

Kansas State Historical Society

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Background

Newspaper editors and publishers founded The Kansas State Historical Society in 1875 to record and preserve the heroic struggle of the founding of Kansas.

Its mission has continued and expanded from then to today.

The mission of the KSHS is to identify, collect, preserve, interpret, and disseminate materials and information pertaining to Kansas history in order to assist the public in understanding, appreciating, and caring for the heritage of Kansas.

We certainly can accomplish this through records management.

Why are we here?



BASIC RECORDS MANAGEMENT

*Or how did I get in this boat and
what do I do now?*

Purpose:

To provide the knowledge and skills training that will enable participants to effectively manage and preserve records and provide recordkeeping education to ensure compliance with state and/or federal regulations.

RECORDS MANAGEMENT

The ability to access information, regardless of the format, when and where it is needed at the lowest possible cost throughout the life cycle.

What's In It For Me?



- ▶ *Ensure compliance with records laws*
- ▶ *Improved public service*
- ▶ *Vital records protection*
- ▶ *Improve security of confidential information*
- ▶ *More accountability*
- ▶ *Reduce Amount of Storage Space*
- ▶ *Records Management by default*

Increasing Risk of Litigation

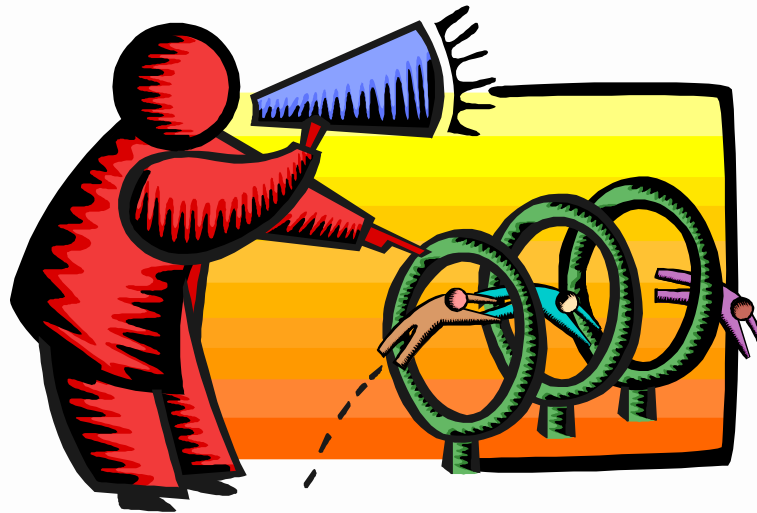
▲ *The United States is the most litigious society in the world. We just love to sue each other.*

“Keeping some records but not others beyond their scheduled retention can increase exposure to negative inference in audit or litigation”(TN).

<http://www.theimpros.com/im/wisdom.html>

Why Is Records Management Given a Low Priority?

- ▶ *It's always been that way!*
- ▶ *We resist change*
- ▶ *Laziness*
- ▶ *Apathy*



Causes of Poor Records Management

- *Inadequate management attention*
- *Poor organization of files*
- *Poor labeling and indexing*
- *Uncontrolled growth of records*
- *Frequent missing and lost records*
- *Poorly trained personnel*
- *No formal written procedures*

Common Records Management Mistakes

- ✦ *Maintaining too many records*
- ✦ *Retaining them too long*
- ✦ *Keeping them in inappropriate locations*
- ✦ *Not knowing what you have or where it is*

The Life Cycle Concept of Records

<p>Creation</p> <p><i>Receiving or generating information for the first time</i></p>	<p>Active/Current</p> <p><i>Using or referring to it regularly in the course of business</i></p>
<p>Inactive/Noncurrent</p> <p><i>Infrequent need, but kept for fiscal, administrative, legal, or historical purposes</i></p>	<p>Disposition</p> <p><i>The final fate of a record: how long will it be kept, by whom, and under what conditions</i></p>

Creation

Every office has records that it creates in order to operate.

Retention and Disposition Schedule:

A timetable that identifies a record grouped into series, listing its description, appropriate length of time to be retained, its disposition, and even authority or restrictions throughout its life cycle.

Municipal Records Schedules

There are only two statutes that govern KS Municipal record keeping that we will discuss.

