

AGENDA
STATE RECORDS BOARD

1/19/2017

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 Department of Transportation
 - a. ERP
4. Kansas Real Estate Commission
 - a. ERP
5. State General Schedule
 - a. New Entry
6. Kansas Department of Health and Environment
 - a. New Entry
7. Kansas State University
 - a. ERP
 - b. Revised Entry
8. Kansas Board of Technical Professions
 - a. ERP
 - b. New Entries
 - c. Revised Entries
 - d. Superseded Entries
9. Sedgwick County
 - a. New Entries
 - b. Revised Entries
10. Housekeeping changes:
 - a. Housekeeping
 - Department of Administration-Division of Accounts and Reports
 - Department of Transportation
 - Kansas State University
 - b. Obsolete
 - Department of Administration-Division of Accounts and Reports
 1. Financial Integrity Team
 2. Central Accounting Services
 3. Office of the Director
 4. Payroll Office
 - Board of Technical Professions
 - c. Superseded to the general schedule
11. Other business:
 - a. SRB meeting number
 - b. Training by KSHS staff

- c. Office 365
- d. Kansas Board of Veterinarian Examiners (Update)
- e. Preservica
- f. Future meetings:
 - April 20, 2017
 - July 20, 2017
 - October 19, 2017

State Records Board

October 20, 2016

Executive Conference Room – Kansas Historical Society

Present: Lisa Mendoza, designee of the Attorney General (chair)
Jennie Chinn, Executive Director, Kansas Historical Society (KSHS)
Matt Veatch, State Archivist
Sara Tenfelde-Dubois, designee of the State Librarian
Philip Michael, designee of the Secretary of Administration

Also present: Ryan Leimkuehler, Government Records Archivist (KSHS)
Megan Rohleder, Electronic Records Archivist (KSHS)
Mark Cole, Archives Specialist (KSHS)
Bob Corkins, Director, Office of Administrative Hearings (OAH)
Marge Smith, Office Manager (OAH)
Matt Renick, Registrar (KSHS)
Jim Evans, Kansas Department of Corrections (KDOC)
Melissa Thompson, Records Manager, Sedgwick County

Via Phone: Cliff Hight, University Archivist, Kansas State University (KSU)
Jim Bach, Financial Services (KSU)
Kathy Kugle, Human & Capital Services (KSU)
Stacy Bond, Asst. General Counsel, Board of Healing Arts (KSBHA)
Jennifer Cook, Records Officer (KSBHA)

Meeting called to order at 8:32 a.m. and Ms. Mendoza began the introductions. Ms. Mendoza requested if any announcements for the board. Mr. Leimkuehler requested that the Board of Veterinary Examiners agenda item be removed from the agenda since they will not be appearing before the board today. Mr. Leimkuehler also requested that an addition be made to the other business section regarding Kansas Public Employees Retirement Services (KPERs) litigation update that they will be presented at future meetings.

Motion: Ms. Chinn moved approval of Agenda as amended, Mr. Veatch seconded, and unanimous approval.

Minutes: Previous meeting minutes and edits were presented and reviewed. Mr. Leimkuehler indicated misspelling of statute on page three and needs to be corrected.

Motion: Mr. Veatch moved approval of meeting minutes as amended, Mr. Michael seconded, unanimous approval of July 20, 2016 minutes as amended.

Office of Administrative Hearings: Mr. Leimkuehler reminded the board that they have previously discussed series 178-001 and due to the board's concern on listed restrictions, primarily records confidentiality, it was tabled. The OAH has now completely redone the restrictions portions and restrictions and have been updated. Ms. Mendoza indicated that she had reviewed them and noted the format on a couple were incomplete. Ms. Mendoza also questioned if KSA 45-221 (a)(1)(3) would apply. Mr. Corkins indicated that all restrictions from 45-221 would apply. Mr. Corkins also asked what format was incorrect. Ms. Mendoza responded that the KSA listed as 164.514 should be listed as 45-CFR 164.514 and this is to give a complete citation for anyone not familiar with restrictions and laws. Mr. Corkins indicated there was an additional entry, 278.1 (q) that should be changed to 7 CFR 278.1 (q). Discussion continued in regards to KSA 45-221 restrictions. Since retention schedules are guidance documents, it would be best to list the most likely restrictions that would apply but to add additional wording that other provisions from KSA 45-221 (a) may apply. Ms. Mendoza indicated that KSA 39-709 (b) should be listed as KSA 39-709b and explained that since the KSA 39-1430 is just the definition of the statute, to change restriction to KSA 39-1430 et. Seq. to cover the adoption portions of the records. Ms. Mendoza also noted that KSA 72-43(11) is not needed since it just a statute reference and agency only need to list actual provisions. Mr. Corkins agreed that would be acceptable to remove KSA 72-43(11) and make the suggested technical corrections. Mr. Corkins then inquired if he would need to appear before the board again to address these corrections and informed that since technical changes, that would not be necessary. Mr. Corkins then brought up the fact that the agency was in the process of updating their Electronic Record Keeping Plan (ERP) and once that was endorsed, if schedule entry could then be updated to reflect the new ERP without having to appear before the board. After further discussion, it was eventually determined that the ERP was not actually necessary since retention period for these records is less than 9 years. If agency wanted to hold the electronic records an additional two years after appeal time has expired, they could do so at their own discretion and still meet retention requirements. Mr. Corkins proposed that comments be changed, "Scan paper documents, and retain paper and digital copy until each case's appeal time has expired, then return to appropriate agency." and then email request to Mr. Leimkuehler to withdraw ERP request. The board agreed that would be acceptable. Ms. Mendoza indicated that the technical corrections addressed in the restrictions portion of the entry be listed with KORA provisions first, and then followed by other statutes.

Motion: Mr. Veatch moved to approve series 178-001 with technical corrections and comments as amended, Ms. Tenfelde-Dubois seconded. Unanimous approval.

Kansas Department of Corrections: Ms. Rohleder explained the revision to series 521-010 is due to agency request to shorten retention period from 5 calendar years to 3 calendar years. Agency also updated the description of these records. Ms. Mendoza noted that in addition to

restrictions listed, that KSA 45-221 (a)(1) be added and should read as, "KSA 45-221(a)(1)(29) & KSA 22-4707".

Motion: Mr. Veatch moved to approve revised schedule entry 521-010 as amended. Mr. Michael seconded, and unanimous approval as amended.

