

**AGENDA  
STATE RECORDS BOARD**

**7/20/2016**

**8:30 a.m.**

**Kansas State Historical Society**

**Center for Historical Research**

**6425 SW 6<sup>th</sup> Ave.**

**Executive Conference Room, 2<sup>nd</sup> Floor**

1. Introductions and announcements
2. Minutes from previous meeting
3. Office of Administrative Hearings
  - a. Revised entries
4. Kansas Board of Cosmetology
  - a. Electronic Recordkeeping Plan
  - b. New entries
  - c. Revised entries
5. Office of the Attorney General – Victim Services Division
  - a. Revised entries
6. Kansas Historical Society – State Archives Division
  - a. New entries
  - b. Revised entries
7. Housekeeping changes
  - a. Housekeeping
    - i. Local Government Records: Sheriff's Office
    - ii. Kansas State Historical Society: State Archives Division
  - b. Obsolete
    - i. Local Government Records: Sheriff's Office
    - ii. Kansas State Historical Society: State Archives Division
  - c. Superseded series
    - i. Office of the Attorney General: Administration Division
    - ii. Office of the Attorney General: Victim Services Division
    - iii. Office of the Attorney General: Consumer Protection Division
    - iv. Office of the Attorney General: Multiple subunits/subunit not defined
8. Other business:
  - a. Future meetings:
    - i. October 20, 2016
    - ii. January 19, 2017
    - iii. April 20, 2017

## State Records Board

April 7, 2016

### 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 Administration

Also present: Joanna Hammerschmidt, KHS  
Mark Cole, KHS  
Steven Wassom, Kansas Securities Commission (KSC)  
Kelli Broers, Kansas Department of Education (KSDE)

Meeting called to order at 8:36 a.m. and Ms. Mendoza began the introductions. Ms. Mendoza requested an addition to the agenda be made to include a discussion of Office 365. Mr. Veatch updated the board regarding the membership for the revised Electronic Records Committee (ERC). Mr. Veatch listed Mr. Joe Costa, Mr. John Bartolac, Ms. Becky Schulte, Mr. Philip Michael, as confirmed. Mr. Veatch indicated that Mr. Cliff Hight is helping to find individual from Kansas State University and that Mr. Michael Smith, records officer for the Kansas Department of Health and Environment, has been invited to serve as a member as well. Mr. Veatch tentatively plans to set first meeting in early June of 2016, excluding Thursdays and the 2<sup>nd</sup> and 4<sup>th</sup> Tuesdays of the month.

*Minutes:* Previous meeting minutes were presented and reviewed. Ms. Mendoza requested some grammatical corrections be made and Mr. Sowers indicated the correct spelling for Mr. Ackermann and asked for that to be corrected.

**Motion:** Mr. Veatch moved approval of meeting minutes as amended, Mr. Sowers seconded, unanimous approval of October 22, 2015 minutes as amended.

*Kansas Securities Commissioner:* Ms. Hammerschmidt reminded the board that they have previously discussed these entries at the previous board meeting. The board suggested certain restrictions be added and approved the series as amended as long as the KSC agreed to the additional restrictions. The information on the restrictions was provided to KSC to review and the final list of restrictions that was returned included additional restrictions that the board hadn't previously discussed, in particular KSA 17-12a607(b). The board reviewed the revised entries and Ms. Mendoza suggested that if adding KSA 17-12a607(b) to series 0002-625, should also add (1) which makes reference to any other laws. Ms. Hammerschmidt indicated that the addition should apply to all three entries. Mr. Wassom agreed to the additional restriction and

indicated that there was an additional series, 0001-625, that should be changed as well. Ms. Chinn suggested handling separately.

**Motion:** Mr. Veatch moved to approve series 0002-625, 0006-625 and 0003-625 as amended, Ms. Chinn seconded, unanimous approval.

**Motion:** Ms. Chinn moved to revise series 0001-625 and add additional restriction to KSA 17-12a607(b). Mr. Veatch seconded, unanimous approval to revise restrictions to KSA 17-12a607(b)(1).

*Kansas State Department of Education (KSDE) – Learning and Innovative Services:* Ms. Hammerschmidt explained the revision is due to a previously proposed new schedule entry being incorporated into series 0190-652. Ms. Hammerschmidt also made sure board was aware that these records are not school records. Mr. Veatch questioned the removal of Family Educational Rights and Privacy Act (FERPA) restriction. Ms. Broers indicated that her predecessor, Mr. Scott Gordon, researched it and confirmed that it would not fall under FERPA.

**Motion:** Mr. Michael moved to approve as submitted, Mr. Veatch seconded. Unanimous approval of series 0190-652 as submitted.

*KSDE– Fiscal and Administrative Services:* Mr. Veatch questioned the wording of the comments and why kept in office sixty days before transferring to storage since records would still be in KSDE custody. Ms. Broers stated that for convenience purposes is why they are kept in office and are wanting to update the schedule entry to match their business practice.

**Motion:** Mr. Veatch moved to approve series 0045-652 as submitted. Mr. Michael seconded the motion, unanimous approval as submitted.