*It is recommended that municipalities follow these, and use county schedules and other established city schedules, like Topeka's at:
http://www.topeka.org/departmt/city_clerk_records_management.htm*

KANSAS RECORDS STATUTES

Government Records Preservation Act

(K.S.A. 45-401 through 45-413)

Public Records Act

(K.S.A. 75-3501 through 75-3518)

Kansas Open Records Act

(K.S.A. 45-215 through 45-229)

Municipality Retention Periods

(K.S.A. 12-120 through 12-121)

KSA 12-120

*The only “hard” authority for
municipal records retention in Kansas.*

*It lists only 11 record series retention
periods* 

KSA 12-120

- ▶ *Claims and purchase orders attached thereto, five years*
- ▶ *Warrants or warrant checks, paid, five years*
- ▶ *Duplicates of receipts, three years*
- ▶ *Duplicates of utility bills sent to customers, three years*
- ▶ *Accounting records of utility customers, three years*
- ▶ *Duplicates of licenses issued for license fees or taxes, three years*
- ▶ *Bonds of officers or employees, 10 years*
- ▶ *Insurance policies, five years, the period beginning at expiration of the policy unless a claim is pending*
- ▶ *Cancelled checks, five years*
- ▶ *Requisition and duplicate purchase orders, three years*
- ▶ *Bonds and coupons, if any, stamped paid or cancelled and returned by the fiscal agent, five years, the period beginning at the date of maturity of the bond or coupon*

KSA 12-121

Nothing in KSA 12-121 shall be deemed to apply to records, documents or papers not specifically mentioned nor to authorize the destruction of records, documents or papers which in their nature should be preserved permanently, nor to prohibit destruction of records, documents or papers obviously of only temporary value after a reasonable time.

What about? . . .

- ★ *City Council meetings minutes, audio tapes, video tapes? Recommended KEEP Transcriptions of tapes are fine.*
- ★ *Misc. vital records? Recommended KEEP*
- ★ *What about duplicates? Examine, decide, then dispose lesser quality duplicate unless it still provides usefulness*

Benefits of a Retention/Disposition Schedule

- ▶ *Ensure compliance with records laws*
- ▶ *Identify and protect vital records*
- ▶ *Provide security for confidential records*
- ▶ *Transfer inactive records from prime office space*
- ▶ *Destroy records that have met their legal requirements*
- ▶ *Transfer archival records*
- ▶ *Minimize filing equipment and space*

Municipal Schedule—Using County Schedules as a Guideline

- ▶ *Approved record series common to most county agencies*
- ▶ *Establishes the minimum retention*
- ▶ *Generally reflects audit requirements*
- ▶ *Apply access restrictions with caution*
- ▶ *Be aware there may be other state or federal retention requirements*

<http://www.kshs.org/archives/schedloc.htm>

Surveying Steps

- ▶ *Obtain management support*
- ▶ *Select and train personnel*
- ▶ *Examine records*
- ▶ *Complete survey form for each records series*
- ▶ *Interview records custodians*
- ▶ *Review state statutes/regulations and federal regulations*

Records Schedule Survey Sample

Acrobat Reader - [locrecsurvform2002.PDF]

File Edit Document View Window Help

LOCAL RECORDS SURVEY/INVENTORY FORM
Kansas State Historical Society - Library/Archives Division

1. COUNTY		2. OFFICE	
3. OTHER ORGANIZATIONAL UNIT (section, bureau)		4. LOCATION OF RECORDS	
5. PERSON RESPONSIBLE FOR MAINTAINING RECORDS		6. TELEPHONE	
7. RECORDS SERIES TITLE			
8. RECORDS SERIES DESCRIPTION (Nature and purpose, types of information or documents. Continue on reverse if necessary.)			
9. INCLUSIVE DATES FROM _____ THRU _____		10. RECORD FORMAT <input type="checkbox"/> PAPER (specify type/size) _____ <input type="checkbox"/> MICROFORM (specify) _____ <input type="checkbox"/> ELECTRONIC (specify) _____	
11. ARRANGEMENT <input type="checkbox"/> CHRONO <input type="checkbox"/> ALPHA <input type="checkbox"/> NUMERICAL BY _____ OTHER (specify) _____		12. TOTAL VOLUME (in cubic feet) _____ NOTES:	
13. ANNUAL ACCUMULATION SERIES STILL CREATED? <input type="checkbox"/> Yes <input type="checkbox"/> No ANNUAL ACCUMULATION (in cubic feet)		14. ESTIMATED ACTIVITY PER FILE DRAWER For How Long? HIGH (Daily) _____ MEDIUM (Weekly to Monthly) _____	