Kansas State University: Mr. Leimkuehler explained that the agency is in the process of updating their entire schedule. In this process, the Division of Human Capital Services (HCS) and Division of Financial Services (DFS) have identified 9 series to revise, 2 series to make obsolete and 4 series to supersede to reflect the current business practices. Mr. Leimkuehler began with HCS series 0009-367, 0023-367, 0033-367, 0040-367 and agencies desire to supersede these series into 0070-367, Personnel records. Ms. Mendoza suggested to take make a motion to handle just these.

Motion: Mr. Veatch moved to approve superseding series 0009-367, 0023-367, 0033-367, 0040-367 with series 0070-367. Ms. Tenfelde-Dubois seconded. Unanimous approval.

Mr. Leimkuehler continued with the division of HCS and that they have identified Family and Medical Leave Act (FMLA) records and Unemployment compensation records that need to be added to the schedule. Ms. Mendoza inquired if additional KORA restrictions should be added, even though records are maintained separately from personnel records. At the conclusion of the discussion, Mr. Hight and Ms. Kugle agreed that KSA 45-221(a)(1)(3)(4)(30) be added to the series FMLA records entry. No questions or concerns regarding the Unemployment Compensation Records.

Motion: Mr. Veatch moved to approve the new schedule entry for FMLA Records as amended and the new schedule entry for Unemployment Compensation Records as presented. Ms. Tenfelde-Dubois seconded, and unanimous approval.

Mr. Leimkuehler presented the new schedule entry (Land, Buildings, and Infrastructure Financial Records) for DFS. Mr. Leimkuehler indicated that although many of the records are covered under the State General Schedule, it is DFS desire to hold longer and add additional restrictions. Mr. Veatch brought the concern that although the general schedule covers these records, these entries and several more that KSU is working on now, will have retentions that deviate from the general schedule. The board discussed the concern and although not preferred, agreed that until the general schedule itself is updated, additional agency specific schedules are acceptable. Mr. Hight noted that once the general schedule was updated, he had no objections of superseding their internal schedule back to the general schedule. Discussion continued in regards to the new entries. Ms. Mendoza indicated that KSA 45-221(a)(1) was not necessary and Mr. Hight agreed. No further discussion regarding new entries.

Motion: Ms. Tenfelde-Dubois moved to approve new entry as amended. Mr. Veatch seconded, and unanimous approval.

Mr. Leimkuehler then moved discussion to the remaining KSU revised entries and indicating that several of them are again covered in the state general schedule, but KSU wanting to extend disposition from 3 fiscal years to 5 fiscal years. Before proceeding further, Mr. Veatch inquired as to why the series were not broken down under divisions. Discussion with Mr. Hight indicated that KSU has never broken schedules down by sub-agency and always listed schedule entries under just the agency schedule. Mr. Veatch explained that generally, when creating schedules, KSHS uses sub-agencies to determine the Office of Record but understands that frequency of sub-agency name changes can be problematic. Mr. Hight explained that with the frequency that higher education reorganizes, that not breaking down into sub-agencies is preferred and to indicate the Office of Record within the schedule entries. It is easier to just list under agency schedule itself. Discussion returned to the schedule revisions for HCF and DCF. Ms. Mendoza indicated that for series 0084-367, KSA 45-221(a)(1) not required. Ms. Mendoza also indicated that for series 0004-367, 45-221-(a)(30) should be added as well as KSA 75-3520 to the restrictions and minor grammatical correction made to the second sentence in the description needed. Restrictions should read, “KSA 45-221(a)(1)(30) and KSA 75-3520” and the description should read, “If Social Security Numbers or credit card information are obtained, the data must be protected as required by law.” Discussion of series 0008-367 resulted in the agreement to change title to “Application for Employment Records – Not Hired” and no other changes needed. The board determined that series 0012-367 and series 0066-367 are acceptable as presented. Ms. Mendoza again stated that KSA 45-221(a)(1) not required for series 0013-367 and series 0029-367. Mr. Hight and Ms. Kugle agreed. Discussion then moved to series 0056-367 and determined that KSA 45-221(a)(4) not applicable and removed and restrictions changed to “None”. The final entry, series 0063-367, was discussed and the description changed to, “Documents concerning wages to be paid to individual employees for shift differential, overtime, or leave without pay, or other payments not included in usual payroll.”

Motion: Mr. Veatch moved to approve the revised schedule entries for Kansas State University’s Division of Financial Services and Division of Human & Capital Services as amended. Ms. Tenfelde-Dubois seconded, and unanimous approval by the board.

Kansas State Board of Healing Arts (KBOHA) – Mr. Leimkuehler presented the agencies endorsed Electronic Record Keeping Plan (ERP) to the board. Mr. Leimkuehler began by reading all the long-term record series that would be affected by the ERP and they were also listed in the packet. Mr. Leimkuehler also reminded the board that the MyLicense Office system has previously been presented to them by the Board of Cosmetology and was approved. It is the exact same system. Mr. Leimkuehler also noted what short term records that would be also covered by the KBOHA version of MyLicense Office. The board had no additional questions.

Motion: Mr. Veatch moved approval of the endorse KBOHA ERP. Ms. Tenfelde-Dubois seconded, and unanimous approval as submitted.

Mr. Leimkuehler continued by presenting the KBOHA revised entries which he indicated consisted mainly of rewording descriptions and updating retention period and restrictions to reflect current business practices. The board reviewed the entries and series 0011-105 and series 0015-105 were acceptable as presented. Ms. Mendoza asked Ms. Bond to further elaborate on the restrictions listed for series 0024-105 and went through them one by one. It was determined that typo of KSA 45-211 be corrected to KSA 45-221, KSA 45-221(a)(9) could be removed and replaced with KSA 45-221(a)(3) and remaining restrictions were appropriate. The board then discussed series 0017-105. Ms. Mendoza suggested that KSA 45-221(a)(3) could also apply and Ms. Bond agreed. There was some discussion on 5 USC Sec. 522a and determined that restriction should read 5 USC Sec. 552a. The only other addition was in regards to the Record Copy. To cover existing legacy documents, it should read, "Paper, Electronic". Ms. Bond concurred since it may be awhile before the paper documents are all scanned into the system. Mr. Leimkuehler then presented series 0027-105 and reiterated to the board that after evaluating this series, the disposition was changed to destroy and wanted to verify with the board that they saw no long term value for these records as well. The board concurred. Mr. Veatch noted that the comments for this series were identical to series 0017-105. Mr. Leimkuehler explained that it was there to provide legacy information to agency personnel. It was determined that the 2 instances of the word "licensing" should be removed from the comment section.

Motion: Mr. Veatch motioned to approve the KBOHA revised entries as amended. Mr. Michael seconded, and unanimous approval as amended.

