

**AGENDA**  
**STATE RECORDS BOARD**

**4/7/2016**

**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 – October 22, 2015
3. Kansas Securities Commissioner
  - a. Revised Entries
4. Kansas State Department of Education
  - a. Revised Entries
5. Kansas Department of Health and Environment
  - a. New Schedule Entry
  - b. Revised Entry
  - c. Obsolete Entry
6. Kansas Department of Aging and Disabilities
  - a. New Schedule Entry
7. Kansas Corporation Commission
  - a. Revised Entry
8. Kansas Department of Credit Unions
  - a. Revised Entry
9. Electronic Recordkeeping Plans
  - a. Department of Administration
  - b. Real Estate Commission
10. Housekeeping changes:
  - a. Housekeeping
    - Insurance Department
    - Office of the Securities Commissioner
    - Kansas State Department of Education
  - b. Obsolete
    - State Corporation Commission
  - c. Superseded
    - Kansas State Historical Society

## 11. Other Business

- a. Discussion regarding clarifying the process used to generate KAR numbers as well as where the authority to do so is derived from.
- b. Discussion on process for approving/reviewing retention schedule entries that have a caveat such as an MOU/MOA
- c. Discussion regarding providing authority for Public Records Program staff to obsolete an entry that is being recreated under a new agency and create the new entry as a housekeeping action presuming there are no changes beyond assigned agency to the schedule entry.
- d. Discussion regarding deaccession and destruction of records related to KPERS litigation.
- e. Future meetings:
  - July 21, 2016
  - October 20, 2016
  - January 19, 2017

## State Records Board

October 22, 2015

### 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  
Jason Ackerman, designee of the State Librarian  
Philip Michael, designee of the Secretary of Administration

Also present: Marcella Wiget, KHS  
Joanna Hammerschmidt, KHS  
Mark Cole, KHS  
Michael Smith, Kansas Dept. of Health and Environment (KDHE)  
Mary Murphy, Kansas Dept. of Health and Environment (KDHE)  
Stephanie Green, Kansas Dept. of Health and Environment (KDHE)  
Donna Reno, Kansas Dept. of Health and Environment (KDHE)  
Debora Lusby, Kansas Dept. of Health and Environment (KDHE)  
Marla Oestreich, Kansas Dept. of Health and Environment (KDHE)  
Brian Richter, Kansas Corporation Commission (KCC)  
Cathy Rinehart, Kansas Corporation Commission (KCC)  
Jon McKenzie, Kansas Corporation Commission (KCC)  
Steven Wassom, Kansas Securities Commission (KSC)  
Lynn Hammes, Kansas Securities Commission (KSC)  
Kathy Bock, Kansas Securities Commission (KSC)  
Shawnel Neal, Kansas Dept. of Revenue (KDOR)

Meeting called to order at 8:39 a.m. and Mr. Veatch began the introductions. Once introductions were complete, Ms. Chinn announced that Ms. Wiget is leaving the KSHS. Ms. Wiget received accolades from the board members and all present for her years of service.

*Minutes:* Previous meeting minutes were presented and reviewed.

**Motion:** Ms. Chinn moved approval of meeting minutes as presented, Mr. Veatch seconded, unanimous approval of August 12, 2015 minutes.

*Kansas Department of Revenue:* Ms. Wiget discussed how agency is moving to electronic recordkeeping for the Commercial Driver's License (CDL) system. Mr. Veatch questioned if there would be other records series associated with this system. Ms. Neal indicated that would be the case and indicated the agency is working through the rest of their retention schedule and would be seeing more of them. Ms. Hammerschmidt briefly mentioned the process of setting up an electronic recordkeeping plan and steps agency should take to get plan in place.

**Motion:** Mr. Veatch moved to approve series 0565-005. Ms. Chinn seconded, unanimous approval of new entry as submitted.

*Kansas Insurance Department:* Board pushed discussion of these entries until last to give agency time to have representative present.