100% 1 of 1 8.5 x 11 in

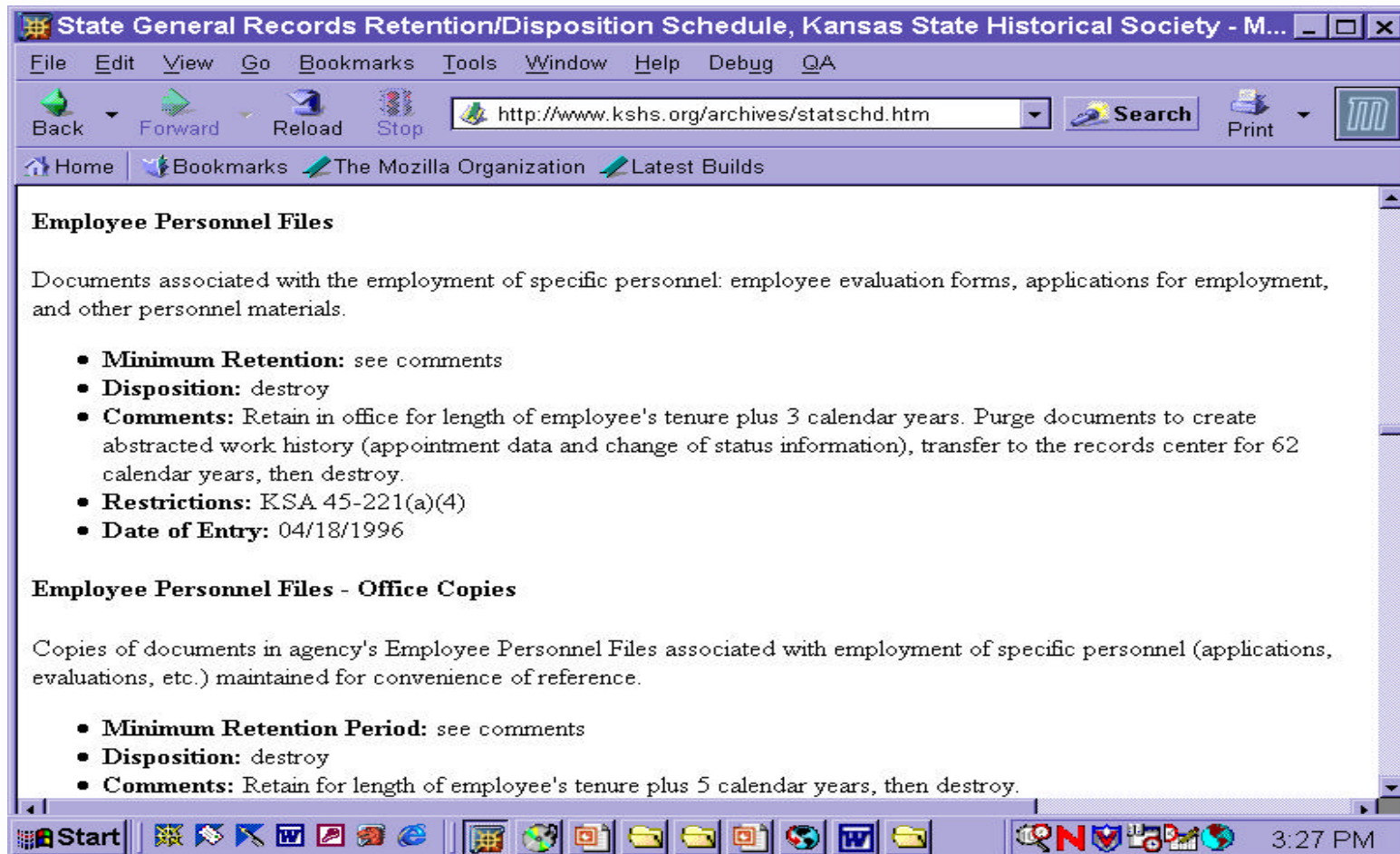
Steps to Developing a Records Retention Schedule

- ★ *Contact the KSHS government records management section or other municipalities for guidance*
- ★ *Inventory all records*
- ★ *Interview the records custodians*
- ★ *Conduct legal research*
- ★ *Appraise the records*

Vital Records Identification

- ▶ *Identify and select for protection records vital to the continuation of business*
- ▶ *Vital records can be accessed or reconstructed quickly to resume operations*
- ▶ *Part of agency disaster prevention plan*

Sample Retention Schedule Entry



The screenshot shows a Mozilla browser window with the title "State General Records Retention/Disposition Schedule, Kansas State Historical Society - M...". The address bar contains the URL "http://www.kshs.org/archives/statschd.htm". The browser interface includes a menu bar (File, Edit, View, Go, Bookmarks, Tools, Window, Help, Debug, QA), navigation buttons (Back, Forward, Reload, Stop), and a search button. The main content area displays the following information:

Employee Personnel Files

Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, and other personnel materials.