Kansas Historical Society: Mr. Leimkuehler explained to the board that the Education/Outreach Division 288-003 and Museum Division 288-004 have combined and are now Museum and Education Division 288-008. The large numbers of series being presented are due to this combining and attempt to clean up the schedule to reflect current business practices. Ms. Chinn indicated that the restructured Museum and Education Division is only known as the Education Division as far as the state is concerned. Ms. Chinn also requested, as the Executive Director of KSHS, that series 0294-288 be tabled, to allow time to further discuss with other staff before presenting at a future date.

Motion: Ms. Tenfelde-Dubois motioned to table series 0294-288, Mr. Michael seconded, unanimous approval.

Mr. Leimkuehler began by informing the board that the first entry, series 0294-288, Insurance Files, was presented to change the title from Subject Files and supersede into series 0279-288.

Motion: Mr. Veatch moved to supersede series 0294-288 into series 0279-288 and approve revised series 0279-288 as presented. Ms. Tenfelde-Dubois seconded, and unanimous approval.

Mr. Leimkuehler explained that the remaining revised entries were series that agency still routinely used and disposition should be changed from Archives to Permanent. He also indicated that the Record Copy was updated to specify "Paper". The board reviewed the entries. Series 0301-288 specified "CAD Drawings" in the description and it was agreed that the word "CAD" is to be removed.

Motion: Mr. Michael moved to approve series 0272-288, 0274-288, 0281-288 as presented and series 0301-288 as amended. Ms. Tenfelde-Dubois seconded, and unanimous approval.

Sedgwick County Health Department/County General Schedule: Mr. Leimkuehler began by letting the board know that all proposed entries had been vetted by Ms. Thompson through Johnson County, Unified Government of Wyandotte County and Kansas City, Kansas and Sedgwick County Counselor, Mr. Jon VonAchen, legal counsel for Records Management and KORA issues. The board discussed the Americans with Disabilities Act (ADA) Documentation submission with Ms. Thompson. It was decided that additional restrictions should be added and the HIPAA Privacy Rule be cited correctly. Restrictions should now read, "KSA 45-221(a)(1)(3)(4) and 45 CFR Part 160 and Part 164". It was decided that these same restrictions be applied to the Credentialing Documentation series. In addition to the restriction to this series, the description is to be changed to, "Documents relating to the employee and contractor credentialing process. These documents establish that the applicants required qualifications to practice in the state of Kansas have been met or are in process. Documents may include correspondence, evaluations and credentials added during time of employment in addition to proof of academic diplomas and other certifications, regardless of form or format." The only change the board recommended for utilization Review (UR) Forms was that the restriction citation be made consistent and should read, "45 CFR Part 160 and Part 164". The board advised KSHS staff that in going through other schedule entries, these citation format corrections could be done as a housekeeping change.

Motion: Ms. Tenfelde-Dubois moved to approve new records series as amended. Mr. Michael seconded, and unanimous approval.

The board reviewed the Housekeeping changes and accepted as presented.

Other Business: Mr. Leimkuehler began by updating the board on changes made to the records management training done by KSHS staff. Instead of fewer and larger trainings, staff is now

having more frequent and smaller sized training sessions. The response by agencies has been extremely positive and staff is continuing to offer additional trainings as they requested. Mr. Veatch advised the board that the KSHS trainings are also now available on the Department of Administration calendar for trainings. Mr. Veatch also indicated that there have been several trainings for SharePoint records management as well as shared network drive management. These trainings will be updated as more and more agencies begin using it. Mr. Veatch stated that there is work to do still on the records management portion for Office 365. Until KSHS has access to it, doesn't want to provide wrong information to agencies. KSHS is working with the Office of Information Technology Services (OITS) and is confident that by working closely with them, the records management portion of Office 365 and Microsoft OneDrive can be addressed.

Mr. Leimkuehler advised the board on status of the tabled series from Kansas Department of Health and Environment. With the loss of both Ms. Joanna Hammerschmidt (KSHS) and Mr. Michael Smith (KDHE), it is likely that Ms. Rohleder will need to start fresh in regards to completing those series.

Mr. Leimkuehler then moved on to Kansas Public Employee Retirement Systems (KPERs) litigation files that were discussed at the previous board meeting. There was some confusion from the last meeting minutes on whether a motion regarding records was made or not. After a brief discussion, the board determined that a motion was not needed. The board does request that KSHS staff reach out to KPERs litigation counsel and work with them to determine how to handle the records that are proposed to be destroyed.

The board then revisited the issue of how SRB meeting numbers are generated. Mr. Veatch was tasked with reaching out to the Secretary of State's (SOS) office and work with them on devising a better numbering system for the SRB meeting. In preparation for that, Mr. Veatch thoroughly researched the matter and generated a clear and concise historical outline of the statutes and changes over time that have occurred that resulted in the use of KAR numbering for SRB meetings. Mr. Veatch wanted to apprise the board of the information before approaching SOS and make any changes. Ms. Mendoza not convinced the numbers are true KAR's and are more like internal rules but historically, the use of KAR numbers has been the process. The board indicated that it was not prepared to make any final decisions and a more thoughtful review of this is required. Ms. Chinn requested that the outline be attached to the meeting minutes as an addendum for future reference.

Mr. Veatch then initiated a brief discussion regarding the Board of Veterinary Examiners (KBVE). Mr. Veatch explained to the board that KSHS staff had been contacted by KBVE. KBVE informed KSHS staff that many records had been scanned and paper copy destroyed when KBVE was merged into the Kansas Department of Agriculture. KBVE has now been reinstated as its own agency and received the electronic records back. The issue is that the scanned image quality of many of the records is unreadable and poorly labeled. Mr. Veatch stated that he, Ms. Rohleder, and Mr. Leimkuehler are meeting with them and wanted the board's advice. Ms. Mendoza suggested they help the agency find out what they still have, what they do not, and

start the process of getting an ERP in place. Ms. Mendoza asked that the board be updated on the progress as KSHS staff help KBVE move forward.

The final order of business was to confirm the proposed future meetings. With nothing further to discuss, the board adjourned at 11.07 a.m.

DRAFT

ELECTRONIC RECORDKEEPING PLAN (ERP) – COVER SHEET

DECEMBER 20TH, 2016

AGENCY

Kansas Real Estate Commission

AGENCY BUSINESS FUNCTIONS

The Kansas Real Estate Commission is the regulatory and licensing office for real estate agents in the State of Kansas. The commission reviews applications for licenses, approves or denies licenses to individuals, performs routine audits on real estate agencies, and handles complaints.