*Kansas Securities Commission:* Ms. Wiget explained that the reason for revising and superseding the proposed entries was to streamline the agencies schedule. Mr. Wassom thanked Ms. Wiget for help in doing so and had nothing further to add. Ms. Mendoza questioned the restrictions on series 0002-625 and wanted to know if these would be considered attorney files or not. Mr. Wassom stated that although closely related to the legal staff files, wasn't sure if any attorney work product would be involved with these records. Mr. Wassom asked the board for guidance on this matter. Ms. Mendoza suggested K.S.A. 45-221(a)(20) should be added at a minimum. Ms. Mendoza also said that after the agency has had a chance to explore more, the restrictions note can be revised as a housekeeping edit to update restriction to K.S.A. 45-221(a)(20)(25). Discussion moved to use of "Form NF" in describing in several of the series. Ms. Chinn asked if there was a formal name for this document. Mr. Wassom indicated that it may be called something else, but is a state form used for notice of filing. Ms. Mendoza and Ms. Chinn both requested that this be spelled out or have a more formal title on the form itself. Mr. Wassom had no objects to spelling out the title. Ms. Mendoza questioned Mr. Wassom regarding the restrictions on both series 0003-625 and 0006-625. Mr. Wassom indicated there could be attorney drafts, opinions, etc. Ms. Mendoza suggested K.S.A. 45-221(a)(14)(20) be added to series 0003-625 and K.S.A. 45-221(a)(11) be added to for series 0006-625. Ms. Chinn inquired about the retention language of "Retain until no longer useful" for series 0003-625. After discussion, the board and agency decided on "Retain 5 years after issuance of ruling or determination." Mr. Veatch also suggested to replace language for series 0001-625 and 0009-625 to "Retain until inactive". Mr. Wassom agreed that language could be changed. Ms. Mendoza asked for clarification of the description for series 0013-625 and if retention period was long enough. Mr. Wassom stated that a permanent electronic record is kept and that a one fiscal year retention period is adequate. Discussion turned to series 0004-625. Ms. Mendoza asked about the word "Policy" and Ms. Wiget indicated that it should be replaced with "retention schedule entry." Mr. Veatch was concerned with the wording that "All records can be destroyed July 1, 2019" and wanted to clarify and confirm that records related to the Uniform Land Sales Practices Act (ULSPA) would still be transferred to the State Archives since law has been repealed. Mr. Veatch wanted to ensure that the state would still have some evidence on the books regarding the policies and regulations for that statute and any other policy level records of value. Mr. Wassom stated that there should be since many of those fall under several other series. Mr. Veatch urged that due diligence be adhered to in order to ensure that appropriate records be transferred to the State Archives.

**Motion:** Mr. Veatch moved to approve the Kansas Securities Commission schedule entries as amended. Mr. Michael seconded, unanimous approval of entries as amended.

The board reviewed the proposed schedule entries to be superseded into other agency-specific schedule entries.

**Motion:** Ms. Chinn moved to approve. Mr. Veatch seconded, unanimous approval of superseding schedule entries into other agency-specific schedule entries.

There were some questions among those present regarding housekeeping changes in regards to adding or removing restrictions on schedule entries. Ms. Wiget explained that schedule entry restrictions discussed during the State Records Board could be revised after the fact and are housekeeping changes. If an agency wishes to revise restrictions on entries that haven't yet appeared before the board and discussed, they will need to bring those schedule entries before the board for approval.

*Kansas Corporation Commission:* Ms. Wiget began the discussion of these schedule entries by indicating that they are all related to the agency working on an electronic system, Kansas Trucking Regulatory Assistance Network (KTRAN), to manage all records related to motor carrier transportation in the state of Kansas. The board reviewed the proposed entries and requested clarification on several acronyms used in the schedule entries. Ms. Mendoza also questioned if series 0226-143 had an appeal process since the retention period was so short. Ms. Bock informed board that there was not an appeal process. Ms. Hammerschmidt requested that the wording "then destroy." be removed from retention period language and to read, "Retain 45 days after dismissed or denied." Ms. Mendoza asked about the wording "regarding some problem" used in in series 0229-143. After discussion, the board recommended removing "regarding some problem" from the description since a complaint already indicates there was a problem. Discussion then turned to series 0428-143. Mr. Veatch found the description to be somewhat confusing and asked for clarification. After several minutes of discussion, the board recommended revising the language to "Orders issued by KCC regarding the suspending, revoking, or reinstating of motor carrier's authority to operate in the state of Kansas based upon current status of motor carrier's insurance." A similar discussion followed for series 0427-143. The board and agency agreed to revise the description to read, "Orders issued by the KCC cancelling a motor carrier's requested name change that would result in a carrier's operating authority not complying with statutory requirements." Ms. Chinn also requested that the statute governing motor carries and their name be added as a house keeping edit to an internal remark in order to keep institutional memory. Mr. Ackerman requested what the letters for series 0219-143 stood for. Determined that "H" stood for cancellation, "E" stood for liability and "K" stood for property. Mr. Ackerman also requested that description for series 0219-143 read, "Certificates of insurance and cancellations received from companies insuring that motor carriers have active authority to operate in Kansas." Discussion returned to the use of acronyms and Ms. Chinn inquired if there could be a mass housekeeping to clean up the schedules to eliminate any confusion. Ms. Mendoza agreed that it would be beneficial not only for the board but the general public as well. Mr. Ackerman inquired how that would work and if going to be spelled out once per series or at all time. Mr. Veatch clarified that should be once per series and only if used in same paragraph. Mr. Veatch used series 0430 as an example. The acronym "CDL" would be spelled out the first time and

