AGENDA
STATE RECORDS BOARD
1/17/2018
8:30 a.m.
Kansas State Historical Society
Center for Historical Research
6425 SW 6th Ave.
Executive Conference Room, 2nd Floor

Call-in Information:
Dial-In Number: 1-866-620-7326
Conference Code: 6716824065

1. Introductions and Announcements
2. Minutes from Previous Meeting
3. Attorney General
   a. New Series
   b. Revised Series
4. State General Schedule
   a. Revised Series
5. Local General Schedule
   a. Revised Series
6. Housekeeping Changes:
   a. Revised Series
      • State General Schedule
      • Local General Schedule
      • Attorney General
      • Insurance Department
      • Sentencing Commission
      • Department of Administration
      • Board of Optometry Examiners
      • Department of Health and Environment
   b. Superseded to the General Schedule
      • Kansas Bureau of Investigation
      • Insurance Department
      • Sentencing Commission
      • Board of Technical Professions
      • Water Office
      • Department of Administration
7. Other Business:
   a. Future Meetings:
      • April 18, 2019
      • July 25, 2019
      • October 17, 2019
Meeting called to order at 8:40 a.m. and Ms. Mendoza began the introductions. Ms. Rohleder requested an addition to the other business section. Ms. Rohleder wanted to update the board regarding the public records trainings completed by the Kansas Historical Society.

Minutes: Previous meeting minutes were reviewed.

Motion: Mr. Sowers moved approval of meeting minutes as presented. Mr. Michael seconded, unanimous approval of July 19, 2018 meeting minutes.

Kansas State University: Mr. Anderson presented the two proposed new records series. The board determined that the restrictions for “Patron Suggestions and Comments Form” be reworded to state, “Portions may be restricted under K.S.A. 45-221(a)(4)(8)(23)”. No further discussion.

Motion: Mr. Veatch moved to approve “Conflict of Interest Records” as presented and “Patron Suggestions and Comments Form” as amended. Mr. Sowers seconded, unanimous approval.

Housekeeping: Mr. Anderson briefly went over the housekeeping changes and board accepted as presented.

Other Business: Ms. Rohleder provided the board an update of the FY2019 public records training presentations completed and future scheduled meetings. Indicated that 72% of the counties have now been reached within the last 4 months.

Mr. Veatch updated the board on some internal organizational changes at the State Archives due to retirements and to streamline services.
Mr. Veatch then moved on to discuss the Kansas Information Technology Advisory Board (ITAB) Email Guidelines. Mr. Veatch provided a brief presentation on the history of Kansas Information Technology Executive Council (ITEC) and ITAB. Mr. Veatch indicated that the ITAB Guidelines were drafted by the Electronic Records Committee, a subcommittee of ITAB. Guidelines were approved in 2002 by both ITEC and the State Records Board and are now out of date with current technologies. Mr. Veatch also indicated that the Executive Chief Information Technology Officer (ECITO) had requested the guidelines be updated. Mr. Veatch presented a proposed make-up of members for the Email Guidelines Task Force, Capstone, and a timeline for completing. The board provided additional input on members to possibly include on the task force and in full support of updating the guidelines.

The final order of business was to confirm next meeting. Due to scheduling conflict, the next meeting will be determined at a later date.

With nothing further to discuss, the board adjourned at 10:11 a.m.
1. **Agency:** Office of the Attorney General

2. **Records Officer:** Lisa Mendoza  
   **Phone:** 785-368-8063

3. **Appraising Archivist(s):** Ethan Anderson

4. **Date of Appraisal:** 1/9/2019

5. **a) Total records – No. of Series:** 3
   
   **b) New series – No. of Series:** 2
   
   **c) Revised existing series – No. of Series:** 1
   
   **d) Obsolete schedule entries – No. of Series:** 0
   
   **e) Series superseded by other schedule entries – No. of Series:** 0

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

7. **Appraisal Narrative:**

   Lisa Mendoza contacted Public Records staff with a request to revise Series 0139-082 and create two new series for the Attorney General's Office. Series 0139-082 contains changes in the description and comments sections as well as two additional restrictions: (14) and (20). Two new series related to business registrations have also been proposed to reflect current agency practices. The electronic records of these series are associated with LawBase, which was approved by the Electronic Records Committee on January 9, 2013.
Retention/Disposition Schedule Entries