ELECTRONIC RECORDKEEPING SYSTEM NOTES

The ERP indicates that the Kansas Real Estate Commission will be implementing MyLicense Office to automate their licensing records. MyLicense Office is a System Automation Corporation product designed for regulatory entities. Several Kansas licensing agencies are using or are evaluating the MyLicense Office solution. For additional vendor and product information see:

<http://www.systemautomation.com/MyLicenseOffice.html>

LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP

PREVIOUSLY APPROVED RECORDS SERIES

SERIES ID	0009-549
TITLE	License Application Files
DESCRIPTION	Documents relating to applicants applying for a real estate license.
RETENTION	See Comments
COMMENTS	Retain files 10 years after licensee fails to renew or is deceased, then destroy.
DISPOSITION	Destroy
RESTRICTIONS	KSA 45-221(a)(6)(9)(14)(30)
APPROVED	2015-04-16 ; Revised 2015-04-20
K.A.R. NUMBER	53-2-185
SERIES ID	0007-549
TITLE	Action Files
DESCRIPTION	Documents relating to licensure, audits, and complaints; subsequent investigations; and any disciplinary action taken by the Real Estate Commission against a real estate agent.
RETENTION	010 fisc yrs after case closed
DISPOSITION	Destroy
RESTRICTIONS	Portions restricted per K.S.A. 45-221(a)(14)(20)(25)(30)
APPROVED	2015-04-16
K.A.R. NUMBER	53-2-185

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 19, 2017**

1. **Agency:** State General Schedule
2. **Records Officer:** Ryan Leimkuehler **Phone:** 785-272-8681
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 01/09/2017
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:**

This appraisal is based on conversations with the Office of the Attorney General's records officer and vetted through Kansas Bureau of Investigation, Kansas Department of Health and Environment, State Pharmacy Board, Kansas Highway Patrol, and Kansas Board of Healing Arts. There was concern that series 0040-000 (Employee Training Course Materials) and 0041-000 (Employee Training Records) did not address training presented by an agency to external organizations. The new series will be similar to the previous schedules, but will give guidance to agencies that conduct training to external agencies.

Retention/Disposition Schedule Entries

New Entry

000-001

State General Retention and Disposition Schedule Administrative

Training Records (Series Unknown)

Correspondence, reports, and other records relating to the operation of agency sponsored training programs to external organizations.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 5 calendar years or until superseded, whichever is sooner, then destroy. (See also Employee Training Records and Employee Training Course Materials)

Schedule Authority: General Schedule

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 01/03/17: current retention schedules associated with training materials did not address agencies who give training to external organizations. This series will follow a similar retention and disposition to the 0041-000 Employee Training Records.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 19, 2017**

1. **Agency:** Kansas Department of Health and Environment
2. **Records Officer:** Katelyn Radloff **Phone:** 785-296-1333
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 01/09/2017
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:** 1
7. **Appraisal Narrative:**

KDHE's Bureau of Environmental Remediation is responsible for identifying and coordinating the cleanup of real properties where human activities have resulted in chemical or radiological contamination of soil, air, or water, and where that contamination results in a hazard to human health or the environment.

The appraisal is based upon discussions with agency staff by the appraising archivist. KDHE identified the new records series when they decided to scan records of closed tanks facilities before moving them to offsite storage. These records do not fall under either of the two existing Storage Tank Section records series 0810-264 or 0456-264. This new series manages records about inactive tanks facilities, leaking or not. When a tank facility closes, the relevant records are moved from the active compliance files to the inactive files. These records fulfill the requirements of Environmental Site Assessments for commercial property transactions; citizen right-to-know requests; and, if contamination is identified in the future, and gives us a head start in addressing the problem and finding a responsible party to pay for the cleanup. The records are stored

separately from the compliance or leaking tank files. They should be archived permanently.

Retention/Disposition Schedule Entries

New Entry

264-002

**Department of Health and Environment
Environment Division
Bureau of Environmental Remediation**

Closed Storage Tank Facility Files (Series Unknown)

Records related to historical operations of storage tank facilities that are no longer active. Records include those identifying the dates of facility operation; facility owners and operators; the number and size of the storage tanks; types of materials stored; storage tank installation, upgrade, and repair records; permanent abandonment records; compliance and inspection records; site drawings and maps; information submitted to fulfill emergency planning and community right-to-know requirements; insurance and financial responsibility records; and supporting documentation.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 30 years after facility closure

Disposition: Archives

Restrictions: KSA 45-221(a)(14)(30)(45)(49)

Schedule Authority: Agency Schedule

Record Copy: Paper

Remarks: 01/04/17: Records are a unique collection of information for hazardous material storage facilities (e.g. service stations), which would be impossible to fully duplicate. Records provide information regarding responsible party identification for releases or spills of hazardous materials. Information is vital for determining financial value of the property and health and environmental risks to the community. Agency receives and fulfills 20-30 KORA requests for this and similar information per week. If files are not accepted by the archives, they must be returned to the agency.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 19, 2017**

1. **Agency:** Kansas State University
2. **Records Officer:** Cliff Hight **Phone:** 785-532-3420
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 01/09/2017
5. **a) Total records – No. of Series:** 1
b) New series – No. of Series: 0
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: 1
6. **Archival/Permanent records – No. of Series:** 1
7. **Appraisal Narrative:**

The Office of the Registrar is responsible for academic transcripts and follows records retention recommendations from the national professional organization for academic registrars (AACRAO).

The appraisal is based upon discussions with agency staff by the appraising archivist. To better reflect current business practices series 0002-367 (Academic Record) should be superseded into 0001-367 (Academic Transcripts) because they are the same records series and to maintain the records as separate would be redundant. The disposition and restrictions would remain unchanged.

ELECTRONIC RECORDKEEPING PLAN (ERP) – COVER SHEET

DECEMBER 20TH, 2016

AGENCY

Kansas State University

AGENCY BUSINESS FUNCTIONS

Kansas State University is a member institution with the Kansas Board of Regents. They offer undergraduate and graduate degree programs in over 250 disciplines. Enrollment at the University is nearly 24,000 students from all 50 states and more than 100 countries.

