 40-26.

Comments: Retain 5 years after case is closed, then transfer to the archives.

Schedule Authority: Agency Schedule

Revised Series

KAR Number 53-2-091

Last Surveyed 12 August 1991

Record Copy: Unknown

Remarks: rl: updated restrictions to include possible restrictions with hearing and complaint files. Added hearings and complaint files to description.

License Files (Series 0011-488)

Documents relating to applications received by the Board of Optometry for licenses to practice in the state.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(1)(6)(9), 5 USC Sec. 522a

Comments: Retain until no longer in practice plus 5 years then transfer to archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-091

Last Surveyed 12 August 1991

Record Copy: Paper

Remarks: rl: clarified title, clarified retention.

Retention/Disposition Schedule Entries

Supersede to Other Series

488-001

Board of Optometry Examiners

Complaint and Hearing Files (Series 0005-488)

Documents related to complaints against optometrists received by the Board and investigations resulting from such complaints.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(14)

Comments: Retain 5 years after closing of case, then transfer to archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-091

Last Surveyed 12 August 1991

Record Copy: Unknown

Remarks: rl: redundant to be separated out from Legal Case Files 0010-488

Reciprocity Licensing Application Files (Series 0025-488)

Information pertaining to persons in other states, or U.S. territories, requesting a reciprocity license to practice optometry in Kansas. Includes correspondence, application form, examination grades, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 45-221(6)(9)

Comments: If licensed, add to licensing file and retain accordingly. If not licensed, retain until no longer useful, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-136

Record Copy: Unknown

Remarks: rl: Supersede into License Files 0011-488.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 20, 2017**

1. **Agency:** Local General Schedule
2. **Records Officer:** Melissa Thompson **Phone:** 316-660-3274
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 07/19/2017
5. **a) Total records – No. of Series:** 1
b) New series – No. of Series: 1
c) Revised existing series – No. of Series: 0
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Appraisal Narrative:**

The appraisal is based upon discussions with agency staff by the appraising archivist. Melissa Thompson vetted the new proposed series through Wyandotte Consolidated City/County Government and Johnson County and it was clear to her that Underground Storage Tank Inspection records needed clear definition and retention. KDHE Environment Division 264-002 is responsible for the reported records for 31 years, but in conversations with KDHE owners/operators need to keep the reports for 5 years. Restrictions and disposition are based off of series 0810-264 Storage Tank Compliance Files specifically restriction KSA 65-34, 108 (d) which give guidance on solid and hazardous waste storage tank records.

Retention/Disposition Schedule Entries

New Series

000-100

Local Government Records

General Schedule/All Offices

Underground Storage Tank Inspections (Series Unknown)

Reports the monthly tank readings on underground storage tanks to document a facility's routine procedures such as leak detection, inventory control, tightness testing, monitoring and other activities required to prevent product releases into the environment as required by the Underground Storage Tank Act and 40 CFR 280.45. These are reported to the KDHE Storage Tank Section monthly.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 5 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(a)(1), KSA 65-34, 108(d)

Comments: KDHE Environment Division 264-002 is responsible for keeping the monitoring records for a period of 31 years.

Schedule Authority: General Schedule

Record Copy: Paper

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
July 27, 2017**

1. **Agency:** Kansas State General Schedule
2. **Records Officer:** Philip Michael **Phone:** 785-291-3013
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 07/15/2017
5. **a) Total records – No. of Series:** 4
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 4
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Appraisal Narrative:**

The Department of Administration is a service agency whose customers are Kansas Taxpayers and fellow state employees and agencies.

Most of the changes pertain to the office of the Chief Financial Officer. The Chief Financial Officer's primary responsibility is the State of Kansas statewide central accounting and reporting. Specific activities include coordination with the independent auditors to complete the annual statewide audit, preparation of the Comprehensive Annual Financial Report (CAFR), preparation of the Schedule of Expenditures of Federal Awards (SEFA), and administration of the Delegated Audit Program of review and approval of expenditure transactions in excess of the agency delegated audit thresholds and the audit of agency accounting activities for compliance with statutes, regulations, policies, and generally accepted accounting principles. The Office also is responsible for providing guidance to Kansas municipalities on budgeting, accounting and reporting issues and statutory requirements and for receiving and reviewing municipal budgets and audits. Additionally, the Chief Financial Officer is charged with implementation of a program for Internal Control and Systems Audit.

The appraisal is based upon discussions with agency staff by the appraising archivist. The changes to the State General Schedule are simply to remove exemptions established by the Department of Administration when they followed different rules from the rest of state agencies. After the last SRB meeting it was clear that the Department of Administration could supersede several agency specific series to the General Schedule once the exemptions were removed.

Retention/Disposition Schedule Entries

000-002

State General Retention and Disposition Schedule Fiscal

SHaRP Reports (Series 0102-000)

Computer reports concerning agency payroll issued on a periodic basis from the Division of Accounts and Reports to agencies in the Statewide Human Resources and Payroll Project.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain electronic or paper copy 3 fiscal years, then destroy.

KAR Number 53-2-107

Last Surveyed 30 October 1995

Record Copy: Unknown

Remarks: rl: removed DOACFO exemption in comments.

Vouchers - Journal (Series 0124-000)

DA forms 35 series and other agency forms used to adjust financial account balances.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

KAR Number 53-2-131

Record Copy: Unknown

Remarks: rl: Removed DOACFO exemption in comments

Vouchers - Receipts (Series 0126-000)

Copies of documents used to transfer funds received by agencies from individuals and organizations into their particular accounts: forms DA-3 series.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

KAR Number 53-2-075

Record Copy: Unknown

Remarks: rl: Removed DOACFO exemption in comments

Vouchers - Travel (Series 0127-000)

Copies of documents used to certify the validity of claims for the reimbursement of travel expenses: DA forms 121, 122, and 123.

