AGENDA
STATE RECORDS BOARD
1/15/2015
8:30 a.m.
Kansas State Historical Society
Center for Historical Research
6425 SW 6th Ave.
Executive Conference Room, 2nd Floor

1. Introductions and announcements
2. Minutes from previous meeting
3. Kansas Department of Commerce – new entry
4. Kansas State Department of Education – revised entry
5. State Treasurer’s Office
   a. Electronic Recordkeeping Plan
   b. Revised entries
6. Pooled Money Investment Board
   a. New entries
   b. Revised entries
   c. Superseded by other agency-specific entries
7. Kansas Department of Labor
   a. New entries
   b. Revised entries
   c. Superseded to other agency-specific schedule entries
8. KSHS – revised entry
9. Kansas Department of Administration
   a. New entry
   b. Revised entries
   c. Superseded by other agency-specific entries
10. Housekeeping changes:
    a. Housekeeping
       • Local government
       • Department of Administration
       • Department of Labor
       • Pooled Money Investment Board
    b. Obsolete
       • Adjutant General’s Department
       • Department of Administration
       • Department of Labor
    c. Superseded to the general schedule
       • Adjutant General’s Department
       • Department of Administration
       • Kansas State Department of Education
11. Other business:
    a. State Records Center closure
    b. Recognition of Pat Michaelis’s service to the board
c. Future meetings:
   • February, March 2015?
   • April 16, 2015
   • May, June 2015?
   • July 16, 2015
   • October 15, 2015
Ms. Mendoza called the meeting to order at 8:36 a.m. and began introductions.

Minutes: Motion: Mr. Veatch moved, Mr. Yeary seconded, board unanimously approved both July 17 and August 19 meeting minutes.

Board of Pharmacy: Discussion started with the new entries. Joanna Hammerschmidt questioned the “two calendar year after receipt of last document” retention on the abandoned incomplete applications; Ms. Yingling explained that while the board’s statute does not state an expiration, after that long a timeframe the agency would prefer for an individual to re-submit their information and start the licensing application process over again.

Mr. Veatch requested clarification regarding the interns’ files and whether or not the internship information is transferred to the licensing files. Ms. Wiget explained this is the case, and Dr. Michaelis suggested adding a comment to 0028-531, clarifying that interns who become pharmacists have their licenses integrated with their license file.

Motion: Dr. Michaelis moved approval of new entries and revised entries, allowing Ms. Wiget and Ms. Yingling to amend language in 0028-531 as necessary for clarification. Mr. Yeary seconded, unanimous approval by board.

Motion: Mr. Veatch moved, Dr. Michaelis seconded, unanimous approval of superseded entries as presented.

Kansas Public Employees Retirement System (KPERS): A year ago the board requested the agency to review their retention schedule, and John Hooker contacted all the directors in KPERS to determine what needed to be changed. Alberta Rea, internal auditor, noted that she required a schedule entry for her work. She and John reviewed audit schedule entries on other agencies’ retention schedules and did not find consistency so created a new entry.
Ms. Rea described something of her workflow. She reviews statutes, regulations, fiduciary standards, and other standards and best practices to ensure KPERS is doing its work properly. She noted that in the past year she’s gone through a self-assessment based upon the Institute of Internal Auditors standards. One of those standards is having a retention schedule.

Mr. Veatch was concerned that the summary findings completed from Ms. Rea’s reports had archival value. Ms. Rea explained that she might complete 8-10 audits in a year and sends the summary findings to the KPERS’ board’s audit committee and to the Legislative Post Audit. She also explained that these completed reports are stripped of any individually identifiable information and are therefore considered open records. After discussion, the board recommended adding to the end of the schedule entry comment, “Transfer internal audit reports to the State Archives annually.”

Motion: Dr. Michaelis moved approval as amended, Mr. Yeary seconded, unanimous approval as amended.

Board of Regents: Ms. Schwarz explained that the Legal section had not gone through their records in a very long time, and now when they have time available, the staff are going through their records and cleaning up. They found these bond files and want to change the schedule in order to destroy these records appropriately.

Motion: Mr. Yeary moved, Dr. Michaelis seconded, unanimous approval of revised schedule entry as presented.

Racing & Gaming Commission: Both programs for these new series entries are for animals bred in Kansas; individuals who do this breeding in Kansas may receive monies in order to encourage breeding in the state. The programs continue, and animals continue to be registered in the state, despite the fact that racing has not been held in Kansas for a few years. The two private organizations for horse racing and greyhound dog racing hope that racing will come back, and the state agency continues to hold hearings for the Kansas Bred Program, for example. The agency has also received a few boxes of records related to that program and expect they may receive more from both organizations. Ms. Taylor noted that horses can breed for a long time, and that if racing came back in a few years some of these horses may still be breeding, so the retention specifically for the Kansas Bred Program needs to be for a long time.

Greyhound registration records currently remain with the Greyhound Association; the agency has given that association a year to determine whether or not the records need to be moved to Racing & Gaming. Mr. Veatch questioned whether the board could schedule records that were not yet property of the state; Ms. Taylor clarified that the associations act on behalf of the state and that these are state records, just not currently physically in the agency’s control.

Motion: Dr. Michaelis moved, Mr. Yeary seconded, unanimous approval of new entries as presented.

Local government – Community Developmental Disability Organizations (CDDOs): Melissa Thompson noted that CDDOs are another governmental organization that may be county- or regional-based and may be government-run or run through not-for-profits; therefore the board may not have approval authority. She is therefore requesting endorsement of the presented schedule entries to bring back to the Sedgwick County Board of Commissioners for final approval. She also noted that most of the records the local organization receives and creates are electronic, and that currently the electronic records are not being managed (destroyed); however, the office plans to begin using that module in the electronic records management system to allow for destruction of the electronic records. She also noted that much of this information should be included in a Kansas Department of Aging and Disability Services database as well. Ms. Thompson explained some of the research process their records
management program used, including sending the proposed schedule entries to all the CDDO contacts she had around the state; she received no comment back from any of them.

Discussion turned to whether or not these were truly county government records. Sedgwick County is the appointed CDDO for that county; other counties, including Johnson County, are in similar situations to Sedgwick County. In less populous, western counties the situation may not be the same, and therefore the board would need to be clear that their approval would be specific to county-operated entities.

**Motion:** Dr. Michaelis moved approval of entries, with the understanding that if the CDDO is not a part of county government, these are advisory schedule entries only. Mr. Yeary seconded, unanimous approval of schedule entries as presented.

*Housekeeping changes:* The housekeeping report was accepted by the board.

*Governor’s Office financial records at the State Archives:* Ms. Wiget explained that there are two separate issues to decide: financial records transferred directly by gubernatorial administrations, and those records transferred by the Department of Administration under its existing schedule. She was requesting at this meeting authorization from the State Records Board, as allowed in K.S.A. 75-104(c), to destroy the records directly transferred from the governors’ offices, and she would work with Administration to ensure their schedule was changed in order to allow for the destruction of these records rather than transfer to the State Archives.

Ms. Mendoza wanted to ensure that there was no long-term historical value to these records; the other board members agreed with Ms. Wiget that these were routine financial records of no enduring value, and that the State Archives had a variety of other records from these administrations that provided better evidence of that administration’s policies and actions. Ms. Mendoza asked whether anyone had ever requested to perform research in these records; neither Ms. Wiget nor Mr. Veatch was aware of anyone requesting them.

Mr. Yeary noted that Administration facilitates gubernatorial transitions, including setting up a budget for the new governor among other supporting roles, and that therefore the agency receives or handles records for the governor’s office. Mr. Veatch would like to schedule the governor’s financial records separately, not under Administration’s schedule, and the board all agreed with this assessment.

**Motion:** Mr. Veatch moved, Mr. Yeary seconded, the board unanimously approved to destroy the routine financial records of the governor’s office in the same manner as other state agencies’ routine financial records.

Dr. Michaelis asked about the letter the board sent to the Information Technology Executive Council after its special meeting on August 19. There had been no response so far, but Mr. Veatch noted that both Bryan Dreiling and his supervisor at the Office of Information Technology Services are no longer with the state of Kansas, so it’s unclear where those draft security policies now lie.

Ms. Mendoza adjourned the meeting at 10:10 a.m.
1. Agency: Kansas Department of Commerce

2. Records Officer: John Bowes  Phone: 296-2122

3. Appraising Archivist: Marcella Wiget

4. Date of Appraisal: December 22, 2014

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 records officer.

9. Appraisal Narrative:

   The Kansas Department of Commerce, as a result of a recent audit pertaining to a federal program, is requesting a change to its agency-specific schedule. The agency would like to maintain these financial records for a longer period than required by relevant general schedule entries.
RetentionPolicy/Disposition Schedule Entries

300-XXX
Department of Commerce
Multiple subunits/Subunit not defined

General Fiscal Records (Series Unknown)
General records maintained by the Kansas Department of Commerce regarding financial receipts and expenditures and for travel, normally used to monitor, manage, and verify federal program grant expenditures.

Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 010 fisc yrs
Disposition: Destroy
Comments: This series contains only internal documents.
Schedule Authority: Agency schedule
Last Surveyed: 18 December 2014
Record Copy: Paper
Remarks: 12/18/2014: new entry. Requested by agency after audit of federal grant program, superseding shorter-term general schedule entries such as 0001-000, Accounts Payable Records, and 0127-000, Vouchers-Travel.
1. **Agency:** Kansas State Department of Education

2. **Records Officer:** Scott Gordon  
   **Phone:** 296-3204

3. **Appraising Archivist(s):** Marcella Wiget

4. **Date of Appraisal:** December 22, 2014

5. 
   a) **Total records – No. of Series:** 3
   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:** 2 (see housekeeping report)

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 Child Nutrition and Wellness program director Cheryl Johnson.

9. **Appraisal Narrative:**

   In completing a Kansas Information Technology Office project plan review, the Kansas State Department of Education reviewed relevant retention and disposition schedule entries. While most of the entries remain current, the State Archives requested revising one entry that had an archival disposition so that those records could instead be destroyed.
Retention/Disposition Schedule Entries

652-102
Kansas State Department of Education
Financial Services & Quality Control

Policy Memos - U.S.D.A. (Series 0118-652)
Memoranda related to federally-funded child nutrition program policies received from the U.S. Department of Agriculture.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Retain until superseded, then destroy.
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-069
Last Surveyed 19 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 12/30/2014: revised retention and disposition from archives to destroy.
1. **Agency:** Kansas State Treasurer’s Office

2. **Records Officer:** Stan Jones  
   **Phone:** 296-4148

3. **Appraising Archivist(s):** Marcella Wiget

4. **Date of Appraisal:** December 2, 2014

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 program and IT staff; review of records.

9. **Appraisal Narrative:**

   The Kansas State Treasurer’s Office requests changes to its agency retention and disposition schedule. The agency is keeping certain bond-related records electronically and wishes to ensure its recordkeeping practices are in compliance, and the agency also requested the State Archives to review certain schedule entries that were supposed to require transfer of records to the archives; archives staff agreed these records were non-archival and should instead be destroyed. An Electronic Recordkeeping Plan for the electronic records was endorsed at the December 2014 Electronic Records Committee meeting.
Retention/Disposition Schedule Entries

670-002
Office of the State Treasurer
Municipal Bond Services

Bond Transcripts (Series 0008-670)
Bonds and coupons submitted by bond councils to the State Treasurer regarding the issuance of long term bonds.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See comments
Disposition: Destroy
Restrictions: None
Comments: Retain 5 years after maturity date, then destroy.
Schedule Authority: Agency Schedule
KAR Number: 53-2-131
Last Surveyed: 13 August 2014
Record Copy: Paper
Remarks: 10/06/2014 - Revised description, retention period and disposition type.

Bond Transfers Records (Series 0009-670)
Documents relating to a change in ownership by the bond investor.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 5 cldr yrs after maturity
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number: 53-2-131
Last Surveyed: 13 August 2014
Record Copy: Paper
Remarks: 10/06/2014 - Revised retention and disposition; records are paper-based and no longer microfilmed.

Monthly Accounting Transaction Records (Series 0012-670)
Copies of letters and payments listing the monthly accounting of bond transactions by a municipality and submitted to the State Treasurer to ensure payment.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 10 fisc yrs after maturity
Disposition: Destroy
Restrictions: K.S.A. 45-221(a)(30)
Schedule Authority: Agency Schedule
KAR Number: 53-2-131
Last Surveyed: 23 October 2014
Record Copy: Electronic
**Electronic Recordkeeping Plan Endorsed**

**Remarks:** 12/02/2014: revised retention period and restrictions. Records are now maintained electronically (see ERP).
1. **Agency:** Pooled Money Investment Board

2. **Records Officer:** Karen Stattelman  
   **Phone:** 296-3701

3. **Appraising Archivist(s):** Joanna Hammerschmidt, Marcella Wiget

4. **Date of Appraisal:** January 03, 2015

5. a) **Total records – No. of Series:** 14
   b) **New series – No. of Series:** 9
   c) **Revised existing series – No. of Series:** 4
   d) **Obsolete schedule entries – No. of Series:** 0
   e) **Series superseded by other schedule entries – No. of Series:** 1
   f) **Series superseded by general schedule entries – No. of Series:** 0

6. **Archival/Permanent records – No. of Series:** 0

7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0

8. **Appraisal Based Upon:**
   Discussion with records officer and staff.

9. **Appraisal Narrative:**
   Staff from the Pooled Money Investment Board wish to make changes to streamline and update their retention schedule. Several records series had not been previously scheduled, and the revised entries now more accurately describe the records they apply to, the business processes, and a shift to a more appropriate disposition, including destruction instead of archival retention. Upon review of the superseded entry it was determined that the records were better in line with an existing agency series. These schedule entries mostly reflect paper record-keeping practices of the agency; Electronic Recordkeeping Plans are being developed for electronic records systems the agency uses.
Retention/Disposition Schedule Entries

671-001
Pooled Money Investment Board

**Daily Rate Sheets** (Series Unknown)
Compilation of investment rates for the Municipal Investment Pool (MIP), Kansas Bank certificates of deposit (CDs), Agricultural Production Loan Program, and Home Loan Deposit Program (rates pulled from Bloomberg).

*Entry Status:* Draft
*Recommended Status:* Approve As New
*Retention Period:* 003 fisc yrs
*Disposition:* Destroy
*Restrictions:* None
*Schedule Authority:* Agency schedule
*Last Surveyed:* 16 December 2014
*Record Copy:* Paper
*Remarks:* 12/16/2014: new entry. PMIB website retains historical data for MIP rates back to mid-1990s and should be captured by State Archives. Other rates are based on MIP rates and could be recreated if needed.

**Letters of Instruction - Municipal Investment Pool (MIP)** (Series Unknown)
Form completed by Municipal Investment Pool (MIP) participants to authorize processing transactions in their accounts.

*Entry Status:* Draft
*Recommended Status:* Approve As New
*Retention Period:* 005 fisc yrs
*Disposition:* Destroy
*Restrictions:* None
*Schedule Authority:* Agency schedule
*Last Surveyed:* 16 December 2014
*Record Copy:* Paper
These are similar to the Web Requests and most often used for those transactions that participants are unable/unwilling to complete using the web interface.

**Memos to Cashier** (Series Unknown)
Document that summarizes daily portfolio cash flows that authorizes State Treasurer's Office Cashier to adjust Top Sheet balances.

*Entry Status:* Draft
*Recommended Status:* Approve As New
*Retention Period:* 003 fisc yrs
*Disposition:* Destroy
*Schedule Authority:* Agency schedule
*Record Copy:* Paper
*Remarks:* Related to schedule entry 0045-671, Cash Balance Worksheets.
Municipal Investment Pool Daily Reports (Series Unknown)
Reports generated from Municipal Investment Pool software used to confirm balances and activity in the Municipal Investment Pool (MIP).
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 001 cldr yr
Disposition: Destroy
Schedule Authority: Agency schedule
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Remarks: Reports are archived electronically in the software program (ERP pending). In the event of a disaster, a copy of the software program and data are stored off-site.

Municipal Investment Pool Enrollment Paperwork (Series Unknown)
Paperwork completed by depositors authorizing officers and employees of the depositor to complete transactions in their account. Includes Resolution and Password Designation forms.
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: Current forms and those covering previous 5 years
Disposition: Destroy
Schedule Authority: Agency schedule
Record Copy: Paper

Municipal Investment Pool Monthly reports (Series Unknown)
Monthly report of investment activity and interest rates.
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 010 fisc yrs
Disposition: Destroy
Schedule Authority: Agency schedule
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: Data is included in monthly Board Reports (Series 0005-000) as posted on the website (practice began July 2014).

Municipal Investment Pool Web Requests (Series Unknown)
Printed copy of web-based transaction instructions generated by participants to process transactions on their accounts.
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 001 cldr yr
Disposition: Destroy
Schedule Authority: Agency schedule
Last Surveyed: 16 December 2014
Record Copy: Paper
Remarks: In the event of a disaster, the software program and data are stored off-site (ERP pending).
Portfolio Management Reports (Series Unknown)
Reports used internally by Director of Investments. Reports include daily portfolio holdings for the Pooled Money Investment Portfolio (PMIP), Health Care Stabilization Fund (HCSF), and Kansas Department of Transportation (KDOT), daily PMIP maturity distribution, and month end cash flow model.

Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
Last Surveyed 05 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 12/09/2014: new entry. Excel spreadsheet written over daily and printed out for reference; backed up remotely by IT.