acronym used after that. Series 0234-143 was then discussed. Mr. Veatch questioned the nine year retention for this series. Ms. Bock explained that the agency is attempting to stay in line with the federal requirements but due to recent request for a record that was 8 or 9 years old, agency staff requested the retention period be made longer. Ms. Chinn strongly recommended that the agency reconsider and change to only a five year retention citing the costs to keeping records longer than necessary. Mr. Veatch also added that K.S.A. 45-404(b) includes language that indicates the retention periods are minimums and do not require agencies to destroy records once they have reached the retention period stated in the schedule. Discussion moved back and forth until Mr. Ackerman suggested that series 0234-143 be tabled until the agency can discuss and decide.

**Motion:** Ms. Chinn motioned to table 0234-143. Mr. Veatch seconded, unanimous approval to table series 0234-143 until agency can further discuss this schedule entry.

**Motion:** Mr. Veatch moved to approval of remaining entries as amended. Mr. Michael seconded, unanimous approval of revised entries as amended with the exception of the tabled series 0234-143.

*Kansas Dept. of Health and Environment (KDHE)* – Ms. Hammerschmidt began the discussion by stating that after appraisal, it was determined that some of the proposed record series did not have long term archival value and that a definitive retention period could be defined. It was also stated that some of the series are resubmissions with changes based upon feedback from previous State Records Board Meetings. Ms. Hammerschmidt presented the entries bureau by bureau.

*KDHE – Bureau of Radiation:* Ms. Mendoza asked for a minor revision to series 0270-264. The word “post” in the retention period be capitalized. Discussion then turned to series 0277-264. Ms. Chinn wanted clarification on who was the issuing authority for exemptions and Mr. Veatch asked if any restrictions should apply to this schedule entry, in particular Kansas Open Records Requests. Mr. Smith indicated that they would refer any open records request to the Adjutant General’s Division of Emergency Preparedness, but these are exemptions granted by KDHE and are their agency’s records. Ms. Mendoza stated that any open records requests would actually go to them since records are theirs and they may want to consult to make sure handling properly. Ms. Mendoza also felt that applying restrictions could be tricky and could see litigation being involved in some cases. Ms. Mendoza suggested that there may be a need to further review the series to adequately determine what restrictions, other than KORA, should apply.

**Motion:** Mr. Veatch moved to table series 0277-264. Mr. Michael seconded, unanimous decision to table series 0277-264, Exemption for Radioactive Material Transportation Files.

Discussion continued regarding the entries and Mr. Smith informed the board that the Bureau of Radiation is now under the Public Health Division, Bureau of Community Health.

**Motion:** Ms. Chinn moved to approve, Mr. Ackerman seconded, and unanimous approval of revised former Bureau of Radiation entries as amended with the exception of series entry 0277-264.

*KDHE – Environment Division – Bureau of Waste Management:* Ms. Mendoza requested clarification of the note in description for series 0597-264. Ms. Hammerschmidt explained it was added to further clarify what the record was describing. Ms. Mendoza suggested changing “note” to “Also Known As” and Mr. Veatch also suggested just changing the series title to, “Waste Collection Truck Tipping Fee Files”.

**Motion:** Mr. Veatch motioned to amend series title for 0597-264 to “Waste Collection Truck Tipping Fee File.” Mr. Ackerman seconded, unanimous approval of series 0597-264 as amended.

*KDHE – Environment Division – Bureau of Water:* The disposition of archives was justified by stating that these reports keep the entire life history of a plant and not just portions of it.