ELECTRONIC RECORDKEEPING SYSTEM NOTES

ImageNow is an electronic content management system that allows users to upload, process, and store records in a searchable database. The software was recently acquired by Lexmark. More information can be found at:

http://www.lexmark.com/en_us/products/software/acquisitions-rebranded-products/perceptive-software.html

LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP

PREVIOUSLY APPROVED RECORDS SERIES

SERIES ID	0070-367
TITLE	Employee Personnel Files
DESCRIPTION	Documents associated with the employment of specific personnel: employee evaluation forms, application for employment, residence status forms, appointment, separation, and change forms, and other personnel materials.
RETENTION	See Comments
COMMENTS	Microfilm, then destroy hard copy. Retain microfilm 65 years, then destroy.
DISPOSITION	Destroy
RESTRICTIONS	KSA 45-221(a)(4)
APPROVED	1995-01-12 ; Revised 2016-10-12
K.A.R. NUMBER	53-2-103

SERIES ID	0071-367
TITLE	Employee Personnel Files - Office Copies
DESCRIPTION	Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, etc.) maintained for convenience of reference.
RETENTION	See Comments
COMMENTS	Retain for length of employee's tenure plus 5 calendar years, then destroy.
DISPOSITION	Destroy
RESTRICTIONS	KSA 45-221(a)(4)
APPROVED	1995-01-12

K.A.R. NUMBER	53-2-103
SERIES ID	0047-367
TITLE	Employee Position Descriptions
DESCRIPTION	Formal descriptions of duties and other characteristics of particular employment positions: DA forms 281-2 and supporting documents.
RETENTION	See Comments
COMMENTS	Retain until superseded plus 3 years, then destroy.
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	1995-01-12
K.A.R. NUMBER	53-2-103

Retention/Disposition Schedule Entries

Supersede

367-001

Kansas State University

Academic Record (Series 0002-367)

Microfilm copy of permanent file containing data on all classes attended and grades received by a student.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(1)

Comments: Retain until no longer useful, then transfer to the university archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-103

Last Surveyed 21 November 1994

Record Copy: Unknown

Remarks: 01/06/17: redundant records schedule covered by 0001-367 which was renamed to Academic Transcripts.

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REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 20, 2017**

1. **Agency:** Kansas Board of Technical Professions
2. **Records Officer:** Sarah Easter **Phone:** 785-296-4800
3. **Appraising Archivist(s):** Megan Rohleder
4. **Date of Appraisal:** January 11, 2017
5. **a) Total records – No. of Series:** 15
b) New series – No. of Series: 2
c) Revised existing series – No. of Series: 4
d) Obsolete schedule entries – No. of Series: 8
e) Series superseded by other schedule entries – No. of Series: 1
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 2
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Narrative:**

The Kansas Board of Technical Professions oversees the licensing, certification, monitoring, and discipline of the professionals and business entities practicing in the following professions: Engineering, Surveying, Architecture, and Geology.

The appraisal is based upon discussions with agency staff by the appraising archivist. KSBOTP identified many outdated record series, as well as the need for new record series when the Records Officer contacted KSHS to complete an Electronic Recordkeeping plan. Four series are presented with revisions to reflect current business practices as well as appropriate restrictions. One series (0011) was superseded into an existing record series (0018) due to agency business practice of keeping test scores within the professional licensing files. Two new series are presented, Renewal Records and Intern Engineer Certificate Files, which were not covered by any of the existing series. A total of 8 series are also deemed obsolete by the agency Records Officer.

ELECTRONIC RECORDKEEPING PLAN (ERP) – COVER SHEET

DECEMBER 20TH, 2016

AGENCY

Kansas Board of Technical Professions

AGENCY BUSINESS FUNCTIONS

The Kansas Board of Technical Professions oversees the licensing, certification, monitoring, and discipline of the professionals and business entities practicing in the following professions:

- Engineers
- Surveyors
- Architects
- Geologists

ELECTRONIC RECORDKEEPING SYSTEM NOTES

The ERP indicates that the Kansas Board of Technical Professions will be implementing MyLicense Office to automate their licensing records. MyLicense Office is a System Automation Corporation product designed for regulatory entities. Several Kansas licensing agencies are using or are evaluating the MyLicense Office solution. For additional vendor and product information see:

<http://www.systemautomation.com/MyLicenseOffice.html>

LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP

PREVIOUSLY APPROVED RECORDS SERIES

SERIES ID	0018-663
TITLE	Professional Licensing Files
DESCRIPTION	Records related to the licensing of engineers, architects, landscape architects, and surveyors (and arranged in sub-series thereby): applications, transcripts, correspondence, photos, etc.
RETENTION	010 cldr yrs
COMMENTS	Microfilm copies of files for professional engineers, 1931-57, have been deposited in the archives.
DISPOSITION	Archives
RESTRICTIONS	KSA 45-221(a)(6)(9)
APPROVED	1989-04-27
K.A.R. NUMBER	53-2-079

SERIES ID	0019-663
TITLE	Professional Licensing Files - Pending
DESCRIPTION	"Professional Licensing Files" (q.v.) which are in some stage prior to final licensing: "Must Pay Fee Files," "Examination Files," "Denied Files," "Fee and Facsimile Files," etc.
RETENTION	See Comments
COMMENTS	If approved, then merge with Professional Licensing Files - otherwise, retain 1 year after last activity and destroy except if denied - in that case retain 3 years then destroy.
DISPOSITION	See Comments
RESTRICTIONS	KSA (a)(1)(6)(9), 5 USC Sec. 522a
APPROVED	1989-04-27
K.A.R. NUMBER	53-2-079

The following are not long-term record series, but have been provided for reference:

SERIES ID	0004-663
TITLE	Corporate Practice Files
DESCRIPTION	Licensing files for corporations involved in the various technical professions: applications, certificates, annual reports, correspondence, and other supporting materials.
RETENTION	See Comments
COMMENTS	Retain until no longer active, plus 1 calendar year, then transfer to archives.
DISPOSITION	Archives
RESTRICTIONS	None
APPROVED	1989-04-27
K.A.R. NUMBER	53-2-079

SERIES ID	0011-663
TITLE	Examinations
DESCRIPTION	Copies of examinations given to and completed by applicants for licensing in the technical professions.
RETENTION	001 cldr yr
COMMENTS	Blank examination forms are provided by the national associations of the various technical professions. Scores of the completed exams are recorded in the individual applicants Licensing Files.
DISPOSITION	Destroy
RESTRICTIONS	KSA 45-221(a)(9)
APPROVED	1989-04-27
K.A.R. NUMBER	53-2-079

SERIES ID	0022-663
TITLE	Verification Records
DESCRIPTION	Documents showing responses to other state licensing agencies which have requested verification of professional licenses issued in Kansas.
RETENTION	001 cldr yr
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	1989-04-27
K.A.R. NUMBER	53-2-079

NEW RECORDS SERIES

Two proposed retention schedule entries will be presented before the State Records Board. Both items have a proposed retention of less than 10 years, but are offered here as reference.

Series Title: Renewal Records
Series Description: Records related to the renewal of professional and business entity licenses.
Proposed Retention: Retain 3 calendar years from date of application.