Revenue Estimating Report (Series Unknown)
Interest income estimates presented to the Consensus Revenue Estimating Group.

Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: One copy of report is transferred to the State Archives as part of board packets (see series ID 0015-000).
Schedule Authority: Agency schedule
Last Surveyed 16 December 2014
Record Copy: Paper
Retention/Disposition Schedule Entries

671-001
Pooled Money Investment Board

Health Care Stabilization Fund Files (Series 0020-671)
Documentation relating to investment of Health Care Stabilization Fund monies in accordance with KSA 40-3406. Documents include trade tickets, copies of SMART deposits, and summary of activity.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: Listing of investments and summary of activity are included in monthly management reports and board reports and transferred to the State Archives (see series ID 0005-000).
Schedule Authority: Agency Schedule
KAR Number 53-2-102
Last Surveyed 16 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
12/16/2014: revised description and disposition from archives to destroy, noting that certain summary materials are separately being transferred to the State Archives.

Primary Securities Dealer Files (Series 0027-671)
Documents relating to primary security dealers authorized to conduct business with the Pooled Money Investment Board. Documents include Master Repurchase Agreement (MRA) and broker-dealer certification.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 005 fisc yrs after no longer an active counter party
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-102
Last Surveyed 05 December 2014
Record Copy: Paper
Remarks: 12/09/2014: clarified description and retention length; noted record copy format.

Special Investment Fund Files (Series 0030-671)
Documentation relating to Pooled Money Investment Board's investment of miscellaneous state agencies' monies (ex. from the Kansas Development Finance Authority). Documentation includes trade tickets and copies of SMART deposits.
Entry Status: Ready for SRB
Recommended Status: Revise
**Retention Period:** 005 fisc yrs  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Listings of investments and summary activity are transferred to the State Archives with monthly management reports and board reports (see series ID 0005-000).  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-102  
**Last Surveyed** 07 August 1992  
**Record Copy:** Paper  
**Remarks:** 08/07/1992: new entry.  
12/16/2014: revised description and disposition from archives to destroy, noting that certain summary materials should be transferred to the State Archives separately.

**State Highway Fund Files** (Series 0032-671)  
Documentation relating to Pooled Money Investment Board's investment of the Kansas Department of Transportation's monies in accordance with K.S.A. 68-2324. Documents include trade tickets, copies of SMART deposits, and summary of activity.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** 005 fisc yrs  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Listing of investments and summary of activity are included in monthly management reports and board reports and transferred to the State Archives (see series ID 0005-000).  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-102  
**Last Surveyed** 07 August 1992  
**Record Copy:** Paper  
**Remarks:** 12/19/2014: revised description, retention period, and disposition from archives to destroy, noting that certain summary materials are transferred to the State Archives.
Retention/Disposition Schedule Entries

671-001  
Pooled Money Investment Board

**Repurchase Agreement Master Files** (Series 0029-671)
Documents relating to repurchase agreements contracted with primary security dealers who purchase securities for a specific period and rate with the agreement to repurchase afterwards.

- **Entry Status:** Ready for SRB
- **Recommended Status:** Supersede (Other)
- **Retention Period:** 005 fisc yrs
- **Disposition:** Destroy
- **Restrictions:** None
- **Schedule Authority:** Agency Schedule
- **KAR Number** 53-2-102
- **Last Surveyed** 05 December 2014
- **Record Copy:** Paper
- **Remarks:** 12/09/2014: supersede entry to 0027-671, Primary Securities Dealer Files.
1. **Agency:** Kansas Department of Labor

2. **Records Officer:** Heather Wilke  
   **Phone:** 296-5000

3. **Appraising Archivist(s):** Marcella Wiget

4. **Date of Appraisal:** December 2014/January 2015

5. a) **Total records – No. of Series:** 57  
   b) **New series – No. of Series:** 6  
   c) **Revised existing series – No. of Series:** 46  
   d) **Obsolete schedule entries – No. of Series:** 4  
   e) **Series superseded by other schedule entries – No. of Series:** 1  
   f) **Series superseded by general schedule entries – No. of Series:**

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’s records officer.

9. **Appraisal Narrative:**

   Kansas Department of Labor’s records officer is beginning to update and revise her agency’s retention and disposition schedule. Some records had not been previously scheduled. Many of the requested changes regard adding Kansas Employment Security Law restrictions to existing schedule entries; because of those access restrictions, some entries have been revised from an archival disposition. Other revisions regard lengthening or shortening retention periods. Many schedule entries exist in association with an Electronic Recordkeeping Plan approved in FY2008.
Retrieval/Disposition Schedule Entries

296-003
Department of Labor
Division of Employment Security

Appeals Quality Reviews (Series Unknown)
Unemployment Insurance Lower Authority Appeals Quality Review files.
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
Last Surveyed: 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Benefits Timeliness and Quality (BTQ) Reviews (Series Unknown)
Benefits Timeliness and Quality (BTQ) Review cases.
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 03 fisc yrs
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Schedule Authority: Agency Schedule
Last Surveyed: 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Call Driver Report (Series Unknown)
Reports completed by intake representatives to document call drivers.
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 03 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
Last Surveyed: 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Desk Manuals (Series Unknown)
Training and Procedures Manuals for Appeals' administrative staff.
Interval Report (Series Unknown)
Daily report broken down to 15-minute increments showing how many agents were on the phone during that 15-minute increment and how calls were handled during the 15-minute increment.

Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
Last Surveyed: 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Sensitive Exhibits (Series Unknown)
Documents related to unemployment claims of a sensitive nature (e.g. pornographic pictures).
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
Last Surveyed: 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Retention/Disposition Schedule Entries

296-002
Department of Labor
Division of Staff Services

Management Analysis Studies (Series 0035-296)
Surveys, flow charts, budget material, case studies, projects, and reports gathered to review unit
cost effectiveness or benefits to the agency.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-110
Last Surveyed 31 December 2014
Record Copy: Unknown
12/31/2014: revised retention and disposition from archives for purging to destroy.

296-003
Department of Labor
Division of Employment Security

Additional Claim Form (Series 0007-296)
Unemployment Insurance Application.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain five years after file closed, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry. Change in retention period. No longer in Division of
Staff Services.
12/31/2014: added restriction; revised comments.

Administrative Reviews (Series 0044-296)
Documents associated with appeals on Unemployment Insurance tax matters.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 44-714(e)
Comments: Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Agendas (Series 0045-296)
Agendas compiled for board members.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 005 cldr yrs
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Schedule Authority: Agency Schedule
KAR Number 53-2-117
Last Surveyed 07 August 1998
Record Copy: Unknown
12/31/2014: added restriction; revised disposition from archives to destroy.

Annual Employer Benefit Charge Statement (Series 0047-296)
Annual statement sent to employers showing individual benefit charges on employees.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 44-714(e)
Comments: Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: added restriction.

Appeals Unemployment Insurance Hearing Documents (Series 0077-296)
Documents created as the result of an unemployment insurance appeal being filed.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 005 fisc yrs after file closed
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: revised retention and disposition from permanent; added restriction.

Benefit Continued Claim Forms (Series 0054-296)
Unemployment claimant weekly request for benefit and certification of eligibility.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 years after file closed, then destroy. Located in Benefit unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Benefit Overpayment Account and Non-Fraud Record (Series 0009-296)
Payment History.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 yrs after file closed, then destroy. Located in Benefit Payment Control unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/08/2008: Revised entry. Modified retention and change in office from Division of Staff Services to Employment Security.
12/31/2014: added restriction.

Benefit Payment Control Fraud File (Series 0012-296)
Prosecutable fraud file.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 years after file is closed, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/08/2008: Revised entry. Change in retention period. No longer in Division of Staff Services. Now includes series 0016-296 (Claimant Statement to investigator), 0024-296 (Fraud Summary), 0034-296 (List of Evidence Sheet), and 0040-296 (Recap of Unemployment Insurance Overpayment).
12/31/2014: added restriction.

Contributions Hearing Documents (Series 0055-296)
Documents associated with hearings of appeals on administrative reviews of tax matters.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 44-714(e)
Comments: Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: added restriction.

Correspondence - Board Members (Series 0056-296)
Incoming and outgoing letters and memoranda concerning Employment Security Board of Review activities.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 07 August 1998
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: Revised retention and disposition from archives to destroy; added restriction.

Delinquent Unemployment Tax Files (Series 0060-296)
Records from actions on collection of delinquent taxes and reports.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** K.S.A. 44-714(e)

**Comments:** Retain until delinquent taxes are paid, then destroy. Located in Contributions unit.

**Schedule Authority:** Agency Schedule

**KAR Number:** 53-2-154

**Last Surveyed:** 31 December 2014

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Endorsed**

**Remarks:** 01/24/2008: Revised entry.
12/31/2014: added restriction.

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**Employer Charge Back Data** (Series 0063-296)

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** K.S.A. 44-714(e)

**Comments:** These are electronic records. Retain in office for 4 years following beginning of new rate year, then destroy.