082-007
Office of the Attorney General
Consumer Protection Division

Complaint Files (Series 0139-082)
Complaint forms, initial correspondence, photos, notes, reports and other supporting
documentation relating to consumer complaints, investigations (including multi-state), and other
actions taken by the division, including dispositions not resulting in litigation or enforcement
efforts.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Comments: Record copy may be paper or electronic. Materials, including records obtained
from others, may be returned to their source or otherwise disposed of in accordance with court
order, court rule, or agreement. At the close of an investigation, the AG may destroy or return to
the original source those records which were obtained by confidentiality agreement; original
photos not covered by a confidentiality agreement may be returned to the source, provided
photocopies are retained in the file. Retain remaining paper documents until scanned into system
and until quality assurance is performed, then destroy. Digital images in system are retained 5
calendar years, then destroyed. Complaints and investigations resulting in litigation or
enforcement efforts become Case Files, 0172-082, and follow that schedule entry.

Schedule Authority: Agency Schedule
KAR Number 53-2-166
Last Surveyed 21 January 2011
Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed
Remarks: Revised entry. Shortened retention (from 5 on-site, 5 at records center). Changed
disposition. Supersedes Charitable Organization Information Files (0138-082). 1/25/10:
Revised to cover change in format; covered by Electronic Recordkeeping Plan.
1/21/2011: Revised Description to include "Materials...".
08/28/2013 mwiget: Board discussed this series at July 2013 meeting, determined paper records
should follow electronic disposition.
01/10/2019 eanderson: Revised description, comments, and added restrictions (14) and (20).
Retention/Disposition Schedule Entries

082-014
Office of the Attorney General
Roofing

Roofing Registration Files (Series Unknown)
Applications, renewals, affidavits, correspondence, and other supporting documentation relating to individuals and businesses seeking to apply for a roofing registration certificate or an exemption.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: See Comments
Disposition: Destroy
Comments: Retain remaining paper documents until scanned into system and until quality assurance is performed, then destroy. Digital images in system are retained 10 calendar years, then destroyed. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.
Schedule Authority: Agency Schedule
Last Surveyed 09 January 2019
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed

082-XXX
Office of the Attorney General
Multiple subunits/subunit not defined

Registry of Businesses (Series Unknown)
Reports listing business names, registration status, owner name, and business location of entities/individuals required to register with the Attorney General’s Office, including those involving roofing, private investigators, scrap metal, and bail enforcement.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until superseded, then destroy.
Schedule Authority: Agency Schedule
Last Surveyed 09 January 2019
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed
1. **Agency:** State General Schedule

2. **Records Officer:** Phone:

3. **Appraising Archivist(s):** Ethan Anderson

4. **Date of Appraisal:** 11/29/2018

5. **a) Total records – No. of Series:** 1

   **b) New series – No. of Series:** 0

   **c) Revised existing series – No. of Series:** 1

   **d) Obsolete schedule entries – No. of Series:** 0

   **e) Series superseded by other schedule entries – No. of Series:** 0

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

7. **Appraisal Narrative:**

   While updating agency retention schedules, it came to the appraising archivist’s attention that the series Equal Employment Opportunity Grievance Files listed different restrictions on the State General Schedule and the Local General Schedule. To correct this issue and promote uniformity, the addition of KSA 45-221(a)(25) is proposed for the State General Schedule entry.
### Retention/Disposition Schedule Entries

**000-005**  
State General Retention and Disposition Schedule  
Personnel

**Equal Employment Opportunity Grievance Files** (Series 0045-000)  
Documents related to discrimination charges concerning employment made against an agency and subsequent investigations.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** See Comments  
**Disposition:** Archives  
**Restrictions:** K.S.A. 45-221(a)(4)(11)(25)  
**Comments:** Retain 5 years after grievance is settled, then transfer to the archives.  
**KAR Number:** 53-2-090  
**Last Surveyed:** 17 September 1990  
**Record Copy:** Unknown  
**Remarks:** 11/29/2018 eanderson: Added restriction (25)
1. **Agency:** Local General Schedule

2. **Records Officer:**

3. **Appraising Archivist(s):** Ethan Anderson

4. **Date of Appraisal:** 11/29/2018

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

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

7. **Appraisal Narrative:**

   While updating agency retention schedules, it came to the appraising archivist’s attention that the series Equal Employment Opportunity Grievance Files listed different restrictions on the State General Schedule and the Local General Schedule. To correct this issue and promote uniformity, the addition of KSA 45-221(a)(4) is proposed for the Local General Schedule entry.
Retention/Disposition Schedule Entries

