

*State Records Board
11 October 2012
Kansas State Historical Society
Center for Historical Research
Executive Conference Room*

Present:

Lisa Mendoza, Chair, designee of the Attorney General
Matt Veatch, State Archivist
Dennis Taylor, Secretary of the Department of Administration
Pat Michaelis, designee of the Executive Director, Kansas State Historical Society

Not present:

Bill Sowers, designee of the State Librarian

Also present:

Darrell Garwood, State Records Manager
Marcella Wiget, Kansas State Historical Society
Lu Harris, KSHS
Marty Gengenbach, KSHS
Susan Somers, Kansas Board of Accountancy
Amber Korbe, Kansas Lottery
Carol Sprague, Kansas Lottery

Meeting begun by Ms. Mendoza at 8:30 a.m.

1. Introductions were made.
2. *Minutes:* Minor changes were made to the previous meeting's minutes. Secretary Taylor questioned why Kansas Department of Transportation was not present at this meeting, after noting they were supposed to bring a change to a retention schedule; Susan Maxon is no longer with KDOT and the agency is in flux over its records officer.
Motion to approve: Mr. Veatch moved approval, Ms. Michaelis seconded, unanimous approval of minutes as amended.
3. *Kansas Board of Accountancy:* Agency staff are cleaning offices; they realized that in 2009 a program was eliminated by statute, but these records were never scheduled. They have 9 boxes of these obsolete records and would prefer to destroy them rather than let them take up space. The records were generated for a more streamlined procedure for allowing out-of-state licensed certified public accountants (CPAs) to come to Kansas; in 2009 the law was again changed, and any CPAs coming into Kansas now will have to go through the complete licensing procedure. This license had a two-year limit, so all these licenses are now expired.
Motion to approve: Mr. Veatch moved approval, Secretary Taylor seconded, unanimous approval of obsolete series as submitted.

Ms. Michaelis announced that October is Archives Month and passed out bookmarks for the occasion, as well as copies of the publication *Rescuing Family Records*.

4. *Kansas Lottery*: The new records series submitted today were initially drafted in early 2011. Scott Leonard was working on these schedules with previous Lottery records officer, Carolyn Brock, but both left around the same time, and these retention schedules were dropped. Carol Sprague, the new head of casinos for Lottery, explained that some of these casinos have been operating for over a year and the agency needs guidance in records management. Mr. Veatch questioned whether any of these records need to be kept permanently, as this is a significant program for the state. Ms. Sprague explained that Lottery staff at individual casinos plan to keep their records permanently. Individual casinos are run privately but overseen by the state; Lottery analysts and Racing/Gaming Commission employees work at the casinos. Amber Korbe explained that they are one of the few agencies that go through an external audit process annually, and those records will be kept permanently. These audits include roll-up information with financial statements; Ms. Korbe thought the Legislative Post-Audit put those reports on their website, and Lottery receives the external audit reports in paper form. Mr. Veatch requested that copies of the audit reports be sent to the State Archives, under the general retention schedule for Audit Reports. The daily and weekly reports have a shorter retention because that information is rolled up into the monthly reports. The board made minor changes to the Casino-Receipts retention schedule.

Motion to approve: Ms. Michaelis moved approval as amended, Mr. Veatch seconded, unanimous approval as amended in the Casino-Receipts Log and as approved for all other new entries.

5. *Corrections-All Facilities*: Ms. Wiget explained that this is the next round in revising the correctional facilities' retention schedules, noting that records management staff held a conference call with as many facilities' records officers as could attend. She explained that the new series are an attempt to create "bucket series" for categories of records that are currently scheduled at a more granular, and perhaps more confusing, level.

Motion to approve new series: Minor discussion about restrictions listed in new series. Matt moved approval, Pat seconded, unanimous approval of new series as submitted.

The board discussed program records, series ID 0204-521; they would like more information about what programs are entailed in this records series. Is there any way to categorize these programs—social and rehabilitative, or those necessitated by the inmate's sentencing? Lisa had questions about inmate-specific records appearing in this series rather than the generalized program records that belong there. The board would also like to change the disposition language in this series to "Contact State Archives for appraisal, if not accepted, then destroy."

The board also discussed Canine Operations records, series ID 0402-521; Mr. Veatch questioned whether contacting the State Archives for appraisal was even necessary. The board agreed to change the disposition to Destroy.