Series Title: Intern Engineer Certificate Files
Series Description: Records related to the certification of engineers-in-training: applications, transcripts, correspondence, etc.
Proposed Retention: Retain 5 calendar years from date of issuance.

Retention/Disposition Schedule Entries

New Entries

663-001

Board of Technical Professions

Intern Engineer Certificate Files (Series 0023-663)

Records related to the certification of engineers-in-training including applications, transcripts, correspondence, etc.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a) (1)(6)(9)(14)(30)

Comments: Retain five calendar years from date of issuance, then destroy unless intern becomes fully licensed. In that case file is transferred to Professional Licensing Files (#0018-663) Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: Agency requested new addition through conversations with KSHS 12/2016
01/11/2017 mrohleder: Agency requested new addition through conversations with KSHS
12/2016

Renewal Records (Series 0024-663)

Records related to the renewal of professional business entity licenses.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 3 Calendar Years

Disposition: Destroy

Restrictions: KSA 45-221(a) (1)(6)(9)(14)(30)

Comments: Retain 3 calendar years then destroy. Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Retention/Disposition Schedule Entries

Revised Entries

663-001

Board of Technical Professions

Corporate Practice Files (Series 0004-663)

Licensing files for corporations involved in the various technical professions: applications, certificates, annual reports, correspondence, and other supporting materials.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a) (1)(14)(30)

Comments: Retain three calendar years after applicant fails to renew, then transfer to archives. Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

Schedule Authority: Agency Schedule

KAR Number 53-2-079

Last Surveyed 26 October 1988

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Agency RO requested revisions 12/2016.

Professional Licensing Files (Series 0018-663)

Records related to the licensing of engineers, architects, landscape architects, and surveyors (and arranged in sub-series thereby): applications, transcripts, correspondence, photos, test scores, etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(1)(6)(9)(14)(30)

Comments: Retain 10 calendar years after applicant fails to renew or is deceased, then transfer to archives. Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

Schedule Authority: Agency Schedule

KAR Number 53-2-079

Last Surveyed 19 December 1988

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Agency RO requested revisions 12/2016.

Professional Licensing Files - Pending (Series 0019-663)

"Professional Licensing Files" (q.v.) which are in some stage prior to final licensing: "Must Pay Fee Files," "Examination Files," "Denied Files," "Fee and Facsimile Files," etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(1)(6)(9)(14)(30) 5 USC Sec. 522a

Comments: Retain one year after last activity then destroy, except if denied. In that case retain three years then destroy. Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

Schedule Authority: Agency Schedule

KAR Number 53-2-079

Last Surveyed 19 December 1988

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: Agency RO requested revisions 12/2016.

Verification Records (Series 0022-663)

Documents showing responses to other state licensing agencies which have requested verification of professional licenses issued in Kansas.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a) (1)(30)

Comments: Retain for 6 months from date of creation then destroy. Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

Schedule Authority: Agency Schedule

KAR Number 53-2-079

Last Surveyed 08 November 1988

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: Agency RO requested revisions 12/2016.

Retention/Disposition Schedule Entries

Supersede

663-001

Board of Technical Professions

Examinations (Series 0011-663)

Copies of examinations given to and completed by applicants for licensing in the technical professions.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Destroy

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

Comments: Blank examination forms are provided by the national associations of the various technical professions. Scores of the completed exams are recorded in the individual applicants Licensing Files.

Schedule Authority: Agency Schedule

KAR Number 53-2-079

Last Surveyed 01 March 1989

Record Copy: Unknown

Remarks: 01/12/2017 mrohleder: Series superseded into series #0018-663 to reflect current business practices.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 19, 2017**

1. **Agency: Elections/Department of Corrections/County Juvenile Justice Programs/County General Schedule (Sedgwick County)**

2. **Records Officer:** Melissa Thompson **Phone:** 316-660-9847

3. **Appraising Archivist(s):** Ryan Leimkuehler

4. **Date of Appraisal:** 01/09/2017

5. **a) Total records – No. of Series:** 5

b) New series – No. of Series: 3

c) Revised existing series – No. of Series: 2

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 Sedgwick county records management staff. Melissa Thompson vetted Confirmation Notices/Responses through Sedgwick County legal department, Adult Case Management Intensive Supervision Records through Johnson County and Wyandotte Consolidated City/County Government, series 0002-119 and 0004-119 through Johnson County and Wyandotte Consolidated City/County Government, and Family and Medical Leave Act (FMLA) Records through Johnson County and Wyandotte Consolidated City/County Government.

The Confirmation Notices/Responses series is needed to cover KSA 45-401 that states “disposition of noncurrent records which do not merit preservation will promote economy and efficiency in the day-to-day activities of government.” Series 0002-119 (Juvenile Case Management Records) and 0004-119 (Juvenile Intensive Supervision Probation Files) specified specific files to be maintained after the full file is maintained for 5 years. The Family and Medical Leave Act (FMLA) Records was added after the last State Records Board meeting where another agency proposed the series for their agency. This series is needed on

the county/local general schedule to address records currently being generated.

Retention/Disposition Schedule Entries

New Entry

000-115

Local Government Records

Department of Corrections

Adult Case Management Intensive Supervision Records (Series Unknown)

Documents, forms and records of adults disposed by the court to a term of intensive supervision probation or to a case management program administered by the County Department of Corrections.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: see comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(29), KSA 22-3711, KSA 22-4707

Comments: Retain full file for five years after case closed, then cull file and retain the following documents for 50 years: supervision agreement, payment records, UA records, disciplinary/grievance records, substance abuse, journal entries/motions/court records and correspondence, offender registry information, personal information such as; automobile, employment, living arrangements, LSI-R, supervision plan, education, PSI/criminal records, psychological, intake data, photo and affidavit.

Schedule Authority: Agency Schedule

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Retention/Disposition Schedule Entries

New Entry

000-105

Local Government Records

County Election Office

Confirmation Notices/Responses (Series Unknown)

Correspondence with registered voters that provide certification of new voter registration, address updates or confirmation of a change of address.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 2 cld years

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

Record Copy: Paper

Remarks: Retention per K.S.A. 25-2709. Certification of Registrations are sent when new voter registrations are processed and updates to existing registrations are received from the voter. When voters cannot be verified and notices are returned by Post Office the voter may eventually be removed from the registration list. Confirmations are sent when a notice is received from USPS that a voter has moved. Voters are then responsible to confirm their new address with the Elections Office.