**Schedule Authority:** Agency Schedule

**KAR Number:** 53-2-070

**Last Surveyed:** 31 December 2014

**Record Copy:** Electronic

**Electronic Recordkeeping Plan Not Required**

**Remarks:** 04/30/1987: new entry.
12/31/2014: added restriction.

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**Employer Computer CrossMatch--Fraud Investigation** (Series 0021-296)

Correspondence to employer to obtain claimant wage information.

**Entry Status:** Ready for SRB

**Recommended Status:** Revise

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** K.S.A. 44-714(e)

**Comments:** Retain for 5 years after file closed, then destroy. Located in fraud unit.

**Schedule Authority:** Agency Schedule

**KAR Number:** 53-2-154

**Last Surveyed:** 31 December 2014

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Endorsed**

**Remarks:** 01/24/2008: Revised entry. Modified retention.
12/31/2014: added restriction.

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**Employer Liability Data** (Series 0065-296)
Documents relating to employer tax liability determinations.

**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** K.S.A. 44-714(e)  
**Comments:** Retain for 10 years after termination of business, then destroy. Located in Contributions unit.

**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-154  
**Last Surveyed** 22 January 2008  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Endorsed**  

**Employer Non-Charge/Charge** (Series 0066-296)  
File that shows Benefits Unit's determination of charge or non-charge based upon the claim for unemployment benefits.

**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** 10 years  
**Disposition:** Destroy  
**Restrictions:** K.S.A. 44-714(e)  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-154  
**Last Surveyed** 31 December 2014  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Endorsed**  
**Remarks:** 01/24/2008: Revised entry. 12/31/2014: added restriction.

**Employer Record** (Series 0067-296)  
Employer Account Record (EAR) listing all management aspects of the employers data for unemployment insurance tax purposes.

**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** K.S.A. 44-714(e)  
**Comments:** Retain for 10 years after termination of business, then destroy. Located in Contributions unit.

**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-154  
**Last Surveyed** 31 December 2014  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Endorsed**  
**Remarks:** 01/24/2008: Revised entry. Modified retention.
12/31/2014: added restriction.

**Employer Unemployment Tax Audits** (Series 0068-296)
Documents relating to audit of employer records pertaining to Unemployment Insurance tax matters.
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** K.S.A. 44-714(e)  
**Comments:** Retain for 10 years after termination of business, then destroy. Located in Contributions unit.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-154  
**Last Surveyed** 31 December 2014  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Endorsed**  
**Remarks:** 01/22/2008: Revised entry. Modified retention.  
12/31/2014: added restriction.

**Employment Security Board of Review Decisions** (Series 0048-296)
Documents recording the decision rendered by the Board of Review regarding appeals of previously denied benefits claims.
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** K.S.A. 44-714(e), 5 U.S.C. section 552a  
**Comments:** Retain for 5 years after file closed, then destroy.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-154  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Endorsed**  
**Remarks:** 01/24/2008: Revised entry.  
12/31/2014: revised restriction.

**Entire Benefit Payment History** (Series 0069-296)
Record of unemployment insurance payment data.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** 10 years  
**Disposition:** Destroy  
**Restrictions:** K.S.A. 44-714(e)  
**Comments:** Located in Benefits unit.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-154  
**Last Surveyed** 31 December 2014  
**Record Copy:** Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry. Now includes 0107-296 (Total Benefit Payment Record).
12/31/2014: added restriction.

Experience Rating (Series 0070-296)
Annual notice transmitted to employers informing of UI tax rate assigned.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 10 years after termination of business, then destroy. Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Experience Rating Data (Series 0071-296)
Information used to compile annual experience rating notices.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 10 years after termination of business, then destroy. Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Fraud Referral Memorandum (Series 0023-296)
Correspondence between Kansas Department of Labor legal and prosecuting authorities.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 years after file closed, then destroy. Located in Benefit Payment Control unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Individual Benefit Claim File (Series 0027-296)
Documents relating to individual unemployment insurance claims.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 years after file closed, then destroy.

Schedule Authority: Agency Schedule
KAR Number 53-2-154
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Investigation Files--Benefits Accuracy Measurement/Quality Control (Series 0029-296)
Documents relating to investigations of selected unemployment insurance claims conducted to assess whether the Department distributed benefits appropriately.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e) and K.A.R. 50-4-2
Comments: Retain for 5 years after file closed, then destroy. Located in Performance Management unit.

Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: revised restriction.

Lien, Final Notice and Tax Warrant Levies (Series 0080-296)
Legal notices on employer underpayment of Unemployment Insurance taxes.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 44-714(e)
Comments: Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Litigant Filed - Tried Cases (Series 0081-296)
Legal cases involving employers UI tax (Completed Cases), located in Contributions unit.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 45-221(a)(25) and K.S.A. 44-714(e)
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: revised restriction.

Litigant Filed - Tried Cases: General (Series 0082-296)
Legal cases involving employers UI tax: General
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 45-221(a)(25) and K.S.A. 44-714(e)
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: revised restriction.

Litigant Filed - Tried Cases: Specific Section (Series 0083-296)
Legal cases involving employers UI tax: Specific Units
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 45-221(a)(25) and K.S.A. 44-714(e)
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Monetary Determination Record (Series 0085-296)
Legal notification to unemployment insurance claimant of their calculated weekly and total benefit amounts.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 10 years
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Located in Benefits unit.
Schedule Authority: Agency Schedule
KAR Number: 53-2-154

Monthly Contribution Run (Series 0086-296)
All monetary transactions on employer accounts for the preceding month.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 5 years
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number: 53-2-154

New Unemployment Insurance Claim Form (Series 0036-296)
Unemployment Insurance Claim Application.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 years after file closed, then destroy. Located in Benefits unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Non-Liable Employer Documents (Series 0087-296)
Status documents of non-liable business entities.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 years after file closed, then destroy. Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Non-Monetary Determination Record (Series 0088-296)
Legal notification to unemployment insurance claimant of their eligibility to receive unemployment insurance benefits.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 10 years
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Located in Benefits unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: added restriction.

Notes - Board Meetings (Series 0084-296)
Notes regarding votes made by individual members of the Employment Security Board of Review.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Purged Benefit Account Report (Series 0095-296)
Applications and supporting documentation concerning inactive unemployment compensation accounts of individuals.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for five years after file closed, then destroy. Located in Benefits unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 19 December 1996
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 12/19/1996: revised entry.
01/24/2008: Revised entry. Modified retention.
12/31/2014: revised restriction.

Quarterly Wage Report (Series 0096-296)
Quarterly reports made by employers of the wages paid to all employees and the employers' contributions to the unemployment compensation fund.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 010 fisc yrs
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Located in Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 12 May 1991
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
01/24/2008: revised entry.
12/31/2014: revised restriction.

Requests for Disclosure of Tax Information (Series 0100-296)
Authorization form requesting UI tax information.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 5 years
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Located in the Contributions unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: added restriction.

Tax Returns and Adjustments (Series 0104-296)
Forms used to adjust employers' quarterly wage reports and Unemployment Insurance tax returns.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 10 years
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Located in Contributions Unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/24/2008: Revised entry.
12/31/2014: added restriction.

Unemployment Insurance Benefit Overpayment Account and Fraud Record (Series 0008-296)
Payment History.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 yrs after file closed, then destroy. Located in Benefit Payment Control unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/08/2008: Revised entry. Changed retention and moved from Division of Staff Services to Division of Employment Security.
12/31/2014: added restriction.
Unemployment Insurance Continued Claim Form--Fraud Investigation (Series 0017-296)
Weekly claim for unemployment benefits used for fraud investigation.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 44-714(e)
Comments: Retain for 5 years after file closed, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
12/31/2014: added restriction.

Unemployment Tax Collection Legal Files (Series 0108-296)
Copies of lawsuits, tax warrants, bankruptcy claims, and other legal files relating to the
determination and collection of state unemployment taxes.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 44-714(e); KAR 50-4-2
Comments: Retain in office 2 years after case is settled or closed, then destroy. Originals are
maintained with the District Courts. Any original accounting information is maintained in the
Delinquent Accounts unit. Located in Legal unit.
Schedule Authority: Agency Schedule
KAR Number 53-2-154
Last Surveyed 31 December 2014
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
01/24/2008: Revised entry. No longer in Division of Staff Services.
12/31/2014: revised restriction.