**Motion:** Mr. Veatch moved to approve revised entry as submitted. Mr. Michael seconded, unanimous approval.

Discussion moved to the electronic record keeping plan (ERP) for the Kansas Department of Health and Environments Health Trax System also known as Epi-Trax. Ms. Hammerschmidt began the discussion by stating the electronic record keeping plan (ERP) for the Health Trax System had been approved by the Electronic Records Committee. It was the pending approval of this ERP that had held up majority of these series entries. The board reviewed the ERP. Ms. Mendoza questioned the language on the disaster recovery section. Mr. Veatch and Ms. Hammerschmidt indicated that the agency is waiting for funding in order to perform the initial test backup. The board was also informed that although hasn’t been tested, it is currently being backed up to the Cloud. Mr. Ackerman asked why the use of older version. Mr. Veatch explained that database is dependent on scalability and migration ease and why older version used.

**Motion:** Mr. Veatch moved to approve the Health Trax System ERP. Mr. Ackerman seconded, unanimous approval of the Electronic Records Committee endorsed ERP as submitted.

*KDHE – Health Division – Bureau of Disease Control and Prevention:* The revised schedule entries were dependent on the approval of the Epi-Trax electronic recordkeeping plan. Board approved the ERP and reviewed the revised schedule entries.

**Motion:** Mr. Veatch moved approval as submitted, Mr. Ackerman seconded, unanimous approval.

*KDHE – Health Division – Bureau of Family Health:* Mr. Veatch noted that description should read, “Payment Vouchers, Reports, and other records documenting payment to local county health departments.”

**Motion:** Mr. Veatch moved approval of series 0761-264 as revised, Mr. Ackerman seconded, unanimous approval.

Ms. Chinn thanked the Kansas Department of Health and Environment for all their hard work on updating their retention and disposition schedule. Mr. Smith was pleased with the progress and looking forward to continuing working together on updating and revising the agency schedule.

*Kansas Insurance Department:* Although representatives from the Kansas Insurance were not present, the board proceeded to review the proposed electronic record keeping plan and revised record series schedule changes. Ms. Wiget informed the board that although not present, the electronic record keeping plan was endorsed by the Electronic Records Committee and that the Kansas Insurance Department agreed with the proposed schedule revisions. Mr. Ackerman asked about tape and disk backup procedures. Mr. Veatch indicated that although the ERC endorsed the plan, that particular aspect was discussed and once the agency determined which method to use, it would be brought before the ERC again. Ms. Mendoza and Mr. Veatch both noted that within the state and beyond, tape backup systems are not that uncommon. Mr. Veatch also clarified that as long as backups are generated and tested, the backup media isn’t an issue and these records are tested quarterly.

**Motion:** Mr. Veatch moved for approval, Mr. Ackerman seconded, unanimous approval of Electronic Recordkeeping Plan as submitted.

Discussion turned to revised schedule entries. Ms. Mendoza questioned series 0007-331 and what was meant by “acknowledgments”. Further discussion lead board to decide to table series 0007-331 until the description could be clarified further.

**Motion:** Mr. Veatch moved to table series 0007-331, Ms. Chinn seconded, unanimous decision to table series 0007-331 until description could be clarified.

**Motion:** Mr. Veatch moved to approve all other revised schedule entries as submitted. Ms. Chinn seconded, unanimous approval of all other revised schedule entries as submitted.

**Motion:** Ms. Chinn moved to supersede series 0004-331 into other agency-specific schedule entry. Mr. Veatch seconded, unanimous approval to supersede series 0004-331.

The board reviewed the housekeeping report and accepted as presented. Discussion then moved to the need to re-charter the Electronic Records Committee. Mr. Veatch summarized previous discussion with the State Records Board regarding the need to update the ERC charter as a clearly defined sub-committee of the State Records Board. Mr. Veatch felt that a broad representation of committee members, from multiple levels of agencies, including municipalities, would be preferred. Ms. Mendoza questioned how members would be added to the committee and suggested keeping it within five to seven members. Mr. Veatch explained that in the past, ERC membership was comprised of a “coalition of the willing,” and Ms.

Mendoza suggested continuing that practice. Ms. Chinn wished to clarify who the appointing authority would be. Ms. Mendoza felt comfortable delegating authority to Mr. Veatch and that a narrow footprint of established practice of membership is what should be done. Mr. Michael noted that the Department of Administration performs all legal work for OITS and could provide some contact information for potential representatives for the ERC membership. Ms. Chinn required clarification about the difference between the second and third bullet points regarding ERC responsibilities. After discussion, the board recommended revising the language to state "Reviews and acts upon Electronic Recordkeeping Plans for electronic records that have been designated by the State Records Board as requiring long-term (ten or more years) retention.