- **Minimum Retention:** see comments
- **Disposition:** destroy
- **Comments:** Retain in office for length of employee's tenure plus 3 calendar years. Purge documents to create abstracted work history (appointment data and change of status information), transfer to the records center for 62 calendar years, then destroy.
- **Restrictions:** KSA 45-221(a)(4)
- **Date of Entry:** 04/18/1996

Employee Personnel Files - Office Copies

Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, etc.) maintained for convenience of reference.

- **Minimum Retention Period:** see comments
- **Disposition:** destroy
- **Comments:** Retain for length of employee's tenure plus 5 calendar years, then destroy.

The Windows taskbar at the bottom shows the Start button, several application icons, and the system tray with the time 3:27 PM.

Creation of New Records Series

- ★ *Constant training of agency personnel*
- ★ *Reminders – calendar and fiscal years*
- ★ *Reevaluation*

How to implement a schedule

- ★ *Get Upper management support*
- ★ *Train agency personnel*
- ★ *Annual purge*
- ★ *Establish a filing system*

Active Utilization

- ★ *Keep active records accessible in the office or in a file room.*
- ★ *Proper filing and databasing in many fields, including the creation and printing or online accessibility of finding aids*
- ★ *You, as the city clerk, may be in charge of knowing the record series of each dept.*

Provide Security for Restricted Records Regardless of Format

Have a series of safeguards:

- ▶ *Know your staff, possible background checks*
- ▶ *Appropriate forms for releasing info*
- ▶ *Mark restricted records, including law/legislation to refer to*
- ▶ *Electronic records should be in read-only format for viewers/preserve digital signature*
- ▶ *Educate staff on restrictions*

Agency Disaster Recovery Plan

Your city must possess an awareness of potential disasters, prevention of these situations and proper response methods in cases of a major disaster or catastrophe.

See a model plan for a records center and other useful info at:

<http://www.kshs.org/archives/kdran.htm>

Inactive Utilization

Inactive records are records that may still have use, but are not in use. These may be housed offsite at a lower cost, and free up valuable office space.

“In FY 1998, one cubic foot of records could be stored in a federal records center for \$1.59 annually while that same cubic foot cost \$23.10 to maintain in typical office space and equipment” (U.S. National Archives and Records Administration).

<http://www.theimpros.com/im/wisdom.html>

Disposition of Records

- ▶ *Stored on site*
- ▶ *Professional records centers*
- ▶ *Libraries/Historical Societies*
- ▶ *State Archives*
- ▶ *Appropriate destruction by recycling, throwing, burning, shredding*

Offsite Disposition

Going offsite? Remember:

- ▶ *Retention period (short, long, permanent)*
- ▶ *Climate conditions (if you're uncomfortable there, so are your records—fluctuations in temperature and humidity damage records)*
- ▶ *Fire/disaster suppression*
- ▶ *Security/bonded/insured*
- ▶ *Integrity of company/staff*
- ▶ *Cost*

Long, Short, Permanent

Short=under 10 years

Long=over 10 years

Permanent=never dispose of

Extremely Long/Permanent Records should be in a climate controlled environment, usually offsite. For security and accessibility, the best practice is to keep important originals offsite, and have a microfilm, photo or digital copy onsite for use.

Storage Standards

- ▶ *The current standard for paper documents is 68 degrees and below 50% humidity.*
- ▶ *The current standard for non-color photos is 68 degrees F and 35% humidity; color photos is 40 degrees or below.*
- ▶ *The current ANSI standard for maintaining unused data-bearing digital media is 40 degrees F and 20% RH (ANSI).*

Digital Imaging Considerations

- ▲ *KSA 75-3501 through 75-3518 allows optical disks as per SRB standards*
- ▲ *Check guidelines on our web site at:
<http://www.kshs.org/archives/digimag.htm> or
at:
http://da.state.ks.us/itab/itab_workflow_report.htm*
- ▲ *Indexing control is vital*
- ▲ *Compatibility issues with current technology*
- ▲ *Quality control*
- ▲ *Security*