*KSDE- Financial Services and Quality Control:* Ms. Hammerschmidt indicated that after discussion with agency records officer, the disposition comments were clarified and that the official records copy is paper.

**Motion:** Mr. Veatch moved approval of series 0054-652 as submitted, Mr. Sowers seconded. Unanimous approval of entry as submitted.

*Kansas Department of Health and Environment (KDHE) – Environment Division - Bureau of Water:* Ms. Hammerschmidt began by explaining the new series was created to address a collection of records that had not been previously scheduled. Discussion with KDHE staff and attorney indicates the series is background information gathered before it is moved to a Legal Action File. The board questioned how determination was made if records were legal files or bureau files and if all enforcement action files resulted in an agreement order or an order for enforcement. Ms. Hammerschmidt explained that they are records used in remediation steps process before becoming a Consent Agreement or Administrative Order. Mr. Michael indicated that series should probably be two separate series, the review files and a series for the actual enforcement files. Mr. Veatch wanted to get more information and have the description further clarified and separate into two series if needed.

**Motion:** Mr. Veatch moved to table the new series entry “Enforcement Action Files”, Mr. Sowers seconded, unanimous approval.

*KDHE – Health Division – Bureau of Community Health Systems:* Ms. Hammerschmidt requested that series 0277-264 be tabled at this time.

**Motion:** Mr. Veatch motioned to table series 0277-264, Ms. Chinn seconded, unanimous approval to table series 0277-264.

*KDHE – Health Division –Health Occupations Credentialing:* Ms. Hammerschmidt explained that series 0806-264 was still being created, but the program itself was being transferred to the Kansas Department of Aging and Disability Services (KDADs). Both Mr. Smith and Mr. VanHoozer confirmed that the program is now under KDADs. In order to not confuse agencies when searching by series ID only and create an audit trail of the series, Ms. Hammerschmidt requested that series 0806-264 be made obsolete and create new series ID under the programs new agency. Ms. Chinn verified that the series to be made obsolete and the proposed new series under KDADs were identical. Ms. Hammerschmidt confirmed that they are and only thing that has changed is the agency under which they are generated.

**Motion:** Mr. Sowers motioned to approve making series 0806-264 obsolete, Mr. Veatch seconded, unanimous approval.

*Kansas Department of Aging and Disability Services:* Ms. Hammerschmidt explained that this is the KDHE series, 0806-264, that was just made obsolete in order to maintain an audit trail and provide the new agency with a cohesive schedule. Ms. Mendoza inquired if there were any attorney work files included in this series and if any additional restrictions should be added. In particular, KSA 45-221(a)(20)(25) or if KSA 45-221(a)30 would apply. Mr. VanHoozer was not present to respond. Ms. Hammerschmidt stated that she doesn't see Mr. VanHoozer having any issues with the additional restrictions being added. After discussion, the board determined that they could approve the series as presented and after discussion with Mr. VanHoozer, the additional restrictions listed could be added KHS staff. If Mr. VanHoozer determined that any other restrictions, other than those discussed by the board, needed to be added, these would have to be resubmitted to the board for approval.

**Motion:** Mr. Veatch moved to approve entry and authorize staff to add the additional restrictions once discussed with Mr. VanHoozer. Mr. Sowers seconded, unanimous approval.

*Kansas Corporation Commission:* Ms. Hammerschmidt indicated that this series was previously tabled by the agency until they could confer with staff on how long records needed to be maintained by the agency. The agency has provided confirmation that this series need to be kept for 9 years to comply with federal requirements and internal use. Members of the board recalled this discussion and no further questions were raised.

**Motion:** Mr. Veatch moved to approve as submitted. Mr. Michael seconded, unanimous approval of series 0234-143 as submitted.

*Kansas Department of Credit Unions:* Ms. Hammerschmidt explained that the agency wanted to lengthen the retention period and change the disposition of series 0007-159 from Archive to Destroy. Ms. Mendoza questioned the use of the word "investigations" in the description and if the additional restrictions of 45-221(a)(20) and 45-221(a)(11) should be added. Ms. Hammerschmidt indicated it is just the complaint and if not a viable complaint, nothing further

is done. If it is a viable complaint, it is moved to another department and handled under a different record series. After discussion, board recommended changing the description to, "Initial investigations conducted by the department into complaints by credit union consumers that do not result in further action." Board also recommended discussing with staff if the additional restrictions should be added.

**Motion:** Mr. Veatch moved to approve series 0007-159 with amended description and the addition of discussed restrictions be added if accepted by agency staff. Mr. Sowers seconded, unanimous approval as amended.

The board reviewed the housekeeping report and accepted as presented.