Entry Status: Ready for SRB

Revised Series

Recommended Status:Revise

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: Portions may be restricted

Comments: Includes all variations of forms, eg. DA-121E and 121R, etc.

KAR Number 53-2-075

Record Copy: Unknown

Remarks: rl: Removed DOACFO exemption in comments

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
July 27, 2017**

1. **Agency:** Office of the Attorney General's Office—LOGIC Division
2. **Records Officer:** Lisa Mendoza **Phone:** 785.368.8063
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 07/18/2017
5. **a) Total records – No. of Series:** 1
b) New series – No. of Series: 1
c) Revised existing series – No. of Series: 0
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Appraisal Narrative:**

The Attorney General's Office researches and prepares legal opinions in response to requests from elected officials or government agencies seeking interpretation and advice on state laws.

The Legal Opinions and Government Counsel Division researches and prepares legal opinions for certain public officials that may resolve legal disputes thereby avoiding litigation. They also provide legal advice to professional licensing boards and other government agencies.

The appraisal is based upon discussions with agency staff by the appraising archivist. New series Racial or Other Biased Based Policing Complaint Files was identified as a series that needed to be clearly defined and managed by a specific retention schedule. Once the new series is approved Racial Profiling Reports (0208-082) will be superseded to be included with the new series records.

Retention/Disposition Schedule Entries

New Series

082-010

Office of the Attorney General

Legal Opinions & General Counsel (LOGIC) Division

Racial or Other Biased Based Policing Complaint Files (Series Unknown)

Complaint forms, correspondence, photos, notes, reports, criminal history summaries, arrest and conviction information, audio and audio/video recordings, and other supporting documentation relating to complaints and actions taken on complaints; includes referrals made to Kansas Commission on Peace Officers'™ Standards and Training (KS-CPOST) for review.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Destroy

Restrictions: Portions per KSA 45-221(a)(1)(2)(3)(4)(6)(10)(11)(14) (20)(25)(29)(30)(47), 21-5906, 22-2302, 22-4701 et seq., 38-2212, 38-2310, 59-212, 59-2979, K.A.R. 10-12-2

Comments: At the conclusion of the review process, agency may forward records to KS-CPOST for review and possible action. Materials, including records obtained from others and those that are not used in support of a referral, may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement at the conclusion of the review process. Remaining records are retained until annual report is filed, then destroyed.

Schedule Authority: Agency Schedule

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: rl: New entry created

Housekeeping Changes Since 20 April 2017

22 July 2017

Housekeeping Edit

331-013
Insurance Department
Securities Commissioner

Broker-dealer and Investment Adviser Files (Series 0112-331)

Description: Applications, financial statements, correspondence, certificates, and other documents required for broker-dealers and investment advisers to engage in business in Kansas.

Change: agency reorganization; formerly 0001-625-- cdesmuke, 03 July 2017

Compliance and Enforcement Case Files (Series 0110-331)

Description: Documents related to the investigation of possible violations of the Kansas Uniform Securities Act and regulations and the Kansas Loan Brokers Act, and to the subsequent actions taken by the Commissioner and staff.

Change: agency reorganization; formerly 0002-625-- cdesmuke, 03 July 2017

Exemption Notice Filing Records (Series 0108-331)

Description: Notice forms, other than Form NF (the Uniform Investment Company Notice Filing form), or other documents filed by issuers to claim exemptions from registration as required by statutes and regulations.

Change: agency reorganization; formerly 0013-625-- cdesmuke, 03 July 2017

Land Sales Registration Records (Series 0107-331)

Description: Applications, correspondence, description of lands, etc. relating to the registration of companies and individuals wishing to sell undeveloped land to Kansans pursuant to the Uniform Land Sales Practices Act (ULSPA). NOTE: the ULSPA was repealed as of July 1, 2014 and therefore this retention schedule entry will be phased out when all records have been destroyed.

Change: agency reorganization; formerly 0004-625-- cdesmuke, 03 July 2017

Legal Files - Administrative Subpoena (Series 0106-331)

Description: Subpoenas issued by the Securities Commissioner or staff to obtain information to support investigations that do not require any additional legal action.

Change: agency reorganization; formerly 0006-625-- cdesmuke, 03 July 2017

Legal files - Administrative (Series 0109-331)

Description: Orders; MOUs; Letters of Caution; Interpretive Opinion and No-action letters and associated files issued by legal staff related to dispositions of compliance and enforcement cases, and opinion or no-action letters issued in response to requests for rulings on interpretations or enforcement determinations for proposed transactions or activities subject to provisions of the Kansas Uniform Securities Act and regulations and the Kansas Loan Brokers Act.

Change: agency reorganization; formerly 0003-625-- cdesmuke, 03 July 2017

Mutual Fund and Unit Investment Trust Files (Series 0111-331)

Description: Notice Filings on form NF, correspondence, and termination letters relating to the offer and sale of mutual fund and unit investment trust (UIT) securities.

Change: agency reorganization; formerly 0012-625-- cdesmuke, 03 July 2017

Securities Registration files (Series 0113-331)

Description: Applications, correspondence, notices of sales, and supporting documentation relating to the registration of securities.

Change: agency reorganization; formerly 0009-625-- cdesmuke, 03 July 2017

367-001

Kansas State University

Payroll - Federal grant funding records (Series 0622-367)

Description: Records pertaining to payroll funded by federal grants, including payroll payments by account and payroll transfers with federal grants.