**Motion:** Ms. Chinn moved, Mr. Michael seconded to approve the proposed re-charter draft version 0.2.2 as amended.

Discussion moved to the Membership portion and Ms. Chinn expressed concerns about stating explicitly that the committee would meet quarterly. Ms. Hammerschmidt explained that the Electronic Records Committee meets a month prior to the State Records Board and Mr. Veatch noted that the Electronic Records Committee requested the quarterly language in order to set expectations and to help state agencies plan their own work when preparing electronic records keeping plans. Ms. Mendoza also noted that all meetings have to follow Kansas Open Meetings Act and Kansas Open Request Act. Ms. Mendoza noted that this is a broad outline for the committee's tasks and membership but will also give the chair flexibility to get organized. The board again approved the motion to re-charter.

**Motion:** Mr. Michael moved, Mr. Acker seconded for the State Records Board to delegate to the State Archivist, as chair of the Electronic Records Committee, authority to appoint membership to the Electronic Records Committee as he is able to find individuals willing and able to find perform the work required. Ms. Mendoza did note that although no need for board approval about who specifically will be member, would prefer to hear back about who will become members. Unanimous approval.

Ms. Mendoza inquired if there was any further business before adjourning. With nothing further to discuss, the board adjourned at 11:02 a.m. and next meeting will be January 21, 2016.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Office of the Securities Commissioner
2. **Records Officer:** Kathy Brock      **Phone:** 785-296-2124
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 2016
5. **a) Total records – No. of Series:** 3  
**b) New series – No. of Series:** 0  
**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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and program.

9. **Appraisal Narrative:**

During the October State Records Board meeting there was a discussion to approve certain restrictions added to the initial submissions. When the final list of restrictions was provided there were restrictions added not previously discussed. .

## Retention/Disposition Schedule Entries

**625-001**

### Office of the Securities Commissioner

#### **Compliance and Enforcement Case Files** (Series 0002-625)

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

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** See Comments

**Disposition:** See Comments

**Restrictions:** KSA 45-221(a)(10)(11)(14)(20)(25)(30) & KSA 17-12a607(b)

**Comments:** Retain in office 2 yrs after case is closed, transfer to offsite storage for 5 years, and then destroy unless agency in consultation with the State Archives staff determines case has historical significance; if so, then transfer to the State Archives.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-189

**Last Surveyed** 23 September 2015

**Record Copy:** Paper

**Remarks:** 09/28/2015: revised series title, description, and comments.

10/22/2015: board discussed adding restrictions to this entry for K.S.A. 45-221(a)(20)(25); agency will confirm whether or not these restrictions apply and can be added as a housekeeping revision if so, based upon what the board recommended.

01/21/2016 mcole: After review of minutes, board approved adding restriction a(20) and possibly adding a(25) as housekeeping revision

02/26/2016 Jhammerschmidt: Agency requested restrictions beyond those discussed on 10/22/2015.

3/25/2016 mcole: corrected restriction format for KSA 17-12a607(b).

#### **Legal Files - Administrative Subpoena** (Series 0006-625)

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

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** 008 fisc yrs

**Disposition:** Destroy

**Restrictions:** KSA 45-221-(a)(11) & KSA 17-12a607(b)

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-189

**Last Surveyed** 24 September 2015

**Record Copy:** Paper

**Remarks:** 09/28/2015: revised description, shortened retention from 11 years to 8 by removing 3 additional years at offsite storage.

10/22/2015: board recommended possibly adding K.S.A. 45-221(a)(11) to this entry; agency will confer and decide if it's needed. If so, this will be a housekeeping change.

1/21/16: Review of minutes indicated approval of adding restriction KSA45-221(a)(11)  
02/26/2016 jhammerschmidt: Agency added KSA 17-12(a)(607)(b) as a restriction. This was not previously discussed at SRB meeting.  
03/01/2106: Corrected KSA formatting

**Legal files - Administrative** (Series 0003-625)

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

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** See comments

**Disposition:** Archives

**Restrictions:** KSA 45-221(a)(14)(20)(25)(30) & KSA 17-12a607(b)

**Comments:** Retain 5 years after issuance of ruling or determination, then transfer to the State Archives.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-189

**Last Surveyed** 24 September 2015

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Pending**

**Remarks:** 09/28/2015: revised series title and description; combined 0005-625 Legal files - Administrative into this series as records are very similar and have same retention.

10/22/2015: board recommended possibly adding K.S.A. 45-221(a)(14)(20) to restrictions if agency decides they need it; will be a housekeeping revision if so.