*Other Business:* Ms. Mendoza gave a brief history of how the KAR numbers used by the board are generated. State statute 45-404(a) requires the boards retention schedules be filed with the Secretary of State's office. As a recording mechanism only, the use of a sequential KAR numbering system was adopted both the board and S.O.S office. Ms. Mendoza reiterated that the board does not have authority to generate true regulations and why the schedules are not published in the register or fall under the Rules & Regulation process. Discussion continued if changing the recording number to something other than "KAR". The use of "Meeting Approval Number" was agreed upon. Ms. Mendoza requested Mr. Veatch, as State Archivist, contact Barbara Dominquez, at the S.O.S. office, and discuss with her if proposed change was acceptable or if there was a better option. Mr. Veatch indicated that he would call Ms. Dominguez this afternoon and discuss.

Discussion then moved to the process of approving and reviewing retention schedules that include memorandums of understanding or agreement (MOU/MOA). Ms. Hammerschmidt used the Department of Administration, Facility Management as a current example. Ms. Mendoza indicated that the MOU/MOA should be done first and then build retention schedule around that. Ms. Chinn requested that Ms. Hammerschmidt develop the MOA for the Dept. of Administration, Facility Management with Mr. Veatch and present to her to sign. Then once signed, can proceed with the proposed schedule change.

The next order of business involved the discussion of housekeeping authority in regards to a record series entry being moved from one agency to another. Ms. Hammerschmidt wanted board approval for Public Records Program staff to be able to obsolete an entry under the old agency and recreate as a new record series under the new agency. This would eliminate any confusion for agencies and create an audit trail for that series. Mr. Veatch thought it was already allowed under the approved housekeeping rules but after further discussion, determined the intent was there but not included in the language to actually allow. Ms. Mendoza suggested adding the appropriate language and present the revision and the current housekeeping rules at the next board meeting for everyone to review.

Ms. Mendoza indicated that the review of the Electronic Recordkeeping Plans had been inadvertently skipped over. The board paused discussions and revisited that agenda item.

*Kansas Department of Administration ERP:* Ms. Hammerschmidt began by explaining that it is not actually a system, but an electronic file system that is stored on a shared drive and includes a database that functions as an index of all the projects stored on the drive. Mr.

Veatch informed the board that the Electronic Records Committee had reviewed it and were satisfied that it was adequate and sufficient. Mr. Michael asked if more than one person knew how to use and maintain the system and Mr. Veatch indicated multiple staff did although currently only one person is doing it. Ms. Chinn inquired if included on the agency continuity of operation plan. Mr. Veatch indicated that the backup system is good and Mr. Michael indicated that he would confirm that it was included in the agency continuity plan.

**Motion:** Mr. Veatch moved to approve as submitted, Ms. Chinn seconded. Unanimous approval ERP plan as submitted.

*Kansas Real Estate Commission ERP:* Ms. Hammerschmidt explained that it was a straight forward SharePoint system. Mr. Veatch indicated that the ERC was extremely pleased with this plan and a model ERP. Mr. Veatch even stated that the ERC was given permission to use as an example to other agencies.

**Motion:** Mr. Michael moved to approve ERP as submitted, Mr. Sowers seconded, unanimous approval.

The board then resumed discussion of the other business matters. Ms. Hammerschmidt explained that the State Archives wanted to deaccession and destroy a large number of Kansas Public Employees Retirement System litigation files. Ms. Hammerschmidt indicated that of the 1100 boxes that were received from the Xerox record clearing house, approximately 600 of them shouldn't have been included. These records include things like copies of board meeting, minutes, correspondence, witness transcripts, financial and audit reports from all parties, both plaintiff and defendant. Due to volume and type of records, Ms. Hammerschmidt requested guidance on how to proceed. Ms. Mendoza suggested that KPERS staff be contacted and apprised of the plan to deaccession these records and gather their input and the other parties as well, since assumptions may have been made that since it had been archived, they would always have access to it if needed. Ms. Hammerschmidt indicated she would make contact and bring the information back to the board at the next meeting.

The board then moved to discussing the addition of Office 365 that Ms. Mendoza requested at the beginning of the meeting. Ms. Mendoza wanted the board to be aware of the emails that her office had received regarding Office 365. The Office of Information Technology Services (OITs) had sent their proposed email solution options to all the agencies chief counsel and is how her office become aware of the issue. The Attorney General's LOGIC division responded by informing OITs that none of the proposed solutions met the actual law requirements and as of this meeting, are still waiting for a response back from OITs. Mr. Michael was unable to shed any additional light on where OITs was at on implementing a real solution to records management, particularly with emails. Ms. Chinn indicated she would be attending a non-cabinet meeting next week with Phil Wittmer attending. Ms. Chinn indicated, with the boards permission, that she would like to approach Mr. Wittmer and initiate a dialogue with him regarding the boards concerns. Further discussion resulted in Mr. Michael being the one to initiate contact with Mr. Wittmer as well as Mr. John Yeary, and set up a meeting with the board. Mr. Michael will contact Ms. Hammerschmidt once a time as been set.

If necessary, the board will hold a special meeting to accommodate the scheduling of this meeting in order to address their concerns and offer help and advice regarding this issue.

The final order of business was to confirm the proposed future meetings with the possibility of a special meeting of the board if necessary. With nothing further to discuss, the board adjourned at 10:48 a.m.