000-100
Local Government Records
General Schedule/All Offices

Equal Employment Opportunity Grievance Files (Series 0034-100)
Documents related to discrimination charges concerning employment made against an office and subsequent investigations.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Permanent
Restrictions: KSA 45-221(a)(4)(11)(25)
Comments: Retain 5 years after grievance is settled, then transfer to permanent storage.
Schedule Authority: General Schedule
KAR Number: 53-2-116
Last Surveyed: 08 January 2007
Record Copy: Unknown
Remarks: 11/29/2018 eanderson: Added restriction (4)
Housekeeping Changes Since 18 October 2018
17 January 2019

Housekeeping Edit

000-003
State General Retention and Disposition Schedule
Communications

Notices of Meetings (Series 0227-000)
Description: Records related to notifying the public regarding an open meeting, including those notices mandated through the Kansas Open Meetings Act (KOMA).

000-100
Local Government Records
General Schedule/All Offices

Americans with Disabilities Act (ADA) Documentation (Series 0242-000)
Description: Employee requests for reasonable accommodations and doctor’s explanations as required for compliance with the Americans with Disabilities Act. Includes information regarding what is needed to make reasonable accommodations for individuals. Also includes any questions employees might have as well as documentation of any meetings, notifications, communications and training materials. Records may be paper or electronic.

Family and Medical Leave Act (FMLA) Records (Series 0245-000)
Description: Forms and documentation for FMLA determinations for individual employees. Records may be paper or electronic.

Underground Storage Tank Inspections (Series 0247-000)
Description: Reports the monthly tank readings on underground storage tanks to document a facility’s routine procedures such as leak detection, inventory control, tightness testing, monitoring and other activities required to prevent product releases into the environment as required by the Underground Storage Tank Act and 40 CFR 280.45. These are reported to the KDHE Storage Tank Section monthly.

082-010
Office of the Attorney General
Legal Opinions & Gov’t Counsel (LOGIC) Division

Racial or Other Biased Based Policing Complaint Files (Series 0724-082)
Description: Complaint forms, correspondence, photos, notes, reports, criminal history summaries, arrest and conviction information, audio and audio/video recordings, and other supporting documentation relating to complaints and actions taken on complaints; includes referrals made to Kansas Commission on Peace Officers Standards and Training (KS-CPOST) for review.

082-XXX
Office of the Attorney General
Multiple subunits/subunit not defined

Case Files (Series 0172-082)
Description: Pleadings/filings, research, case notes, interviews, correspondence, contracts, billings, complaint forms, appeal files, and other supporting documentation relating to criminal, consumer (including roofing registration), antitrust, medicaid fraud, fraud abuse litigation, and civil cases. Includes cases handled by outside counsel, charitable trust, and amicus curiae cases, as well as consumer protection enforcement actions and multi-state actions. Does NOT include any case files specifically outlined in other divisions, including but not limited to Cases on Appeal, Outstanding Warrants cases, Case Files-No-Charge Reports, Homicide cases, and Sex Offense cases.

331-002
Insurance Department
Legal Division

Fraud Investigation/Prosecution/General Files (Series 0022-331)
Description: Files maintained during investigation and prosecution of companies for fraudulent acts as defined by statute.

Litigation Case Files (Series 0023-331)
Description: Documents relating to lawsuits in which the Insurance Department is involved as a litigant.

Workers’ Compensation Fund Files (Series 0027-331)
Description: Files containing appointment letters, accident reports, correspondence with counsel and legal documents concerning workers’ compensation second injury fund claims.

331-008
Insurance Department
Property and Casualty Division

Company Files - Terminated (Series 0052-331)
Description: Specimen policies, rates, correspondence, and other documents relating to fire and casualty insurance companies whose certificate of authority to conduct
business in Kansas has been terminated.

Excess Lines - Annual Financial Statements (Series 0054-331)
Description: Initial financial statements filed by non-admitted companies authorized to conduct business in Kansas and letters requesting authorization to conduct business

626-001
Sentencing Commission
Administration

Child Tracking Systems Printouts (Series 0006-626)
Description: Statistical reports listing the number of juveniles in temporary custody committed to the Secretary of DCF, and commitment to the youth centers.

Journal Entries (Series 0016-626)
Description: Copies of journal entries filed in the district courts which provide an abstracted version of the civil or criminal case file.

173-004
Department of Administration
Personnel Services
Management Staff Services Section

KIPPS Personnel Data (Series 0720-173)
Description: Computer printout generated as an employee work history listing employment, length of service, and evaluation data maintained to ensure a smooth transition from KIPPS to the SHaRP computer system.

Kansas Quality Management (KQM) Files (Series 0718-173)
Description: Variety of documents relating to the planning and implementation of KQM for the agency.