Motion to approve revised series: Mr. Veatch moved approval of revised series, amending Canine Operations to Destroy for disposition and noting that an Electronic Recordkeeping Plan (ERP) is not required for Chaplain's records. Ms. Michaelis seconded, unanimous approval as amended.

Tabled revised series: Tabled Program records pending further elucidation of nature of programs.

Motion to approve Obsolete series: Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of obsolete records series.

The retention schedules for records series noted as "Superseded by general and/or agency-specific schedules" are mostly either being superseded into new bucket series or, when one

reads a description, can find the records listed elsewhere in general retention schedules or other agency-specific schedules. Ms. Wiget explained that if any piece of a description was *not* found elsewhere, that series should not be part of the agenda for this meeting's discussions but will be dealt with at a later time.

Motion to approve agency-specific/general retention schedule records series: Mr. Veatch moved approval, Secretary Taylor seconded, unanimous approval as submitted.

Motion to approve superseded series by general schedule: Mr. Veatch moved approval, Ms. Michaelis seconded, unanimous approval as submitted.

Ms. Michaelis commended the Records Management staff for their efforts working through these records series.

6. *Other business:*

- a. Electronic Records Committee (ERC): Mr. Gengenbach explained that the ERC had not met before September since early 2011. At the September meeting, the committee endorsed two ERPs for the Kansas Bureau of Investigation (KBI)/Kansas Criminal Justice Information System (KCJIS). Since that meeting, Mr. Gengenbach has been in conversation with Steve Montgomery from the KBI to revise the Electronic Recordkeeping Plans (ERPs), focusing on the "indefinitely" disposition language found in both the plans and ensuring firmer retention information. The committee and Mr. Gengenbach have also been in discussion about adding new members to the ERC; a large portion of the September meeting was devoted to that topic, as well as deciding what the ERC should focus on next. The ERC expects a great deal more ERPs and electronic records series now as State Archives staff tackle these records more specifically.

Mr. Veatch went into more detail about the two ERPs presented at the ERC meeting in September, noting that one of the ERPs is for records that have not yet been scheduled. He requested advice from the Board for the ERP for 0027-083. No actual information has changed in this retention and disposition schedule, and so the procedure remains unclear—would the Board be interested in re-approving this schedule? Do they want to see the ERP for this retention schedule? Mr. Veatch noted that the timing has changed in part because of the State Archivist's new role in involving himself in some electronic records at a very early stage. Ms. Mendoza questioned the State Records Board's (SRB's) role in the charter of the ERC. The ERC has no statutory authority and has to rely on the SRB's authority. Ms. Mendoza agreed that bringing the ERP back to the SRB makes sense, in order to keep the chain of command in order. Discussion then followed over whether ERPs should be included in SRB board packets – this is a security question, as these plans can include information about operating systems and applications used by the state. The board could go into executive session, only receiving the ERPs at that time. Discussion also concerned whether the ERC falls under the Kansas Open Meetings Act or not; Ms. Mendoza wondered whether the ERC functioned more as a staff meeting than as a committee under a board. Secretary Taylor discussed the administrative services forum the Department of Administration (DoA) currently runs, noting that it is an informal group composed of stakeholders providing input to DoA in order to more effectively do their work. The SRB may fall under KSA 75-4319(b)(13) in order to go into executive session. ERC members would summarize information from an ERP so the board could make an informed decision about whether to approve the ERC-endorsed ERP. Both Ms. Mendoza & Secretary Taylor suggested keeping the ERC less structured, noting that if the ERC is not in agreement over an ERP more discussion would be needed before they could present to the SRB. Staff will present ERPs to the SRB at the next quarterly meeting.

Ms. Wiget and Mr. Garwood requested clarification about whether a change in retention length only was considered a housekeeping change, or one that must come to the board. Records series must come to the State Records Board if the length of retention changes before final disposition, even if the final disposition does not change.

Mr. Garwood informed the board about the records officers' meeting in November, the first such meeting since 2007. Records management staff want to better communications between records management staff at KSHS and records officers across state agencies. KSHS staff have asked records officers to fill in a brief informational survey. Twenty-six or 27 agencies have so far responded that they will be bringing staff to the meeting, and there is a 45% return rate on the survey already. Secretary Taylor stated that he is not the records officer for his agency but noted a couple names in the Legal staff to whom he goes for those functions.

Meeting adjourned at 9:50 a.m.

Marcella Wiget,
On behalf of the State Archivist