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**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
July 20, 2016**

1. **Agency:** Office of Administrative Hearings
2. **Records Officer:** Sharon Wiedmaier      **Phone:** 785-296-2895
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 07/12/2016
5. **a) Total records – No. of Series:** 2  
**b) New series – No. of Series:** 0  
**c) Revised existing series – No. of Series:** 1  
**d) Obsolete schedule entries – No. of Series:** 1 (See Housekeeping changes)  
**e) Series superseded by other schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 1
7. **Appraisal Narrative:**

The Office of Administrative Hearings (OAH) employs administrative law judges and other support personnel to conduct proceedings for the Kansas Department for Children and Families (DCF), Kansas Department of Health & Environment, KDHE/Division of Health Care Finance (KDHE/DHCF), Kansas Department for Aging and Disability Services (KDADS), Department of Administration/Office of General Services (State Debt-setoff Program) and coordinates the State Civil Service Board hearing process for the Department of Administration/Office of Human Resources, along with many other state agencies. The process of the OAH is an appeal is received and it is entered into their database. Then an acknowledgement letter is sent for the appeals process to begin. A prehearing/hearing notice is sent to the interested parties. Evidence is received by the OAH. A hearing is then held and evidence is presented and then a decision is mailed out to the interested parties. All documents pertaining to that appeal process, incoming and outgoing, are scanned and linked to that record electronically and a paper file is kept.

OAH is proposing a revision to series 1024-173 to reflect the current business practice followed by the agency. Most agencies take the case files back after the

appeals process is complete and integrate the records into their own case files. This schedule revision affects the Department for Children and Families, Kansas Department of Health & Environment, KDHE/Division of Health Care Finance, Kansas Department for Aging and Disability Services, all of whom stated they had a series they were integrating the case files into within their own agencies. The series that the agencies have identified to house the returned records are KDADS: 0140-039 Litigation Case Files and 0134-039 Appeals Files, KDHE/DHCF: 0071-000 Litigation Case Files, and DCF 0071-000 Litigation Case Files. The ERP for the agency is approved but is currently being revised to reflect the status of the digital copies and will be revised at a later date.

## Retention/Disposition Schedule Entries

**178-001**

### Office of Administrative Hearings

**Administrative Hearing Case Files** (Series 1024-173)

Hearing requests, correspondence, exhibits, notes, digital recordings, copies of decisions and orders and other documents relating to administrative hearings. Hearings cover appeals of any state agency's action, including but not limited to food stamps, license revocation, etc. OAH staff attorneys oversee the hearings, and final decision may be appealed to District Court. Also includes database of docket information.

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** See Comments

**Disposition:** Permanent

**Restrictions:** KSA 39-709b, 39-758, 39-1404, 39-1430, 39-1507, 38-1506, 38-1508, 38-1607, 38-1608, 38-1609, 59-2111, 72-4311, 34 CFR sec. 361.49.

**Comments:** Scan paper documents, and retain paper copy until each case's appeal time has expired, then return to appropriate agency. Retain digital copy permanently in system according to Electronic Recordkeeping Plan.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-179

**Last Surveyed** 10 December 2008

**Record Copy:** Electronic

**Electronic Recordkeeping Plan Endorsed**

**Remarks:** Restricting statutes/regulations: KSA 39-709b, 39-758, 39-1404, 39-1430, 39-1507, 38-1506, 38-1508, 38-1607, 38-1608, 38-1609, 59-2111, 72-4311, 34 CFR sec. 361.49.

Revised description & retention; required Electronic Recordkeeping Plan.

7/9/09 revised agency code to reflect OAH becoming an independent agency.

05/20/2013 mwiget: 7/9/09 revised agency code to reflect OAH becoming an independent agency.

05/20/2013 mwiget: Removed restrictions information from Remarks to Restrictions field.

12/03/2013 mwiget: Removed notation about Records Center from disposition comments.

12/10/2013: revised description to specifically include information about dockets.

10/15/2015: shortened retention of paper documentation after scanning from 6 to 2 years.

Agency plans to add digital recordings to this series and to supersede 1041-173 into this entry when they are on their new Sharepoint system--know they will need to generate a new ERP at that time.

06/28/2016: updated the record description and the retention to reflect that agencies take the case files back and integrate them into their own case files. OAH is in the process of updating their ERP to reflect the status of the digital copy and will be revised at a later date.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
July 20, 2016**

1. **Agency:** Kansas Board of Cosmetology
2. **Records Officer:** Laura Gloeckner                      **Phone:** 785-296-3002
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 07/12/2016
5. **a) Total records – No. of Series:** 10  
**b) New series – No. of Series:** 7  
**c) Revised existing series – No. of Series:** 3  
**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 Kansas Board of Cosmetology regulates and licenses cosmetology, tanning, and body art professions throughout the state of Kansas. The regulations include Cosmetology facilities, instructors, schools, individual cosmetologists, tattoo artists, and cosmetologist technicians.