01/21/2016 mcole: added restrictions

02/26/2016 jhammerschmidt: Agency added restrictions not previously discussed.

03/01/2106: Corrected KSA formatting

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Department of Education – Learning and Innovative Services
2. **Records Officer:** Cheryl Austin      **Phone:** 785-296-3204
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 1
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and program.

9. **Appraisal Narrative:**

Series 0190-652: Agency incorporated language from a proposed new schedule entry (Migrant Education Certificates of Eligibility) into existing record series 0190-652 since records were incredibly similar. Agency also corrected the exceptions to disclosure to remove FERPA and changed KORA exception to KSA45-221(a)(30). These certifications that are referenced are not school records until after they go from KSDE to the individual schools, so the copies that are stored on behalf of KSDE are not technically academic records.

## Retention/Disposition Schedule Entries

**652-001**

**Kansas State Department of Education  
Learning and Innovative Services  
State and Federal Programs Section  
Federal Grant Projects**

**Migrant Certificate of Eligibility** (Series 0190-652)

Records regarding individual students' eligibility forms and supporting documentation completed for application to the Migrant Education Program and other federal compensatory educational funding granted to children of migrant workers.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** 010 School yrs

**Disposition:** Destroy

**Restrictions:** K.S.A. 45-221(a)(30)

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-079

**Record Copy:** Paper

**Remarks:** Agency incorporated language from a proposed new schedule entry (Migrant Education Certificates of Eligibility) into existing record series 0190-652 since records were incredibly similar. Agency also corrected the exceptions to disclosure to remove FERPA and changed KORA exception to KSA45-221(a)(30). These certifications that are referenced are not school records until after they go from KSDE to the individual schools, so the copies that are stored on behalf of KSDE are not technically academic records

03/25/2016: Corrected capitalization error.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Department of Education – Fiscal and Administrative Services
2. **Records Officer:** Cheryl Austin      **Phone:** 785-296-3204
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 1
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and program.

9. **Appraisal Narrative:**

Per conversation with the agency records officer the total retention periods has been extended and clarification was received that official record copy is paper.

## **Retention/Disposition Schedule Entries**

**652-002**

**Kansas State Department of Education  
Fiscal and Administrative Services  
Certification Unit**

**Certification Files** (Series 0045-652)

Documents related to certification and recertification of teachers and school administrators by the Kansas State Board of Education.

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** See Comments

**Disposition:** Archives

**Restrictions:** K.S.A. 45-221(a)(1)(9)

**Comments:** Retain entire file in office 60 days, then destroy all documents except the application. Transfer the application to storage for 12 years, then transfer the application to the archives.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-108

**Last Surveyed** 02 February 1996

**Record Copy:** Paper

**Remarks:** 3/1/2016: Per Kelly Broers (RO), retention period be extended. Also notified record copy is paper.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Department of Education – Financial Services and Quality Control
2. **Records Officer:** Cheryl Austin      **Phone:** 785-296-3204
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 1
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and program.

9. **Appraisal Narrative:**

Per conversation with the agency records officer the disposition had been clarified and it was determined that the official record copy is paper.

## **Retention/Disposition Schedule Entries**

**652-102**

### **Kansas State Department of Education Financial Services & Quality Control**

**Compliance Files** (Series 0054-652)

Monitoring reports, local comprehensive plans, etc. relating to compliance with federal and state regulations regarding special education offered by school districts and special purpose schools.

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** 005 cldr yrs

**Disposition:** See comments

**Restrictions:** None

**Comments:** Contact the State Archives for appraisal - if not accepted, then destroy. Records have been anonymized of individual student personal information.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-111

**Last Surveyed** 05 March 2015

**Record Copy:** Paper

**Remarks:** 03/05/2015: revised disposition comments; is record copy format paper or electronic?

03/25/2016: Per email communication rec'd from agency in 02/2016 record copy is paper.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Department of Health and Environment  
Environment Division – Bureau of Water
2. **Records Officer:** Michael Smith      **Phone:** 785-296-1333
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 2016
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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and program staff combined with appraisal of records..

9. **Appraisal Narrative:**

This is a new series created to address a collection of records that had not been previously scheduled. These are the foundational and backup documentation that are acted upon by the Legal Services division and are not integrated into the agreement/order files.