296-008
Department of Labor
Legal Services

Case Files - Labor Relations (Series 0052-296)
Hearing transcripts, exhibits, and orders relating to the determination of appropriate bargaining
units, the conduct of representation elections, and the resolution of prohibited practice
complaints.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain in office 5 years, then transfer original fact finder reports, unit descriptions and important rulings to the archives. Retain other documents in office for 5 years, transfer to storage for 5 years, then destroy. Retain in office copies of fact-finder reports, unit descriptions and important rulings until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-113
Last Surveyed 01 October 1997
Record Copy: Unknown
Remarks: 12/31/2014 mwiget: Revised sub-agency and records transfer procedures information.
01/05/2015: added retention and disposition information for copies of records from 0053-296, to be superseded into this entry.

296-041
Department of Labor
Division of Workers' Compensation

Accident Reports (Form K-WC 1101-A) (Series 0185-296)
Reports filed with the division by employers concerning any accidents to their employees of which they have knowledge, as required by K.S.A. 44-557.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 050 cldr yrs
Disposition: Destroy
Restrictions: K.S.A. 44-550b
Comments: Scan, then destroy hard copy. Retain reports maintained in electronic format 50 years, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-161
Last Surveyed 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 10/14/09: Shortened retention period from 50 years.
12/31/2014: lengthened retention period back to 50 years.

Elections Files (Series 0197-296)
Documents relating to an employer's acceptance or nonacceptance of the provisions of the Workers' Compensation Act.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 050 cldr yrs
Disposition: Destroy
Restrictions: K.S.A. 44-550b
Comments: Scan, then destroy hard copy. Retain electronic reports 50 calendar years, then destroy.
Final Releases (Form D) (Series 0198-296)
Form granting employers final release from liability following the closure of a workers' compensation claim file.

- **Entry Status:** Ready for SRB
- **Recommended Status:** Revise
- **Retention Period:** 050 cldr yrs
- **Disposition:** Destroy
- **Restrictions:** K.S.A. 44-550b
- **Comments:** Scan, then destroy hard copy. Retain electronic reports 50 calendar years, then destroy.

Schedule Authority: Agency Schedule
KAR Number 53-2-161
Last Surveyed 31 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 10/14/09: Shortened retention period from 50 years.
12/31/2014: lengthened retention back to 50 years.
Retention/Disposition Schedule Entries

296-008
Department of Labor
Legal Services

Case Files - Labor Relations - Copies (Series 0053-296)
Hearing transcripts, exhibits, and orders relating to the determination of appropriate bargaining
units, the conduct of representation elections, and the resolution of prohibited practice
complaints.

Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain in office copies of fact-finder reports, unit descriptions and important
rulings until no longer useful, then destroy. Transfer originals to the archives after 5 years.
Retain other documents until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-113
Last Surveyed 09 October 1997
Record Copy: Unknown
Remarks: 12/31/2014 mwiget: Revised sub-agency information.
01/05/2015: supersede this entry into 0052-296, Case Files - Labor Relations.
1. **Agency:** Kansas State Historical Society

2. **Records Officer:** Marcella Wiget  
   **Phone:** 272-8681

3. **Appraising Archivist(s):** Marcella Wiget

4. **Date of Appraisal:** November 14, 2014

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:**
   Review of records; discussions with museum staff.

9. **Appraisal Narrative:**

   The Kansas State Historical Society is reorganizing some of its space and in so doing is reviewing certain records. This series from the defunct conservation lab had an archival retention, but upon review of the records both museum and archives staff agree these records should instead be destroyed. Once the schedule change is made the entry will also become obsolete.
288-004  
Kansas State Historical Society  
Museum Division  
Conservation Lab  

Artifacts Log (Series 0221-288)  
Log documenting museum artifacts delivered to the lab for observation and treatment and the date returned to collection storage or exhibit.  

Entry Status: Ready for SRB  
Retention Period: See Comments  
Disposition: Destroy  
Restrictions: None  
Comments: Retain until no longer useful, then destroy.  
Schedule Authority: Agency Schedule  
KAR Number 53-2-100  
Last Surveyed 14 November 2014  
Record Copy: Paper  
Remarks: 11/14/2014: revised disposition from Archives to Destroy. Entry will also become obsolete.
1. **Agency:** Kansas Department of Administration

2. **Records Officer:** John Yeary  
   **Phone:** 296-2033

3. **Appraising Archivist(s):** Marcella Wiget

4. **Date of Appraisal:** November-December 2014

5. a) **Total records – No. of Series:** 40

   b) **New series – No. of Series:** 1

   c) **Revised existing series – No. of Series:** 5

   d) **Obsolete schedule entries – No. of Series:** 6

   e) **Series superseded by other schedule entries – No. of Series:** 2

   f) **Series superseded by general schedule entries – No. of Series:** 26

6. **Archival/Permanent records – No. of Series:** 2

7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0

8. **Appraisal Based Upon:**
   
   Discussions with agency staff.

9. **Appraisal Narrative:**

   In reviewing legacy records retained in the Secretary’s and Legal Office, the agency contacted State Archives staff for assistance in determining what should be transferred to the archives, what destroyed. Discussions turned also to revising the agency’s schedule, beginning with those offices. One set of records maintained by the agency had not been scheduled, and revisions to existing schedule entries mostly consist of adding access restrictions.
Retention/Disposition Schedule Entries

173-011
Department of Administration
Legal Services

Clemency records (Series Unknown)
Electronic copies of original documents related to requests by penal inmates for clemency, including memoranda prepared for the Governor by Department of Administration, Office of Chief Counsel, once received by the Governor.

Entry Status: Draft
Recommended Status: Approve As New
Retention Period: 2 fisc yrs
Disposition: Destroy
Restrictions: K.S.A. 22-2707, K.S.A. 45-221(a)(29)
Comments: These are convenience copies maintained by the Department of Administration; record copies are sent to the State Archives by the Governor's office, per K.S.A. 75-104(c).
Schedule Authority: Agency schedule
Last Surveyed 19 December 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 12/19/2014: new entry.
173-011
Department of Administration
Legal Services

Civil Service Board Appeal Records (Series 0010-173)
Records document appellant actions brought before the Civil Service Board.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 003 cldr yrs
Disposition: See comments
Restrictions: K.S.A. 45-221(a)(11)
Comments: Contact the archives for appraisal - if not accepted, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-070
Last Surveyed 19 December 2014
Record Copy: Paper
Remarks: 12/02/2014 mwigt: Superseded by 0071-000, Litigation Case Files.
12/19/2014: after further discussion with agency, reinstating entry to note specific access restrictions on records.

Labor Relations File (Series 0940-173)
Agency and subject file compiled on labor relations and maintained for convenience of reference.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 45-221(a)(25)
Comments: Retain until superseded or no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-129
Last Surveyed 17 December 2001
Record Copy: Paper
12/18/2014: after further discussions with agency, should not be superseded but should instead be revised to cover agency’s specific needs, particularly regarding access restrictions. Also revised sub-agency information.

Legal Research Files (Series 0953-173)
Research compiled by staff and used to assist in policy and decision making.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A. 45-221(a)(25)
Comments: Retain until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-129
Last Surveyed 23 December 2014
Record Copy: Paper
Remarks: 12/23/2014: superseding 0003-173 and 0035-173 into this entry; also added restriction to this entry.

Litigation Case Files (Series 0941-173)
Documents relating to individual litigation involving the Department of Administration.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See comments
Restrictions: KSA 45-221(a)(11)(25)
Comments: Retain in office 5 years after case is closed, then contact the archives for appraisal - if not accepted, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-129
Last Surveyed 19 December 2014
Record Copy: Paper
12/19/2014: after further discussion with agency, reinstated schedule entry to include additional restrictions on records. Also revised sub-agency information.

Memoranda of Understanding or Agreement - Interagency (Series 0704-173)
Background material and formal agreements reached between state, local, and/or federal agencies.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions restricted per K.S.A. 45-221(a)(25)
Comments: Retain until agreement becomes inactive plus 5 calendar years, then contact the archives for appraisal - if not accepted for transfer to the archives, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-114
Record Copy: Paper
Remarks: 10/28/2014 mwiset: Superseded by 0074-000 on general schedule.
12/18/2014: after further discussion with agency staff, have determined instead schedule entry should remain on agency-specific schedule and include access restriction information. Also revised sub-agency information.
Retention/Disposition Schedule Entries

173-011
Department of Administration
Legal Services

Background and Reference Material - Chief Attorney, Subject-Active and Inactive (Series 0003-173)
Reference material and attorney notes provide background information on various subjects directly related to the state.

Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
Retention Period: See Comments
Disposition: See comments
Restrictions: K.S.A. 45-221(a)(25)
Comments: Retain until no longer useful then contact the archives for appraisal - if not accepted, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-072
Last Surveyed 18 December 2014
Record Copy: Paper
Remarks: 12/18/2014: revised restrictions, modified disposition comments.
12/23/2014: supersede this entry to 0953-173, Legal Research Files.