The appraisal is based upon discussions with agency records officer, agency staff, and agency IT. To reflect current business practices seven new series have been proposed. Series 0004-149 and 0014-149 have been revised to clarify description, retention, and disposition language. Legal Files, Complaints, Renewals – Establishments, and Renewals-Practitioners and Instructors series were added because records had not been scheduled, but are important to the agency for business practices. Series 0015-149, new series Licensing Files – Establishments, Licensing Files – Apprentice, have an endorsed ERP attached to them because the retention of the files will be kept in the MyLicense Office database for ten or more years. All new series have been given restrictions on personal information, test scores, and medical information to protect the privacy of patrons and cosmetologists.

## Retention/Disposition Schedule Entries

### 149-001

#### Kansas State Board of Cosmetology

##### **Applications for Licensure - Incomplete** (Series Unknown)

Applications and supporting documentation for individuals, salons, facilities and schools licensed in the cosmetology, tanning and body art professions.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221 (a)(3), (6), (9), (14), (30)

**Comments:** Retain one year after last action on the application. 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 Endorsed**

##### **Closed Schools Files** (Series 0004-149)

Files and documents relating to inactive cosmetology schools.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221 (a)(9), (30)

**Comments:** Retain in office three calendar years after closure. Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-088

**Last Surveyed** 01 July 2015

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Endorsed**

**Remarks:** 11/28/1990: new entry

07/0/2015: revised description, retention period from 3 cldr yrs, [and disposition from archives to destroy].

07/08/2016: revised retention to 3 years after closure and added comment on ERP. Added KSA entry.

##### **Complaints** (Series Unknown)

Documents and investigation files related to complaints not resulting in disciplinary action.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221(a)(2), (3), (5), (9), (10), (11), (14), (20), (25), (30)

**Comments:** Retain for three years from last date of action.

**Schedule Authority:** Agency Schedule

**Record Copy:** Paper

**Legal Files (Series Unknown)**

Disciplinary and licensure actions administered under the Kansas Administrative Procedure Act and Kansas Judicial Review Act.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221(a)(2), (3), (5), (9), (10), (11), (14), (20), (25), (30), KSA 77-503a

**Comments:** Retain for ten calendar years from last date of action on the file.

**Schedule Authority:** Agency Schedule

**Record Copy:** Paper

**License Cards - Practitioners (Series 0014-149)**

Cards containing licensure history of individuals licensed by the agency.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See comments

**Disposition:** Destroy

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

**Comments:** Retain in office until entered into electronic database. Paper copies should be destroyed after quality assurance procedures have been met per the ERP.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-102

**Last Surveyed** 01 July 2015

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Not Required**

**Remarks:** 11/28/1990: new entry

07/01/2015: revised series title, description, and retention period from 10 cldr yrs. These records are still in use by the Board and the only record of licensure history for older licenses.

07/08/2016: Changed retention period from 20 years and from archives to destroy. Changed restrictions from KSA (a)(9) to (a)(30).

**Licensing Files - Apprentice (Series Unknown)**

Applications and supporting documentation for students licensed in the cosmetology and body art professions that are not licensed as a KS practitioner.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221 (a)(3), (6), (9), (14), (30)

**Comments:** Retain three calendar years after license is expired. 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 Endorsed**

### **Licensing Files - Establishments** (Series Unknown)

Applications and supporting documentation for salons and facilities licensed in the cosmetology, tanning and body art professions.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221 (a)(6), (14), (30)

**Comments:** Retain three calendar years after applicant fails to renew or is deceased. 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 Endorsed**

### **Licensing Files - Practitioners and Instructors** (Series 0015-149)

Applications and supporting documentation for individuals licensed in the cosmetology and body art professions.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221 (a)(3), (6), (9), (14), (30)

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

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-102

**Last Surveyed** 01 July 2015

**Record Copy:** Paper, Electronic

## **Electronic Recordkeeping Plan Endorsed**

**Remarks:** 11/28/1990: new entry

07/01/2015: revised series title, description, and clarified retention. The data contained in the licensing file is also recorded in electronic format in the Agency's licensing database.

07/08/2016: Revised description to include body art professions, added comments on ERP, added KSA information. Revised title to accurately represent records in series.

### **Renewals - Establishments** (Series Unknown)

Renewal documentation for salons and facilities licensed in the cosmetology, tanning and body art professions.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** See comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221 (a)(6), (14), (30)

**Comments:** Retain for two years after renewal.

**Schedule Authority:** Agency Schedule

**Record Copy:** Paper

**Renewals - Practitioners and Instructors (Series Unknown)**

Renewal documentation for individuals licensed in the cosmetology and body art professions

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** See comments

**Disposition:** Destroy

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

**Comments:** Retain for four years after renewal.

**Schedule Authority:** Agency Schedule

**Record Copy:** Paper

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
July 20, 2016**

1. **Agency:** Office of the Attorney General—Victim Services Division
2. **Records Officer:** Lisa Mendoza                      **Phone:** 785-368-8063
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 07/12/2016
5. **a) Total records – No. of Series:** 1  
**b) New series – No. of Series:** 0  
**c) Revised existing series – No. of Series:** 1  
**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:**

The Office of the Attorney General Victim Services Division offers aid to those who are victims of a crime. They provide financial assistance with expenses that occur because of the crime committed. The division also provides grant programs to victim service agencies throughout the state of Kansas.