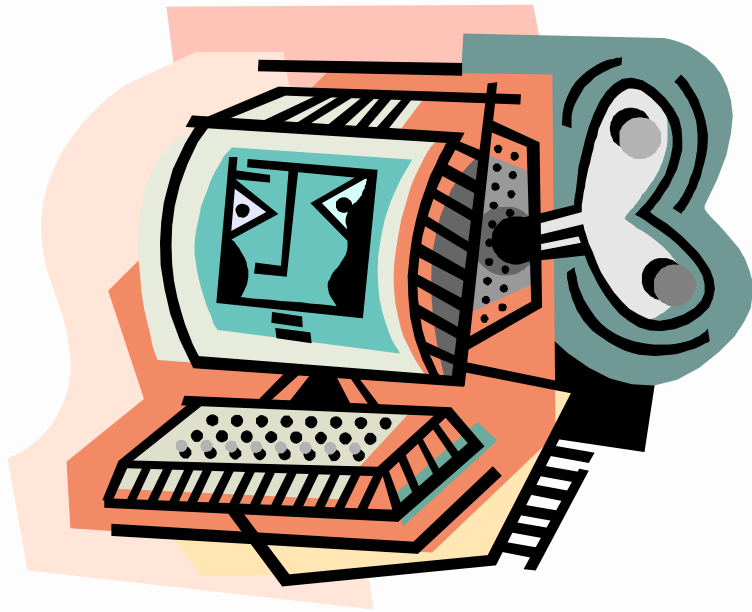
Advantages of Digital Imaging

- ★ *Quick records retrieval*
- ★ *Eliminates misfiles*
- ★ *Retrieves information by multiple users*
- ★ *Storage in a single system*
- ★ *Increases storage capacity and space savings*
- ★ *Consider KPERS project as example*

Disadvantages of Digital Imaging

- ▶ *Cost – both initial and upgrades*
- ▶ *Lack of standardization*
- ▶ *Rapid changes in technology*
- ▶ *Software upgrades*
- ▶ *Technological obsolescence*
- ▶ *Continual staff training*

Key Elements in Automating



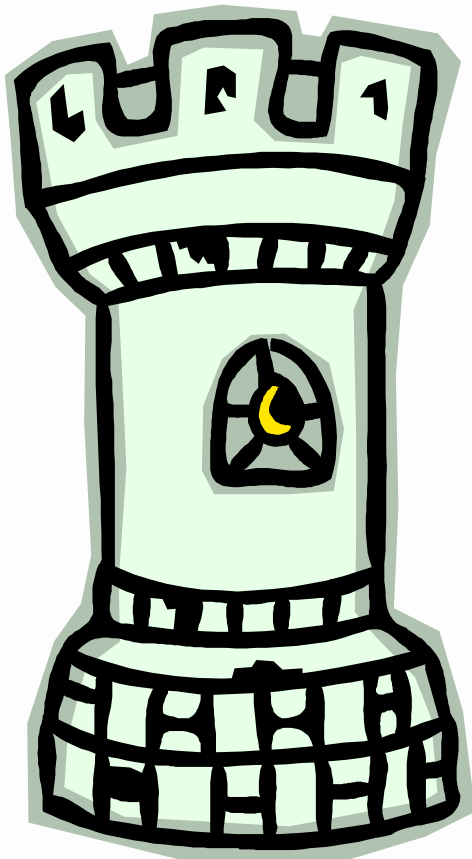
- ▶ *Determine the goals that you are trying to accomplish*
- ▶ *Legal considerations*
- ▶ *Scheduling records*
- ▶ *Life of the media*
- ▶ *Hardware obsolescence*
- ▶ *Access and Privacy*

System Safeguards

- ▲ *Maintain logs*
- ▲ *Use passwords*
- ▲ *Store data in read-only files*
- ▲ *Use a terminal based identification system*
- ▲ *Install automatic dating*
- ▲ *Restrict access to disk storage files*
- ▲ *Create an audit trail*
- ▲ *Metadata standards*



Other System Safeguards



- ▶ *Implement controls to eliminate data entry errors*
- ▶ *Guard against viruses*
- ▶ *Protect against man-made disasters*
- ▶ *Establish a disaster recovery plan*
- ▶ *Back up data*
- ▶ *Store backups off-site*

Summary of Technology

- ▶ *A major undertaking*
- ▶ *Changes workflow*
- ▶ *Quicker access to information*
- ▶ *Increased staff efficiency*



Electronic Record Keeping

Legal Issues

- ▶ *Evidence must be accurate, reliable and trustworthy*
- ▶ *Business Records*
Exception: Records created and relied upon during the normal course of business possess a circumstantial probability of trustworthiness
- ▶ *Time has been reduced to produce records during discovery*
- ▶ *Requires voluntary disclosure of documents, including electronic records*
- ▶ *A record may exist in two formats—a court wants the best copy*

Houston – We have a Problem

- ▶ *The Texas Democratic Party requested copies of every e-mail created at the Texas Comptroller's Office since Jan 1999. No problem- but it will cost \$5.7 million and take 170 years*



Summary

Take pride in your role as records managers. By following best practices, you make today's operations accessible for tomorrow.

Questions? Comments?