## **Retention/Disposition Schedule Entries**

**264-002**

**Department of Health and Environment  
Environment Division  
Bureau of Water**

**Enforcement Action Files** (Series Unknown)

Documentation and correspondence leading to a Consent Agreement or Administrative Order to a Municipal, Commercial, Industrial, Pretreatment, Storm-Water, or Livestock Wastewater Treatment Facility

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** 010 years following closure of action

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Back up documents and correspondence for a wastewater enforcement action. Original Agreement/Order is held in Legal Services.

**Schedule Authority:** Agency schedule

**Record Copy:** Paper

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Department of Health and Environment  
Health Division – Health Facility Regulation Bureau
2. **Records Officer:** Michael Smith      **Phone:** 785-296-1333
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 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  
**e) Series superseded by other schedule entries –No. of Series:** 0  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and program staff combined with appraisal of records..

9. **Appraisal Narrative:**

During conversations in 2015 it was communicated that the overarching program had been transferred from KDHE to KDADS. Written confirmation was obtained from both KDHE (M.Smith) and KDADS (G.VanHoozer) regarding the transfer. In order to maintain an audit trail and provide the new agency with a cohesive schedule the KDHE entry 0806-264 is being made obsolete and replaced by a new entry created under KDADS. The revised series is a modification to the current list of restrictions based upon conversations with the agency records officer.



## **Retention/Disposition Schedule Entries**

**264-003**

**Department of Health and Environment  
Health Division  
Bureau of Community Health Systems**

**Exemption for Radioactive Material Transportation Files (Series 0277-264)**

Exemptions to Kansas Department of Transportation requirements issued to allow the shipment of radioactive materials through Kansas. Notification of these exemptions is provided to the Adjutant General- Division of Emergency Management.

**Entry Status:** Ready for SRB

**Recommended Status:**Revise

**Retention Period:** 003 cldr years

**Disposition:** Destroy

**Restrictions:** KSA 45-221(a)(1)(12)

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-084

**Last Surveyed** 17 May 1989

**Record Copy:** Paper

**Remarks:** 2015/06/12: Revised Agency, and retention from See Comments. Follow-up with agency to determine if supersede to 0274-264 is appropriate.

2015/09/24: Per KDHE staff clarified title and description to accurately reflect records content. Modified retention/disposition in accordance with agency practices.

2015/10/22: SRB requested restrictions be reviewed and updated.

## Retention/Disposition Schedule Entries

**264-003**

**Department of Health and Environment  
Health Division**

**Health Facility Regulation Bureau  
Health Occupations Credentialing**

**Nursing Facility Abuse Files (Series 0806-264)**

Complaint, correspondence, hearing documents, etc. relating to investigations of abuse of residents by long term care nursing facilities employees.

**Entry Status:** Ready for SRB

**Recommended Status:** Obsolete

**Retention Period:** 040 cldr yrs

**Disposition:** Destroy

**Restrictions:** KSA 45-221(a)(3)

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-126

**Record Copy:** Unknown

**Remarks:** 2015/06/12: Per Agency staff moved from 264-004 (agency), removed comment specifying storage location.

06/03/2013 mwiget:

3/10/2016 mcole: Per Michael Smith and George VanHoozer, confirmed the transfer program and of series from KDHE to KDADS. In order to not confuse agencies when searching by series ID only, KDHE series 0806-264 was made obsolete and new series ID created under KDADS.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Department for Aging and Disability Service
2. **Records Officer:** George VanHoozer **Phone:** 785-368-7327
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 2016
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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with originating agency records officer and destination agency records officer and program staff.

9. **Appraisal Narrative:**

During conversations in 2015 it was communicated that the overarching program had been transferred from KDHE to KDADS. Written confirmation was obtained from both KDHE (M.Smith) and KDADS (G.VanHoozer) regarding the transfer. In order to maintain an audit trail and provide the new agency with a cohesive schedule the KDHE entry 0806-264 has been made obsolete and this new entry created under KDADS.

## **Retention/Disposition Schedule Entries**

**039-012**

### **Department for Aging and Disability Services Health Occupations Credentialing**

**Nursing Facility Abuse Files (Series Unknown)**

Complaint, correspondence, hearing documents, etc. relating to investigations of abuse of residents by long term care nursing facilities employees.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**Retention Period:** 040 cldr yrs

**Disposition:** Destroy

**Restrictions:** KSA 45-221(a)(3)

**Schedule Authority:** Agency Schedule

**Record Copy:** Unknown

**Remarks:** 3/17/2016 mcole: Per Agency staff, program generating this series moved from KDHE (264-004) to KDADS (039-012). Michael Smith and George VanHoozer, confirmed the transfer of program and of series from KDHE to KDADS. In order to not confuse agencies when searching by series ID only, KDHE series 0806-264 was made obsolete and new series ID created under KDADS.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** State Corporation Commission
2. **Records Officer:** Dawn Dubach      **Phone:** 785-271-3113
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and and program staff.