The appraisal is based upon discussions with agency records officer. The revision has been suggested to clarify language and business practice of the division. Removed the language “for purging” and changed to “contact the Archives for appraisal. If not accepted, then destroy.”

## Retention/Disposition Schedule Entries

**082-004**

### **Office of the Attorney General Victim Services Division**

**Grant Files - Victim's Assistance/Funded** (Series 0085-082)

Variety of documents relating to applications for grants and other funding requests made of the Attorney General by other agencies. Includes documents relating to the administration and implementation of such funding.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See Comments

**Disposition:** See Comments

**Restrictions:** KSA 45-221(a)(1)(3)(10)(11)(14)(20)(25)(30)(47)

**Comments:** Retain individual grant files for 5 years after the end of the grant period, then destroy. Retain overall grant program administration records until superseded by updated information, then contact the Archives for appraisal. If not accepted, then destroy.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-157

**Last Surveyed** 15 September 2008

**Record Copy:** Paper

**Remarks:** Revised entry. Modified title and description to clarify that these records relate to requests for funding from, rather than for, the AG's office. Added restrictions. Supersedes Grant Files - Funded (0157-082).

07/06/2016: Revised the comments section to add "individual grant files for" and removed the "transfer original applications and annual and final performance reports to the archives for purging, destroy remaining documents" section.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
July 20, 2016**

1. **Agency:** Kansas Historical Society—State Archives Division
2. **Records Officer:** Ryan Leimkuehler **Phone:** 272-8681 ext. 288
3. **Appraising Archivist(s):** Ryan Leimkuehler
4. **Date of Appraisal:** 7/12/2016
5. **a) Total records – No. of Series:** 12  
**b) New series – No. of Series:** 6  
**c) Revised existing series – No. of Series:** 6  
**d) Obsolete schedule entries – No. of Series:** 3 (see Housekeeping report)  
**e) Series superseded by other schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 5
7. **Appraisal Narrative:**

The Kansas Historical Society preserves several different collections related to Kansas history. These collections include archeology, audio visual, document, historic sites, manuscripts, maps, and government records. The Historical Society has served as the State Archives since 1905 and the holdings include inactive unpublished records of state government with enduring historical value.

The appraisal is based upon discussions with agency staff and visual appraisal of records by the appraising archivist. To reflect current business practices six new series have been proposed to record the decision making in the photography lab and to maintain the current collection. These practices generated records and they were maintained, but not scheduled until now. Patron Microfilm Request Files have a twenty year retention period due to the need to reference microfilm requests for patrons or to explain to local institutions what they had requested in the past. Promotional Photography has determined that it would like to set a five year minimum retention that was not available in the general schedule entry. The seven revised series have been updated to include minimum retention periods, to clarify language in the descriptions, and change from destroy to permanent

retentions. Series 0052-288 was renamed from "holdings price files" because the agency is not supposed to put a value appraisal on its collections. These monetary value assessments were not an accurate reflection of the Historical Society business practice. KSHS has added KSA 45-221 (a)(30) to protect the personal information of patrons to series: 0063-288, Patron Microfilm Request Files (new series), Photo Order Forms (new series), Promotional Photography (new series), 0052-288, 0137-288.

## Retention/Disposition Schedule Entries

**288-002**

### **Kansas State Historical Society Library and Archives Division**

#### **Borrowing Agreement Form (Series 0383-288)**

Form completed by staff describing the type of material loaned to borrowing institutions and loan fees.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Retain 5 cld years after material is returned and verified.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-126

**Last Surveyed** 20 February 2001

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Not Required**

**Remarks:** 06/28/2016: revised comments from "retain until material is returned and verified then destroy." to give minimum retention.

#### **Film Duplication Log (Series Unknown)**

Logs of positive and negative film duplicated including date duplicated, lab number and density settings.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** Permanent

**Disposition:** Permanent

**Restrictions:** none

**Schedule Authority:** Agency Schedule

**Record Copy:** Paper

**Remarks:** 06/28/2016: new entry entered

#### **Film Processing Log (Series Unknown)**

Logs of film run through the film processor indicating date processed and lab number.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** 1 cld year

**Disposition:** Destroy

**Restrictions:** None

**Schedule Authority:** Agency Schedule

**Record Copy:** Paper

#### **Image order forms (Series 0063-288)**

Forms used by patrons to request photoduplication services.

**Entry Status:** Ready for SRB  
**Recommended Status:**Revise  
**Retention Period:** 001 fisc yr  
**Disposition:** Destroy  
**Restrictions:** KSA 45-221 (a)(30)  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-137  
**Last Surveyed** 04 September 2003  
**Record Copy:** Paper  
**Remarks:** 06/28/2016: changed title from "photoduplication request forms" because not everything requested is a photograph or in a photograph format. Added restriction on personal information.