Retention/Disposition Schedule Entries

New Entry

000-100

Local Government Records

General Schedule/All Offices

Family and Medical Leave Act (FMLA) Records (Series Unknown)

Forms and documentation for FMLA determinations for individual employees. Records may be paper or electronic.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 3 cld years after completion or denial

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(3) and CFR 825.500 (g)

Schedule Authority: General Schedule

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: FMLA records do not fall under HIPAA. Records must be maintained separately from the personnel file and access is to records is restricted under KSA 45-221

Retention/Disposition Schedule Entries

Revised Entries

000-119

Local Government Records County Juvenile Justice Programs

Juvenile Case Management Records (Series 0002-119)

Documents, forms and records relating to youth disposed by the court to case management program administered by a juvenile community supervision agency.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See Comments

Restrictions: K.S.A. 75-7024, K.S.A 75-7038 through 75-7053

Comments: Retain full file for five years after case closed, then cull file and retain the following documents for 60 years for juveniles: supervision agreement, payment records, UA records, disciplinary/grievance records, substance abuse, journal entries/motions/court records and correspondence, offender registry information, personal information such as; automobile, employment, living arrangements, YLS-CMI, supervision plan, education, PSI/criminal records, psychological, intake data, photo and affidavit.

Schedule Authority: General Schedule

KAR Number 53-2-154

Last Surveyed 31 October 2007

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: new entry

01/03/2017: retention change from 5 years after case closed, then destroy to retain specific records for 60 years.

Juvenile Intensive Supervision Probation Files (Series 0004-119)

Documents, forms and records of youth disposed by the court to a term of intensive supervision probation program administered by a juvenile community supervision agency.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See Comments

Restrictions: K.S.A. 75-7024, K.S.A. 75-7038 through 75-7053

Comments: Retain full file for five years after case closed, then cull file and retain the following documents for 60 years for juveniles: supervision agreement, payment records, UA records, disciplinary/grievance records, substance abuse, journal entries/motions/court records and correspondence, YLS-CMI, offender registry information, personal information such as; automobile, employment, living arrangements, supervision plan, education, PSI/criminal records, psychological, intake data, photo and affidavit.

Schedule Authority: General Schedule

KAR Number 53-2-154

Last Surveyed 31 October 2007

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: new entry

01/03/17: retention change from 5 years after case closed, then destroy to retain specific records for 60 years.

Housekeeping Changes Since 20 October 2016

12 January 2017

Housekeeping Edit

173-002

Department of Administration
Division of Accounts and Reports
Municipal Accounting Section
Office Review Unit

Audit Reports of Kansas Municipalities (Series 0224-173)

Description: Audits prepared by independent auditors and filed with the Division of Accounts and Reports in conformity with Kansas Statutes.

Change: Since 2011 these are saved electronically.-- rleimkuehl, 03 January 2017

Budgets - Kansas Municipalities (Series 0213-173)

Description: Budgets and related documents filed with the Division of Accounts and Reports in conformity with Kansas Statutes.

Change: Since 2009 these are saved electronically.-- rleimkuehl, 03 January 2017

276-006

Kansas Department of Transportation
Bureau of Design

Highway Project Files (Series 0132-276)

Description: These files contain original design plans, project records and "as built" plans. The files may contain details for survey, road, bridge, geology, geotechnical, traffic, right-of-way, pavement, landscape, utilities, and railroad construction information as well as construction contract pay items, materials testing and other pertinent project information.

Highway Project Files (Series 0132-276)

Description: These files contain original design plans, project records and "as built" plans. The files may contain details for survey, road, bridge, geology, geotechnical, traffic, right-of-way, pavement, landscape, utilities, and railroad construction information as well as construction contract pay items, materials testing and other

pertinent project information.

367-001

Kansas State University

Academic Transcripts (Series 0001-367)

Description: Electronic record containing the permanent file of all classes attended and grades received by a student.

Change: Clarification of title-- rleimkuehl, 06 January 2017

Obsolete

173-002

Department of Administration

Division of Accounts and Reports

Accounting Control & Services Sect.

Financial Integrity Team

Daily Account Balances (DAD-007) (Series 0061-173)

Description: Daily printout of account balances which are listed by agency. Records are sent to each agency for financial control purposes.

Change: The reports are from a prior financial system, CASK, that was replaced by STARS financial system in 1990 STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Monthly Posting Summary (DAM001) (Series 0075-173)

Description: Monthly printout recording receipts and expenditures posted for each agency for each month. It indicates the day of the month the transaction was processed.

Change: The reports are from a prior financial system, CASK, that was replaced by STARS financial system in 1990 STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Central Accounting Services

Audit Services Team

Accounting Entry Records (Series 1015-173)

Description: Variety of accounting records generated by the Division of Accounts and Reports and maintained for accountability purposes.

Change: STARS records no longer are created or exist. 5 yr retention/destroy is past.--
rleimkuehl, 03 January 2017

Warrant Accounting Records (Series 1016-173)

Description: Variety of accounting records relating to warrants issued by the Division of Accounts and Reports and maintained for accountability purposes.

Change: STARS records no longer are created or exist. 5 yr retention/destroy is past.--
rleimkuehl, 03 January 2017

Financial Integrity Team

Appropriated Funds Special Report (Series 0160-173)

Description: Monthly report DAFR-8970 used to provide appropriated fund balances.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--
rleimkuehl, 03 January 2017

Appropriation Status Report (Series 0161-173)

Description: Report DAFR-8010 listing remaining balances for agencies with spending authority for all budget units.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--
rleimkuehl, 03 January 2017

Audit Reports - Agency Copies (Series 0162-173)

Description: Copies of results of audits conducted by the Legislative Division of Post Audit and other state and/or federal auditing agencies, submitted by the agencies and maintained for convenience of reference.