Technical Reference Files - Staff Files (Series 0035-173)
These files are maintained for staff attorney's reference. Staff attorney notes are also included with the reference material.

Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until no longer useful, then transfer to archives.
Schedule Authority: General Schedule
KAR Number 53-2-072
Last Surveyed 18 December 2014
Record Copy: Unknown
Remarks: 12/23/2014: supersede this entry into 0953-173, Legal Research Files.
Housekeeping Changes Since 16 October 2014

09 January 2015

Housekeeping Edit

000-122
Local Government Records
Community Developmental Disability Organization

Program Funding Management (Series 0003-122)
Description: Records related to the management of program grant funding, including but not limited to program funding forms, insurance claims, contracted provider billing documents, accounts payable/accounts receivable records, reports, and funding data.
Change: Revised comment to reflect SRB amendment at 10/16/2014 meeting.-- mwiget, 19 October 2014

173-001
Department of Administration
Office of the Secretary

Attorneys' Opinion Files (Series 0008-173)
Description: Opinions of attorneys in Chief Counsel's office on various subjects.
Change: Modified title and description to clarify purpose of records series.-- mwiget, 13 November 2014

296-008
Department of Labor
Legal Services

Wage Payment Collection Files (Series 0010-296)
Description: Copies of lawsuits, petitions, judgments, etc. relating to compliance with agency orders directing payment of earned wages, interest and penalties.
Change: Revised sub-agency information.-- mwiget, 31 December 2014

671-001

09 January 2015
Pooled Money Investment Board

Certificate of Indebtedness (Series 0009-671)
Description: Certificate issued by the Pooled Money Investment Board authorizing the state treasurer to overextend available monies from the general fund by withdrawing money from other funds, as required by KSA 75-3725a.
Change: revised format copy from unknown to paper.-- mwiget, 08 December 2014

Obsolete

034-001
Adjutant General's Department
Adjutant General's Office

Subject Files - Special Assistant (Series 0001-034)
Description: Wide variety of documents relating to the activities and responsibilities of the special assistant to the Adjutant General.
Change: Agency indicates this position no longer exists.-- mwiget, 10 December 2014

034-002
Adjutant General's Department
Office for State Personnel

Health and Wellness Information Files (Series 0009-034)
Description: Documents relating to the agency's health and wellness committee established for the benefit of state employees.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 2014

Leave Balance Reports (Series 0010-034)
Description: Computer printouts of employee leave balances compiled by DISC used to identify any discrepancies.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 2014

Overtime Agreements (Series 0012-034)
Description: Agreements with employees relating to the method and amount of 
compensation received for overtime.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 
2014

Reallocation Files (Series 0015-034)
Description: Documents relating to the possible reallocation of staff positions to 
another range or administrative location within the agency.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 
2014

Summer Youth Employment Training Program Files (Series 0018-034)
Description: Time sheets, evaluations, and other personnel materials for 
disadvantaged youth employed at the agency under a federally funded summer job 
program.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 
2014

Unclassified Employees Files (Series 0019-034)
Description: Documents relating to unions, policies, and other matters concerning 
unclassified employees.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 
2014

United Way Information Files (Series 0020-034)
Description: Documents related to promoting state employee donations to the United 
Way drive.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 
2014

Volunteer Awards Files (Series 0022-034)
Description: Documents relating to nominees for the Governor's awards presented for 
exemplary service by volunteers.
Change: Agency staff indicate this series is no longer created.-- mwiget, 10 December 
2014

034-004
Adjutant General's Department
Comptroller's Office

Payroll Check-Off List (Series 0046-034)
Description: Log maintained to document which staff members have received their paychecks.
Change: Agency staff indicate this series is no longer created.-- mwигет, 10 December 2014

Strength Reports (Series 0056-034)
Description: Documents summarizing the military strength of each Kansas National Guard unit computed on a monthly basis and maintained for budgetary purposes.
Change: Agency staff indicate this series is no longer created.-- mwигет, 11 December 2014

034-008
Adjutant General's Department
Division of Emergency Preparedness
Deputy Director

Local/County/State Directory Files (Series 0129-034)
Description: Directory listing coordinators on the local/county/state level used to contact them in the event of an emergency.
Change: Agency staff indicate another entity is responsible for creating these records now.-- mwигет, 11 December 2014

Severe Weather Awareness Declarations (Series 0144-034)
Description: Proclamations issued to increase public awareness of the potential for severe weather.
Change: Agency staff indicate another entity is responsible for creating these records now.-- mwигет, 12 December 2014

Emergency Operations Training

Subject Files (Series 0151-034)
Description: Variety of documents relating to the interests and activities of the section.
Change: Agency staff indicate this series is no longer created.-- mwигет, 12 December 2014

Fiscal Section

Audit Reports - Emergency Management Assistance (EMA) Grants (Series 0085-034)
Description: Audits performed by the division's fiscal section of counties and cities
receiving grant funds to ensure compliance with federal requirements.  
Change: Agency staff indicate this program does not exist now.-- mwigel, 12 December 2014

Emergency Management Assistance (EMA) Claim Files (Series 0106-034)  
Description: Variety of documents related to requests submitted by counties and cities for reimbursement of personnel and administrative expenses from their allocated portion of EMA grant funds. 
Change: Agency staff indicate this program does not exist now.-- mwigel, 12 December 2014

Emergency Management Assistance (EMA) Grants - Annual Submissions (Series 0107-034)  
Description: Annual applications submitted to the Federal Emergency Management Agency for EMA grants to fund emergency operating center operations in counties and cities. 
Change: Agency staff indicate this program does not exist now.-- mwigel, 12 December 2014

Population Protection Planning

Community Shelter Plan Working Files (Series 0090-034)  
Description: Copies of shelter sites maps, work papers, notes, statistics, etc. used in the preparation of community shelter plans created as a guide for officials in the event of an emergency. 
Change: Series is obsolete.-- mwigel, 17 December 2014

County Exercise Files (Series 0102-034)  
Description: Plans developed by the division for areas of the state identified as being at higher risk for a nuclear attack or an earthquake. 
Change: Series is obsolete.-- mwigel, 17 December 2014

Crisis Relocation Plans (Series 0103-034)  
Description: Plans prepared by division staff to facilitate county/city population relocation in the event of a nuclear disaster. 
Change: Series is obsolete.-- mwigel, 17 December 2014

Nuclear Civil Protection Planning Files (Series 0133-034)  
Description: Plans developed by the division to provide civilian population protection in the event of a nuclear attack. 
Change: Series is obsolete.-- mwigel, 18 December 2014
Scrapbook Materials (Series 0143-034)
Description: Collections of miscellaneous documents regarding agency activities.
Change: Agency staff indicate this series is no longer created.-- mwiget, 18 December 2014

Subject Files (Series 0150-034)
Description: Variety of documents related to the interests and activities of the section.
Change: Agency staff indicate this series is no longer created.-- mwiget, 18 December 2014

Survivable Crisis Engineering

Continuity of Government County Surveys (Series 0092-034)
Description: Surveys conducted of county emergency succession procedures used to provide a framework for the development of state and local continuity of government plans.
Change: Agency staff indicate this series is no longer created.-- mwiget, 19 December 2014

Emergency Operations Center Inspection Files (Series 0110-034)
Description: Inspections conducted by the division staff of county emergency centers receiving federal funding and monitored to ensure compliance with federal guidelines.
Change: Agency staff indicate this series is no longer created.-- mwiget, 19 December 2014

Shelter Survey Files (Series 0145-034)
Description: Studies conducted by the division staff which identified the number and nature of fallout shelters and reception care facilities available in each county for use in the event of a disaster.
Change: Series is obsolete.-- mwiget, 19 December 2014

173-001
Department of Administration
Office of the Secretary

Comparable Worth Report Material (Series 0011-173)
Description: Records contain the research material for a report on comparable worth
done by the Secretary of Administration's office. The report was published in November 1984.
Change: Agency staff indicate this series is no longer created.-- mwiget, 28 October 2014

EEO Files (Series 0016-173)
Description: Miscellaneous records documenting the establishment of the Equal Employment Opportunity office.
Change: Agency staff indicate this series is no longer created.-- mwiget, 28 October 2014

K.C.C. vs. Southwestern Bell Case Records (Series 0019-173)
Description: Records are related to a case brought against Southwestern Bell Telephone by the Kansas Corporation Commission.
Change: Series is obsolete.-- mwiget, 29 October 2014

Recreational Vehicle Case Study Records (Series 0027-173)
Description: Records contain correspondence and other material related to a case study done by the Secretary of Administration's office on tie downs for mobile homes in the state.
Change: Agency staff indicate this series is no longer created.-- mwiget, 29 October 2014

Romesburg vs. EEO Case Records (Series 0029-173)
Description: These records document a case that was recently closed. The case involved a suit brought against a division of the Department of Administration by a state employee.
Change: Series is obsolete.-- mwiget, 29 October 2014