9. **Appraisal Narrative:**

Agency requested this schedule entry be tabled during the October 22, 2015 State Records Board meeting to confer internally regarding the retention period. Agency records staff has provided confirmation that they intend to keep these records for 9 years to comply with federal requirements and internal use.

## **Retention/Disposition Schedule Entries**

**143-040**

**State Corporation Commission  
Transportation Division  
Safety and Compliance Section**

**Motor Carrier Vehicle Inspections and Compliance Reviews** (Series 0234-143)

Reports related to vehicle inspections and motor carrier audits under a joint program with the Kansas Highway Patrol and the Federal Bureau of Motor Carrier Safety.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** 009 cldr yrs

**Disposition:** Destroy

**Restrictions:** None

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-150

**Last Surveyed** 20 December 2006

**Record Copy:** Electronic

**Electronic Recordkeeping Plan Endorsed**

**Remarks:** 09/16/2015: revised series title, retention and disposition, and noted electronic recordkeeping format. Records will be retained in KTRAN system.

10/22/2015: tabled at SRB meeting due to ongoing discussions regarding how long these records actually need to be maintained by the agency.

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 07, 2016**

1. **Agency:** Department of Credit Unions
2. **Records Officer:** Emily Artzer **Phone:** 785-296-3021
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Matthew Veatch
4. **Date of Appraisal:** February 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  
**f) Series superseded by general schedule entries – No. of Series:** 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records officer and program staff.

9. **Appraisal Narrative:**

Agency requested a longer retention period to allow for secondary use and a shift if disposition from Archives to Destroy after discussions with KSHS staff regarding their long term value.

## **Retention/Disposition Schedule Entries**

**159-001**

### **Department of Credit Unions**

**Complaint Files** (Series 0007-159)

Investigations conducted by the department into complaints by credit union consumers.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** 005 cldr yrs

**Disposition:** Destroy

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

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-115

**Last Surveyed** 08 October 2015

**Record Copy:** Unknown

**Remarks:** 10/15/2015: lengthen retention, revise disposition from archives to destroy.

# Housekeeping Changes Since 25 October 2015 01 April 2016

## Housekeeping Edit

331-000

Insurance Department

All Divisions

Approved Applications for Certificate of Authority and Certificates of Authority  
(Series 0003-331)

Description: Application, license, correspondence, and other documents relating to an insurance company's application to conduct business in Kansas that has been approved by the Kansas Insurance Department.

Change: tabled at RB until description could be clarified-- mcole, 21 January 2016

Approved Applications for Certificate of Authority and Certificates of Authority  
(Series 0003-331)

Description: Application, license, correspondence, and other documents relating to an insurance company's application to conduct business in Kansas that has been approved by the Kansas Insurance Department.

625-001

Office of the Securities Commissioner

Broker-dealer and Investment Adviser Files (Series 0001-625)

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

Broker-dealer and Investment Adviser Files (Series 0001-625)

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

Change: inclusion of restrictions discussed during 10/22/2015 SRB-- jhammersch, 26 February 2016

Exemption Notice Filing Records (Series 0013-625)

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

652-001

Kansas State Department of Education  
Learning and Innovative Services  
Teacher Education and Licensure

Teacher Education, Certification, and Licensure Regulations and Standards  
Handbook (Series 0200-652)

Description: Handbooks containing current regulations and standards regarding teacher education, certification, and licensure.

Change: Series was accidentally placed into draft during routine reviews and sub-agency shift-- jhammersch, 01 April 2016

Obsolete

143-040

State Corporation Commission  
Transportation Division  
Safety and Compliance Section

Tariff Files (Series 0242-143)

Description: Rate schedules submitted by carriers, informal applications and other documents submitted to the Kansas Corporation Commission by household goods and passenger motor carriers authorized to operate in Kansas.

Change: Duplicate Entry -- jhammersch, 22 January 2016

## Superseded series

288-002

Kansas State Historical Society  
Library and Archives Division

State Records Board Meeting Files (Series 0103-288)

Description: Documents related to each quarterly meeting of the State Records Board including agenda, correspondence, appraisal reports, minutes, approved retention and disposition schedules, etc.

Change: Superseded to 0015-000 Board Packets-- jhammersch, 17 March 2016