488-001
Board of Optometry Examiners

National Board Records (Series 0026-488)
Description: Scores received from the National Board of Optometry.

Non-COPE Continuing Education Records (0027-488)
Description: Records contain application for continuing education (CE) approval, outline/PowerPoint of CE and CV of instructors, and approval by the Board of Optometry Examiners that have not been approved by COPE (Council on Optometric Practitioner Education).
264-004
Department of Health and Environment
Division of Health and Environmental Laboratories

Clinical Laboratory Certification Records (Series 0402-264)
Description: Documents concerning hospital and clinical laboratories surveyed for Medicare certification, hospital licensure, including survey reports, & proficiency testing results.

Superseded series

083-001
Kansas Bureau of Investigation
Director's Office
Director

Agency Director's Files (Series 0002-000)
Description: Correspondence, reports, budgets, etc. relating to the administration and operation of the agency.

083-002
Kansas Bureau of Investigation
Associate Director
Legal Services

Contracts (Series 0106-000)
Description: Legal agreements with individuals and organizations. Includes all associated documents, eg. DA-146 series.

Legislative Relations Files (Series 0022-000)
Description: Copies of bills, drafts of legislation, notes, correspondence, testimony, etc. relating to various legislative activities.

Request for Access to Records (Series 0031-000)
Description: Documents related to requests for access to state agency records and agency responses prepared pursuant to KSA 45-218.

Public Information Officer

Clippings Files (Series 0110-000)
Description: Newspaper clippings compiled regarding agency activities.
Press Releases (Series 0086-000)
Description: Public information issued to the news media.

Publications (Series 0113-000)
Description: Internally produced newsletters, pamphlets, leaflets, and brochures distributed to inform a constituency about the activities of the agency.

083-003
Kansas Bureau of Investigation
Special Operations Division

Memoranda of Understanding or Agreement - Interagency (Series 0024-000)
Description: Formal agreements reached between state, local, and/or federal agencies.

331-000
Insurance Department
All Divisions

Correspondence - Routine (Series 0009-331)
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.

626-001
Kansas Sentencing Commission
Administration

Accounts Payable Records (Series 0001-626)
Description: Documents related to payment for goods and services: vouchers, correspondence, invoices, ledger books and cards, etc.

Accounts Receivable Records (Series 0002-626)
Description: Documents related to the collection of payments due the agency: copies of invoices, correspondence, DA forms 32, etc.

Annual and Special Reports (Series 0003-626)
Description: General and specific reports on agency activities.

Budget Preparation Files - Annual (Series 0004-626)
Description: Documents used in the preparation of the annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.
Correspondence - Policy Related (Series 0009-626)
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.

Correspondence - Routine (Series 0010-626)
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.

Employee Personnel Files (Series 0012-626)
Description: Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, and other personnel materials.

Employee Time Report Records (Series 0013-626)
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.

Legislative Relations Files (Series 0019-626)
Description: Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, and other miscellaneous documents related to various legislative activities.

Mailing Lists (Series 0020-626)
Description: Lists of names and addresses to whom mail is regularly sent.

Minutes (Series 0021-626)
Description: Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.

Payroll Warrant Registers (Series 0023-626)
Description: Monthly listing of warrant checks issued to state agency employees for payroll purposes.

Publications (Series 0024-626)
Description: Internally produced newsletters, pamphlets, leaflets, and brochures distributed to inform a constituency about the activities of the agency.

SHaRP Reports (Series 0026-626)
Description: Computer reports concerning agency payroll issued on a periodic basis from the Division of Accounts and Reports to agencies in the Statewide Human Resources and Payroll Project.

STARS Reports: Daily Financial (Series 0028-626)
Description: Computer reports regarding agency financial status issued on a monthly
basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.

STARS Reports: Monthly Financial (Series 0029-626)
Description: Computer reports regarding agency financial status issued on a monthly basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.

STARS Reports: Yearly Financial (Series 0030-626)
Description: Computer reports regarding agency financial status issued on a yearly basis from the Division of Accounts and Reports to the Statewide Accounting and Reporting Systems.

Technical Reference Files (Series 0032-626)
Description: Copies of documents retained strictly for convenience of reference that are not part of official files: copies of external reports, studies, periodicals, books, brochures, catalogs, vendor lists, etc.

Telecommunications Logs (Series 0033-626)
Description: Registers recording incoming and outgoing telephone calls of the agency.

626-002
Kansas Sentencing Commission
Criminal Justice Coordinating Council

Minutes (Series 0036-626)
Description: Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.