Santa Fe Building Sale Records (Series 0030-173)
Description: Escrow sale records and contracts involved in the sale of the Santa Fe Building to the State are included in this file.
Change: Agency staff indicate this series is no longer created.-- mwiget, 29 October 2014

Ready for SRB

173-011
Department of Administration
Legal Services

Civil Service Board Appeal Records (Series 0010-173)
Description: Records document appellant actions brought before the Civil Service Board.
Change: Superseded by 0071-000, Litigation Case Files.-- mwigt, 02 December 2014

Labor Relations File (Series 0940-173)
Description: Agency and subject file compiled on labor relations and maintained for convenience of reference.
Change: Superseded by 0113-000, Technical Reference Files.-- mwigt, 28 October 2014

Litigation Case Files (Series 0941-173)
Description: Documents relating to individual litigation involving the Department of Administration.
Change: Superseded by 0071-000, Litigation Case Files.-- mwigt, 28 October 2014

Memoranda of Understanding or Agreement - Interagency (Series 0704-173)
Description: Background material and formal agreements reached between state, local, and/or federal agencies.
Change: Superseded by 0074-000 on general schedule.-- mwigt, 28 October 2014

296-008
Department of Labor
Legal Services

Case Files - Labor Relations (Series 0052-296)
Description: Hearing transcripts, exhibits, and orders relating to the determination of appropriate bargaining units, the conduct of representation elections, and the resolution of prohibited practice complaints.
Change: Revised sub-agency and records transfer procedures information-- mwigt, 31 December 2014

Case Files - Labor Relations - Copies (Series 0053-296)
Description: Hearing transcripts, exhibits, and orders relating to the determination of appropriate bargaining units, the conduct of representation elections, and the resolution of prohibited practice complaints.
Change: Revised sub-agency information.-- mwigt, 31 December 2014
Superseded series

034-002
Adjutant General’s Department
Office for State Personnel

Correspondence - Routine (Series 0001-034)
Description: Incoming and outgoing letters and memoranda which pertain only to
routine matters handled in accordance with existing policy and procedures: requests
for information, letters of transmittal, etc.
Change: Superseded by 0028-000.-- mwiget, 10 December 2014

Employee Personnel Files (Series 0002-034)
Description: Documents associated with employment of specific personnel: employee
evaluation forms, applications for employment, INS residence status forms, and other
personnel materials.
Change: Superseded by 0036-000.-- mwiget, 10 December 2014

Employee Position Descriptions (Series 0003-034)
Description: Formal descriptions of duties and other characteristics of particular
employment positions: DA forms 281-2 and supporting documents.
Change: Superseded by 0038-000.-- mwiget, 10 December 2014

Employee Time Report Records (Series 0004-034)
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 by 0039-000.-- mwiget, 10 December 2014

Employee Training Files (Series 0005-034)
Description: Documents relating to professional development courses or conferences
attended by staff members.
Change: Superseded by 0041-000.-- mwiget, 10 December 2014

Employment Applications - Not Hired (Series 0006-034)
Description: DA forms 203 and supplementary materials submitted by unsuccessful
applicants for employment.
Change: Superseded by 0043-000 on general schedule.-- mwiget, 10 December 2014

Equal Employment Opportunity Plans (Series 0007-034)
Description: Documents relating to agency compliance with laws and regulations concerning EEO/AA plans including agency characteristic plan.
Change: Superseded by 0046-000.-- mwiget, 10 December 2014

Payroll Adjustment Records (Series 0013-034)
Description: Copies of documents and supporting materials used to make adjustments in agency payroll accounts: forms AR-9, AR-10, DA-10, DA 10-A, DA-21 series, DA 171 thru 177, DA 251 thru 262.
Change: Superseded by 0077-000.-- mwiget, 10 December 2014

Payroll Deduction Authorization Records - General (Series 0014-034)
Description: Documents used to authorize various deductions from an employee's pay: insurance enrollments, GHI enrollments, KPERS enrollments, KPERS Annual Account Statements, dues.
Change: Superseded by 0078-000.-- mwiget, 10 December 2014

Schedules - Office Activities (Series 0016-034)
Description: Internal forms, appointment books, paper and electronic calendars used to schedule employees, office activities, vehicles, meeting rooms, etc."
Change: Superseded by 0099-000.-- mwiget, 10 December 2014

Subject Files (Series 0017-034)
Description: Office copies of documents relating to personnel matters retained for convenience of reference.
Change: Superseded by 0113-000, Technical Reference Files.-- mwiget, 10 December 2014

Vehicle Operation Records (Series 0021-034)
Description: Documents related to the use of state-owned motor vehicles: MP forms 1a, 2c, 3a, 3b, 10, 20, and internal agency forms.
Change: Superseded by 0120-000.-- mwiget, 10 December 2014

034-004
Adjoint General's Department
Comptroller's Office

Payroll Deduction Authorization Records - General (Series 0047-034)
Description: Documents used to authorize various deductions from an employee's pay: insurance enrollments, GHI enrollments, KPERS enrollments, KPERS Annual Account Statements, dues deduction forms, etc.
Change: Superseded by 0078-000.-- mwiget, 10 December 2014

Requisition and Payment Register (Series 0050-034)
Description: Register recording payments for miscellaneous expenses maintained for convenience of reference.
Change: Superseded by 0001-000, Accounts Payable Records, on the general schedule.-- mwiget, 11 December 2014

Utilities Payments Log (Series 0060-034)
Description: Log listing the payments made by the armories and bases for utilities which is used to monitor costs and assist with the budget process.
Change: Superseded by 0001-000, Accounts Payable Records, on the general schedule.-- mwiget, 11 December 2014

Voucher Index (Series 0061-034)
Description: Numerical index to the various vouchers maintained for convenience of reference.
Change: Superseded by 0001-000, Accounts Payable Records, on the general schedule.-- mwiget, 11 December 2014

034-008
Adjutant General's Department
Division of Emergency Preparedness
Deputy Director

Annual Reports (Series 0084-034)
Description: General and specific reports on agency activities.
Change: Superseded by 0005-000.-- mwiget, 11 December 2014

Correspondence - Policy Related (Series 0095-034)
Description: Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.
Change: Superseded by 0027-000.-- mwiget, 11 December 2014

Correspondence - Routine (Series 0100-034)
Description: Incoming and outgoing letters and memoranda which pertain only to
routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.
Change: Superseded by 0028-000.-- mwaget, 11 December 2014

Employee Personnel Files - Office Copies (Series 0115-034)
Description: Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, etc.) maintained for convenience of reference.
Change: Superseded by 0037-000.-- mwaget, 11 December 2014

Legislative Relations Files (Series 0127-034)
Description: Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, and other miscellaneous documents related to various legislative activities.
Change: Superseded by 0069-000.-- mwaget, 11 December 2014

Speeches and Writings (Series 0146-034)
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 by 0103-000.-- mwaget, 12 December 2014

Emergency Operations Training

Employee Personnel Files - Office Copies (Series 0113-034)
Description: Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, etc.) maintained for convenience of reference.
Change: Superseded to 0037-000.-- mwaget, 12 December 2014

Fiscal Section

Budget Preparation Files - Annual (Series 0087-034)
Description: Documents used in the preparation of the annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.
Change: Superseded by 0016-000.-- mwaget, 12 December 2014

Budget Requests and Appeals - Annual (Series 0088-034)
Description: Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 thru 518 and associated supporting documents.
Correspondence - Policy Related (Series 0097-034)
Description: Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.
Change: Superseded by 0027-000.-- mwiget, 12 December 2014

Correspondence - Routine (Series 0098-034)
Description: Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.
Change: Superseded by 0028-000.-- mwiget, 12 December 2014

Employee Personnel Files - Office Copies (Series 0114-034)
Description: Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, etc.) maintained for convenience of reference.
Change: Superseded by 0037-000.-- mwiget, 15 December 2014

Employee Time Report Records (Series 0116-034)
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 by 0039-000.-- mwiget, 15 December 2014

Ledgers - General (Series 0126-034)
Description: General records maintained by agencies of financial receipts and expenditures normally used to monitor, manage, and verify agency budget.
Change: Superseded by 0068-000.-- mwiget, 15 December 2014

Purchasing Records (Series 0135-034)
Description: Documents related to the purchase of goods and services: correspondence, vouchers, invoices, ledger books and cards, requisitions, etc.
Change: Superseded by 0093-000.-- mwiget, 15 December 2014

Statements of Lost Warrants (Series 0149-034)
Description: Copies of DA form 6 used to request re-issues of lost warrants.
Change: Superseded to 0107-000.-- mwiget, 17 December 2014

Technological Hazards
Budget Preparation Files - Annual (Series 0086-034)
Description: Documents used in the preparation of the annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.
Change: Superseded by 0016-000.-- mwiget, 19 December 2014