Change: LPA audits are on line as of xx.xx.xx These are agency working copies.--
rleimkuehl, 03 January 2017

Carryforward Year End Contingent Report (Series 0163-173)

Description: Report DAFR-3481 showing year end contingent encumbrance carryforward.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--
rleimkuehl, 03 January 2017

Cash Control Status Report (Series 0164-173)

Description: Report DAFR-8120 providing agencies with the cash balance funding level available.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--rleimkuehl, 03 January 2017

Daily Accounts Balance Report (Series 0165-173)

Description: Report DAFR-8101 providing appropriation status information by budget unit and cash balance information by fund on a cumulative fiscal year to date basis.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--rleimkuehl, 03 January 2017

Daily Transactions Register (Series 0166-173)

Description: Report DAFR-8240 informing agencies when a transaction is processed and may be used to assist in the daily reconciliation of cash and appropriation balance.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--rleimkuehl, 03 January 2017

Encumbrance Status by Object Report (Series 0167-173)

Description: Report DAFR-8070 providing agencies with a listing of all encumbrance and pre-encumbrance documents outstanding as well as encumbrance activity information and balances.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--rleimkuehl, 03 January 2017

Expenditure by Fund Index, PCA, and Sub-Object Report (Series 0168-173)

Description: Report DAFR-8360 providing agencies with detailed information about current month and year-to-date expenditures and used in reconciliation of expenditures to STARS.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.--rleimkuehl, 03 January 2017

General Ledger Closing Report (Series 0169-173)

Description: Report DAFR-8360 listing the ending balances for the general ledger and used to close accounts at the end of the fiscal year.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

General Ledger Opening Balance Report (Series 0170-173)

Description: Report DAFR-3521 listing the beginning balance for the new fiscal year general ledger.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Monthly Financial Report (Series 0171-173)

Description: Report providing the financial position and operations of the various funds for a particular month.

Change: The Monthly Financial Report is no longer prepared by the Department of Administration.-- rleimkuehl, 03 January 2017

Monthly Financial Report - Work Papers (Series 0172-173)

Description: Schedules, analyses, and other documents used to prepare the Monthly Financial Report.

Change: The Monthly Financial Report is no longer prepared by the Department of Administration.-- rleimkuehl, 03 January 2017

Receipt Analysis Report (Series 0173-173)

Description: Monthly report DAFR-8940 utilized by agencies for control, budget, legislative and statistical purposes.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Receipt Reports (Series 0174-173)

Description: Includes monthly reports DAFR-8900 used to analyze fund balances; DAFR 8930 used to analyze revenue sub-object balances; and DAFR-8960 providing statewide and general funds receipts and used for financial purposes.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

STARS Financial Recon Report (Series 0177-173)

Description: Report DAFR-8450 used to identify out-of-balance conditions in selected STARS files.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Table Maintenance Activity Report (Series 0178-173)

Description: Report DAFR-8510 providing the Department of Administration with a listing of the maintenance activity for a given day.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Trial Balance by Transaction Code Report (Series 0179-173)

Description: Report DAFR-8180 maintained as a general ledger control to provide the monthly balance by transaction code and used to balance the financial statement.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Year End Closing Report (Series 0180-173)

Description: Report DAFR-3571 used at end of the closing fiscal year to re-establish and re-appropriate reserve appropriation balances.

Change: The reports are from a prior financial system, STARS; STARS was subsequently replaced by SMART, the current financial system, July 1, 2010.-- rleimkuehl, 03 January 2017

Central Accounting Services Section

Appropriations/Master Lease Purchase Program Team

Average Daily Balance Report (Series 0136-173)

Description: Monthly reports listing the average daily balance by fund.

Change: Record is no longer generated in SMART accounting system effective 7/1/10. Retention of all existing records will expire 7/1/17.-- rleimkuehl, 03 January 2017

Director, Office of the

Deferred Compensation Files (Series 0185-173)

Description: Correspondence, minutes, bid specifications, contracts, and other documents related to origin, development, and administration of the deferred

compensation plan for state employees.

Change: This function was transitioned to KPERS in August, 2007-- rleimkuehl, 03 January 2017

Payroll

Bond Purchase Report by Agency (Series 0376-173)

Description: Monthly report of U.S. Saving Bonds purchased through payroll deductions.

Change: Since August, 2000 this information is maintained by the U.S. Treasury Dept. -- rleimkuehl, 03 January 2017

Fund Reconciliation of Non-Federal Payroll Withholding and Related Reports (Series 1052-173)

Description: Documents used in the reconciliation of various Department of Administration clearing funds some of which may contain information on individual state employees.

Change: records are no longer generated.-- rleimkuehl, 03 January 2017

Treasurer's Reconciliation (Series 0359-173)

Description: Fund reconciliation of the state's accounting system with the State Treasurer's Office.

Change: Treasurer's Reconciliation in this format ceased with the implementation of SMART Accounting system on 7/1/10. -- rleimkuehl, 03 January 2017

Systems and Procedures Section

Agency Assistance Files (Series 0477-173)

Description: Documents regarding any contact between agencies and the Agency Assistance unit requesting aid or feedback from assistance for the CASK system

Change: records no longer generated-- rleimkuehl, 03 January 2017

Agency Field Audit Reports (Series 0478-173)

Description: Reports by Post-Audit of agencies for their use of CASK system used by the Agency Assistance unit to help agencies resolve findings of post-audit report problems & provide other technical assistance.

Change: Retention of post-audit reports by Central appears to be duplication in nature as LPA and agency would have a retention requirement for these documents.-- rleimkuehl, 03 January 2017

663-001

Board of Technical Professions

Corporation Annual Reports (Series 0005-663)

Description: Copies of annual reports of technical profession corporations received yearly from the Secretary of State.

Engineer Registration book (Series 0007-663)

Description: Log of engineers licensed by the Board: name of licensee, age, dates, place of business, education, years of practice, and address changes.

Change: Agency identified series as obsolete 12/2016-- mrohleder, 10 January 2017

Engineer-In-Training Cards (Series 0008-663)

Description: Brief record created regarding engineers who have passed the EIT examination, but who have not yet been licensed due to lack of experience.

Change: Agency identified series as obsolete 12/2016-- mrohleder, 10 January 2017

Examination Card Files (Series 0009-663)

Description: Brief record created regarding each person taking a professional licensing examination under the Board's authority.

Change: Agency identified series as obsolete 12/2016-- mrohleder, 10 January 2017

Examination Records (Series 0010-663)

Description: Records related to the giving of professional licensing examinations: scores, statistics, registration logs, etc.

Change: Agency identified series as obsolete 12/2016-- mrohleder, 12 January 2017

License Number Books (Series 0013-663)

Description: Registers used to assign license numbers to professionals: name of professional, file #, exam taken, license #, and dates.

Change: Agency identified series as obsolete 12/2016-- mrohleder, 10 January 2017

Professional Licensing Files Index (a.k.a. "White Cards") (Series 0020-663)

Description: Cross reference and index to "Professional Licensing Files" (q.v.): name of professional, occupation, license number, file number, dates, and addresses.

Change: Agency identified series as obsolete 12/2016-- mrohleder, 10 January 2017

Professional Licensing Registration Cards (a.k.a. "Yellow Cards") (Series 0021-663)

Description: Card file used as quick reference to professionals registered with the board: name, license number, address, dates, basis of qualification, education, professional societies, experience, and remarks.

Change: Agency identified series as obsolete 12/2016-- mrohleder, 10 January 2017