**Microfilm Camera Books** (Series 0075-288)  
Records documenting all work performed on individual microfilm cameras: roll numbers, number of exposures, reduction ratios used, roll contents identification, and remarks.  
**Entry Status:** Ready for SRB  
**Recommended Status:**Revise  
**Retention Period:** Permanent  
**Disposition:** Permanent  
**Restrictions:** None  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-137  
**Last Surveyed** 19 August 2003  
**Record Copy:** Paper  
**Remarks:** 06/28/2016: changed from destroy to permanent because these records will always need to be accessed by department.

**Microfilm Inspection Logs** (Series 0143-288)  
Logs maintained to monitor any defects or problems with the microfilm produced by the lab.  
**Entry Status:** Ready for SRB  
**Recommended Status:**Revise  
**Retention Period:** Permanent  
**Disposition:** Permanent  
**Restrictions:** None  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-137  
**Last Surveyed** 26 August 2003  
**Record Copy:** Paper  
**Remarks:** 06/28/2016: removed comment for redundancy, and record series only includes paper records.

**Patron Microfilm Request Files** (Series Unknown)  
Documentation of patron and local institutions requests for filming recent newspaper issues.  
**Entry Status:** Ready for SRB  
**Recommended Status:**Approve As New  
**Retention Period:** 20 cld year  
**Disposition:** Destroy

**Restrictions:** KSA 45-221 (a)(30)  
**Schedule Authority:** Agency Schedule  
**Record Copy:** Paper

**Periodicals and Government Documents Checklist** (Series 0061-288)

Accession and holdings records of government documents and periodicals in the collection.

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** Permanent

**Disposition:** Permanent

**Restrictions:** None

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-077

**Last Surveyed** 21 July 1988

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Pending**

**Remarks:** 06/30/2016: updated description to include "periodicals" and updated the record format to include paper and electronic records.

**Photo Order Forms** (Series Unknown)

Duplication order forms recording patron information and the collections for which they are requesting high quality copies.

**Entry Status:** Ready for SRB

**Recommended Status:**Approve As New

**Retention Period:** 1 cld year

**Disposition:** Destroy

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

**Schedule Authority:** Agency Schedule

**Record Copy:** Paper

**Promotional Photography** (Series Unknown)

Non-collections digital photography created for promotional purposes in the photo studio or elsewhere.

**Entry Status:** Ready for SRB

**Recommended Status:**Approve As New

**Retention Period:** See comments

**Disposition:** Archives

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

**Comments:** Retain 5 cld years then contact archives for appraisal. If not accepted then destroy.

**Schedule Authority:** Agency Schedule

**Record Copy:** Electronic

**Electronic Recordkeeping Plan Not Required**

**Remarks:** 06/28/2016: KSHS wanted to set a minimum retention period that was not on the general schedule.

**Reference Files** (Series 0052-288)

Reference files used to answer questions from patrons.

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** 3 cld years

**Disposition:** Destroy

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

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-137

**Last Surveyed** 19 August 2003

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Not Required**

**Remarks:** 06/28/2016: revised series to change series title from "holdings price files", edited out "regarding the monetary value of portions of the holdings" because these do not reflect the actual business practice. Added restriction on personal information.

**Volunteer Files** (Series 0137-288)

records of applications and other documentation relating to the recruitment and activities of division volunteers.

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** 3 cld years

**Disposition:** Destroy

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

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-108

**Last Surveyed** 28 March 1996

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Not Required**

**Remarks:** 06/28/2016: gave minimum retention period and updated record format. Added restriction to personal information.

# Housekeeping Changes Since 15 April 2016 15 July 2016

## Housekeeping Edit

000-114  
Local Government Records  
Sheriff's Office

In-car Video Footage (Series 0009-114)  
Description: Video footage from the camera in sheriff's department vehicles.  
Change: corrected KAR number from 52-2-133.-- jhammersch, 11 May 2016

In-car Video Media Logs (Series 0010-114)  
Description: A record of the installation, use and removal of in-car video media. It may include specific footage identification and designation; times, dates, and details of footage use (e.g. traffic stops); and notes on the footage's disposition.  
Change: corrected KAR number from 52-2-133.-- jhammersch, 11 May 2016

288-002  
Kansas State Historical Society  
Library and Archives Division

Library Acknowledgments - Yearly (Series 0051-288)  
Description: Incoming and outgoing correspondence regarding material donated to the library.  
Change: updated format of records to reflect current practice-- rleimkuehl, 30 June 2016

Permission to Publish Forms (Series 0386-288)  
Description: Forms completed by research patrons requesting permission to publish materials from the holdings.  
Change: updated record format-- rleimkuehl, 28 June 2016

## Obsolete

000-114  
Local Government Records  
Sheriff's Office

Case Files (Series 0004-114)

Description: Files containing offense reports, statements, fingerprints from the scenes of crimes, evidence submission/custody sheets, photographs, video footage or description of video footage, telephone notes, memos, faxes, etc. Includes: Crime Lab Files and Investigative Files.