Correspondence - Policy Related (Series 0096-034)
Description: Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.
Change: Superseded to 0027-000.-- mwiget, 19 December 2014

Correspondence - Routine (Series 0099-034)
Description: Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.
Change: Superseded to 0028-000.-- mwiget, 19 December 2014

Purchasing Records (Series 0136-034)
Description: Documents related to the purchase of goods and services: correspondence, vouchers, invoices, ledger books and cards, requisitions, etc.
Change: Superseded by 0093-000.-- mwiget, 19 December 2014

Visitors Log (Series 0162-034)
Description: Log maintained of visitors entering the calibration room for radiological kits as a precaution against unnecessary exposure to radiation.
Change: Superseded by 0122-000.-- mwiget, 22 December 2014

173-001
Department of Administration
Office of the Secretary

Agency Files - Secretary of Administration (Series 0001-173)
Description: These files contain correspondence between the Secretary of Administration and other state agencies.
Change: Superseded by 0027-000 and 0028-000 on general schedule.-- mwiget, 28 October 2014

Alleged Vehicle Misuse File (Series 0002-173)
Description: Records are maintained to document alleged misuse of state vehicles by
state employees. Included is a card file which contains one 3x5 card for each state employee named in each alleged violation.  
Change: Superseded by 0120-000 on general schedule.-- mwiget, 13 November 2014

Background/Reference Material by Subject, Policy/Labor Relations Staff Member (Series 0004-173)  
Description: This file contains a variety of reference material including correspondence and Staff member's notes.  
Change: Superseded to 0113-000, Technical Reference Files.-- mwiget, 02 December 2014

Budgets - Department of Administration (Series 0005-173)  
Description: These files contain the budgets of the Department of Administration in total, not the budgets of the individual divisions. Also included are issue papers and other budget material.  
Change: Superseded by 0016-000 and 0017-000 on general schedule.-- mwiget, 28 October 2014

Capitol Area Plaza Authority (CAPA) Records (Series 0006-173)  
Description: Correspondence, minutes, and reference material which document the activities of the Capitol Area Plaza Authority. CAPA was established in 1972 to succeed the Capitol Area Planning Commission and is  
Change: Superseded by 0022-000, Committee Files.-- mwiget, 28 October 2014

Capitol Restoration and Renovation Plans (Series 1042-173)  
Description: Project start-up studies, contracts, correspondence, staff reports, budgets, etc. relating to the restoration and renovation of the state capitol.  
Change: Superseded by 0020-000, Capital Improvement Projects files.-- mwiget, 28 October 2014

Child Care Needs Survey Records (Series 0009-173)  
Description: Records contain questionnaires completed by state employees. The questionnaires were part of a January 1986 survey conducted by the Secretary of Administration's office on child care needs.  
Change: Superseded by 0029-000 on general schedule.-- mwiget, 28 October 2014

Correspondence - Policy Related (Series 0012-173)  
Description: These file contain correspondence between the Secretary of Administration, and divisions and other state agencies.  
Change: Superseded by 0027-000 on general schedule.-- mwiget, 28 October 2014
Deeds to State Properties (Series 0014-173)
Description: Records consist of the original titles and deeds to state-owned properties.
Change: Superseded by 0033-000 on general schedule.-- mwiget, 28 October 2014

Division Files - Secretary of Administration (Series 0015-173)
Description: Inter-departmental correspondence. Also included are copies of significant correspondence involving the other departmental divisions.
Change: Superseded by 0027-000 and 0028-000 on general schedule.-- mwiget, 28 October 2014

Legislative Relations Files (Series 0021-173)
Description: Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, and other miscellaneous documents related to various legislative activities.
Change: Superseded by 0069-000 on general schedule.-- mwiget, 29 October 2014

Legislative Relations Files - Chief Attorney (Series 0020-173)
Description: Records used to track legislation: bill notes, draft bills, other legislative material, and Chief Attorney's personal notes on the legislation.
Change: Superseded by 0069-000 on general schedule.-- mwiget, 29 October 2014

Litigation Files - Chief Attorney (Series 0022-173)
Description: These file contain records for cases in which the Chief Attorney is/was directly involved, and for cases in which the state is/was involved with the Chief Attorney only indirectly involved.
Change: Superseded by 0071-000 on general schedule.-- mwiget, 29 October 2014

Memoranda of Understanding or Agreement - Interagency (Series 0023-173)
Description: Copies of memoranda of agreements between the state, state agencies, and employee labor organizations. Also included are staff member's notes.
Change: Superseded by 0074-000 on general schedule.-- mwiget, 29 October 2014

Public Broadcasting Commission Records (Series 0026-173)
Description: Records document activities of Public Broadcasting Commission, formerly known as Public TV Board. Examples: minutes; applications for federal grants; and history, studies and news articles concerning
Change: Superseded by 0075-000, 0049/0050-000, 0001-000 on general schedule.-- mwiget, 29 October 2014

Setoff Hearing Files - Open and Closed (Series 0031-173)
Description: Recoupment of money owed to the state by individual state employees.
Such as money owed for child support and unemployment compensation. Included is a card file containing one 3x5 card for each debtor.  
Change: Superseded by 0002-000, Accounts Receivable records, on the general schedule.-- mwiget, 29 October 2014

Special Assessments and Easements File (Series 0032-173)  
Description: This attorney file contains copies of easements, correspondence, and staff attorneys' notes.  
Change: Superseded by 0020-000, Capital Improvement Projects files.-- mwiget, 29 October 2014

State Finance Council Minutes (Series 0033-173)  
Description: Records document the activities of the State Finance Council. The Secretary of Administration serves as the Secretary of the Council.  
Change: Superseded by 0015-000 and 0075-000 on general schedule.-- mwiget, 29 October 2014

Subject Files - Secretary of Administration (Series 0034-173)  
Description: Correspondence between the Secretary of Administration and the Governor, and between the Secretary and legislators. Also, Governor's cabinet meeting minutes and subcommittee meeting minutes.  
Change: Superseded by 0069-000 and 0075-000 on general schedule.-- mwiget, 29 October 2014

ADA Coordinator

Administrative Files - ADA Coordinator (Series 1047-173)  
Description: Correspondence, annual reports, budget materials, etc. relating to the policies and activities of the ADA coordinator program.  
Change: Superseded by 0108-000 on general schedule.-- mwiget, 30 October 2014

Agency Self-Evaluation and Transition Plans (Series 1048-173)  
Description: Correspondence, status reports, ADA Barrier Reports, training material, self-evaluations, etc. submitted by state agencies to the ADA Coordinator documenting access barriers and demonstrating agency accomplishments, progress and compliance with ADA requirements.  
Change: Superseded by 0108-000 on general schedule.-- mwiget, 30 October 2014

Subject Files - ADA Coordinator (Series 1049-173)  
Description: Variety of documents relating to conferences, interests and published material and maintained for convenience of reference.
Change: Superseded by 0088-000 on general schedule.-- mwiget, 30 October 2014

Web Accessibility Subcommittee Files (Series 1050-173)
Description: Documents relating to the on-going state agency-wide subcommittee created to ensure web accessibility compliance with ADA requirements.
Change: Superseded by 0022-000 on general schedule.-- mwiget, 30 October 2014

173-004
Department of Administration
Personnel Services
Legal and Labor Relations Section

Civil Court Cases (Series 0938-173)
Description: Correspondence and supporting documentation relating to specific civil court cases involving the Division of Personnel Services.
Change: Superseded by 0071-000, Litigation Case Files.-- mwiget, 28 October 2014

Correspondence - Routine (Series 0700-173)
Description: Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.
Change: Superseded by 0028-000 on general schedule.-- mwiget, 28 October 2014

Employee Grievance Files (Series 0939-173)
Description: Documents relating to personnel actions taken by and against employees such as hearings, appeals, grievances, and disciplinary actions.
Change: Superseded by 0071-000, Litigation Case Files.-- mwiget, 28 October 2014

Public Employee Relations Board Files (Series 0705-173)
Description: Documents regarding the establishment and modification of organized bargaining units (unit classification files) and records regarding grievances filed in those units.
Change: Superseded by 0074-000 (memoranda of agreement), 0036-000, and 0037-000 (employee personnel files) on the general schedule.-- mwiget, 02 December 2014

652-102
Kansas State Department of Education
Financial Services & Quality Control

Correspondence - Routine (Series 0066-652)
Description: Letters sent or received which are related to child nutrition programs funded by the state and federal governments.
Change: Superseded by 0028-000.-- mwiget, 30 December 2014

Vouchers - Food Service Claims (Series 0181-652)
Description: Computer printouts generated from food service vouchers submitted by schools to KSBE.
Change: Superseded by 0001-000, Accounts Payable Records, on the general schedule. - mwiget, 30 December 2014