663-001
Board of Technical Professions

Legislative Relations Files (Series 0012-663)
Description: Records related to the passage of legislation and audits by the Legislative Division of Post-Audit.

Minutes (Series 0014-663)
Description: Proceedings of the Board of Technical Professions and those boards it has superseded.

Office Administration Records (Series 0015-663)
Description: Records created and maintained relating to office "housekeeping" activities: vouchers, CASK and KIPPS reports, contracts, telephone records, etc.
Personnel/Payroll/Travel Records (Series 0016-663)
Description: Records related to payroll and personnel management for the agency.

709-001
Kansas Water Office

Accounts Payable Records (Series 0001-709)
Description: Documents related to payment for goods and services: vouchers, correspondence, invoices, ledger books and cards, etc.

Accounts Receivable Records (Series 0002-709)
Description: Documents related to the collection of payments due the agency: copies of invoices, correspondence, DA forms 32, etc.

Annual Reports - Kansas Water Authority (Series 0004-709)
Description: Annual reports to the governor and legislature containing recommendations on the implementation of the State Water Plan.

Budget Preparation Files - Annual (Series 0007-709)
Description: Documents used in the preparation of annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.

Contracts (Series 0011-709)
Description: Legal agreements with individuals and organizations. Includes all associated documents, e.g., DA-146 series.

Correspondence - Policy Related (Series 0012-709)
Description: Incoming and outgoing letters and memoranda relating to the policies and activities of the Kansas Water Authority.

Correspondence - Routine (Series 0013-709)
Description: Incoming and outgoing letters and memoranda pertaining to fiscal and accounting issues.

Employee Personnel Files (Series 0015-709)
Description: Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, INS Residence Status forms, and other personnel materials.

Equal Employment Opportunity Plans (Series 0017-709)
Description: Documents related to agency compliance with laws and regulations concerning EEO/AA plans including the agency characteristic plan.
Inventory Records - Non-Expendable Property (Series 0020-709)
Description: Records related to capital equipment inventory management: DA forms 80 thru 83, computer reports from the Department of Administration, internal documents, correspondence, etc.

Ledgers - General (Series 0023-709)
Description: General records maintained by agencies of financial receipts and expenditures normally used to monitor, manage, and verify agency budget.

Meeting Materials - Kansas Water Authority (Series 0026-709)
Description: Copies of meeting minutes, agendas, memoranda, and other documents distributed at Kansas Water Authority meetings.

Memoranda of Understanding or Agreement - Interagency (Series 0027-709)
Description: Formal agreements reached between state, local, and/or federal agencies.

Minutes - Kansas Water Authority (Series 0028-709)
Description: Proceedings of regular or special meetings of the Kansas Water Authority.

Payroll Warrant Registers (Series 0033-709)
Description: Monthly listing of warrant checks issued to state agency employees for payroll purposes.

Photographic and Video Materials (Series 0034-709)
Description: Slides, videotapes, and audio cassettes used for public presentations on water related issues.

Property Disposition Records - Non-Expendable (Series 0036-709)
Description: Copies of DA forms 110 and supporting documents used to remove capital equipment from the agency inventory.

STARS Reports: Daily Financial (Series 0037-709)
Description: Computer reports regarding agency financial status issued on a daily basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.

STARS Reports: Monthly Financial (Series 0038-709)
Description: Computer reports regarding agency financial status issued on a monthly basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.

STARS Reports: Yearly Financial (Series 0039-709)
Description: Computer reports regarding agency financial status issued on a yearly basis from the Division of Accounts and Reports to the Statewide Accounting and Reporting Systems.
Travel Request and Authorization Records (Series 0047-709)
Description: Records related to employee travel: DA form 25 (Request for Out of State Travel) and various internal documents.

Vouchers - Receipts (Series 0048-709)
Description: Copies of documents used to transfer funds received by agencies from individuals and organizations into their particular accounts: forms DA-3 series.

173-004
Department of Administration
Personnel Services
Management Staff Services Section

Annual and Special Reports (Series 0709-173)
Description: General and specific reports on agency activities.

Legislative Relations Files (Series 0721-173)
Description: Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, and other miscellaneous documents related to various legislative activities.

Technical Reference Files (Series 0733-173)
Description: Copies of documents retained strictly for convenience of reference that are not part of official files: copies of external reports, studies, periodicals, books, brochures, catalogs, vendor lists, etc.

Vouchers – Receipts (Series 0734-173)
Description: Copies of documents used to transfer funds received by agencies from individuals and organizations into their particular accounts: forms DA-3 series.