Change: Duplicate series-- rleimkuehl, 30 June 2016

178-001  
Office of Administrative Hearings

Administrative Hearing Tapes (Series 1041-173)

Description: Cassette tape recordings of the proceedings of administrative hearings.

Change: Marked as obsolete series because records are no longer created for this series.-- rleimkuehl, 28 June 2016

288-002  
Kansas State Historical Society  
Library and Archives Division

Microfilming Project Files - Genealogical Society of Utah (Series 0090-288)

Description: Variety of documents relating to the Genealogical Society of Utah's project to microfilm local records in conjunction with the state archives.

Change: project is complete no new records are being produced-- rleimkuehl, 28 June 2016

Newspaper Inventory Sheets (Series 0058-288)

Description: Completed forms used to inventory newspaper holdings for computer input in MARC format.

Change: records are no longer produced-- rleimkuehl, 30 June 2016

Roll Identification Card Files (Series 0078-288)

Description: Index to the Laboratory Number Books (q.v.) and to rolls of microfilm stored off-site.

Change: records are no longer produced-- rleimkuehl, 28 June 2016

## Superseded series

082-001

### Office of the Attorney General Administration Division

Employee Time Report Records (Series 0009-082)

Description: Records documenting time worked by individual employees on a daily, weekly, or monthly basis: time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, etc.

Change: Superseded to general schedule 0039-000--rleimkuehl, 14 July 2016

Press Releases (Series 0028-082)

Description: Public information issued to the news media.

Change: Superseded to general schedule 0086-000--rleimkuehl, 14 July 2016

Vouchers - Journal (Series 0038-082)

Description: DA forms 35 series used to adjust financial account balances, and supporting documentation.

Change: Superseded to general schedule 0124-000--rleimkuehl, 14 July 2016

082-004

### Office of the Attorney General Victim Services Division

Annual and Special Reports (Series 0072-082)

Description: General and specific reports on agency activities. Includes reports from Task Forces.

Change: Superseded to general schedule 0005-000--rleimkuehl, 14 July 2016

Hearing and Meeting Transcripts and Electronic Media Recordings (Series 0087-082)

Description: Records of agency hearings and other meetings: transcripts, audiotapes, videotapes, notes, etc.

Change: Superseded to general schedule 0052-000--rleimkuehl, 14 July 2016

#### Minutes (Series 0089-082)

Description: Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.

Change: Superseded to general schedule 0075-000--rleimkuehl, 14 July 2016

#### Proclamations (Series 0091-082)

Description: Proclamations by the Governor concerning activities and events relating to agency functions, and maintained for convenience of reference.

Change: Superseded to general schedule 0131-000--rleimkuehl, 14 July 2016

#### Programs and Invitations (Series 0092-082)

Description: Documents related to official agency functions.

Change: Superseded to general schedule 0089-000--rleimkuehl, 14 July 2016

#### Publications (Series 0093-082)

Description: Internally produced newsletters, pamphlets, leaflets, and brochures distributed to inform a constituency about the activities of the agency.

Change: Superseded to general schedule 0091-000--rleimkuehl, 14 July 2016

#### Speeches and Writings (Series 0094-082)

Description: Notes, drafts, and final versions of agency related speeches, articles, talks, and other formal public communications published or given at meetings and conferences.

Change: Superseded to general schedule 0103-000--rleimkuehl, 14 July 2016

#### Technical Reference Files (Series 0101-082)

Description: Copies of documents retained strictly for convenience of reference that are not part of official files: copies of external reports, studies, periodicals, books, brochures, catalogs, vendor lists, etc.

Change: Superseded to general schedule 0113-000--rleimkuehl, 14 July 2016

### Crime Victims Compensation Board

#### Vouchers - Journal (Series 0162-082)

Description: DA forms 35 series used to adjust financial account balances.

Change: Superseded to general schedule 0124-000--rleimkuehl, 14 July 2016

#### Vouchers - Purchase (Series 0165-082)

Description: Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA-120.

Change: Superseded to general schedule 0125-000--rleimkuehl, 14 July 2016

Vouchers - Receipts (Series 0163-082)

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

Change: Superseded to general schedule 0126-000--rleimkuehl, 14 July 2016

Vouchers - Travel (Series 0164-082)

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

Change: Superseded to general schedule 0127-000--rleimkuehl, 14 July 2016

082-007

Office of the Attorney General

Consumer Protection Division

Technical Reference Files (Series 0148-082)

Description: Copies of documents retained strictly for convenience of reference that are not part of official files: copies of external reports, studies, periodicals, books, brochures, catalogs, vendor lists, etc

Change: Superseded to general schedule 0113-000--rleimkuehl, 14 July 2016

082-XXX

Office of the Attorney General

Multiple subunits/subunit not defined

Schedules - Office Activities (Series 0204-082)

Description: Internal forms, appointment books, contact lists, task/to do lists, and calendars used to schedule employees, activities, vehicles, meeting rooms, etc.

Change: Superseded to general schedule 0099-000--rleimkuehl, 14 July 2016