AGENDA
STATE RECORDS BOARD
4/15/2021
8:30 a.m.
Virtual Meeting

Meeting Link: https://us02web.zoom.us/j/85964630468?pwd=QmFrcitYaVRLcEJLSDNid2JCVnpCdz09
Meeting ID: 859 6463 0468
Passcode: 545732
One tap mobile
+13462487799,,85964630468# US (Houston)
+16699009128,,85964630468# US (San Jose)
Dial by your location
  +1 346 248 7799 US (Houston)
  +1 669 900 9128 US (San Jose)
  +1 253 215 8782 US (Tacoma)
  +1 312 626 6799 US (Chicago)
  +1 646 558 8656 US (New York)
  +1 301 715 8592 US (Washington DC)
Meeting ID: 859 6463 0468
Find your local number: https://us02web.zoom.us/u/kc69U2ZzqW

1. Introductions and Announcements
2. Minutes from Previous Meeting
3. Board of Nursing
   a. New Series
4. State General Schedule
   a. Revised Series
5. Housekeeping Changes:
   a. Obsolete Series
      • State General Schedule
   b. Revised Series
      • State General Schedule
      • Board of Nursing
   c. Superseded Series
      • State General Schedule
6. Other Business:
   a. Future Meetings:
      • July 15, 2021
      • October 21, 2021
      • January 20, 2022
Participants: Lisa Mendoza, designee of the Attorney General (chair)
          Jennie Chinn, Executive Director (KSHS)
          Tanner Asbury, designee of the Secretary of Dept. of Administration (DofA)
          Brett Rurode, Cataloging Librarian (State Library)
          Megan Burton, Senior Archivist – Public Services (KSHS)
          Ethan Anderson, Government Records Archivist (KSHS)
          Carol Moreland, Executive Administrator (KSBN)
          Todd Standeford, Information Technology Director (KSBHA)
          Warran Wiebe, Deputy General Council (KSHBA)
          Ryan Leimkuehler, University Records Manager (KSU)
          Justin Whitten, Chief Council (KDOL)
          Sarah Fulton, Records Officer (KDOR)
          Pamela O’Neil, Alcohol Beverage Control (KDOR)
          Jerry Barta, Civil Tax Enforcement (KDOR)
          Robert Challquist, Attorney (KDOR)

Meeting called to order at 8:31 a.m. by Ms. Mendoza and introductions were made.

Minutes: Previous meeting minutes were reviewed.

  Motion: Mr. Asbury moved to approve the October 15, 2020 meeting minutes as submitted. Ms. Rurode seconded the motion. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, and Ms. Mendoza unanimously approved the previous meeting minutes as submitted.

Kansas State Board of Nursing: Ms. Burton presented a brief overview of the Hyland Perceptive Content (formerly known as ImageNow) ERP. Ms. Burton indicated that the Hyland company purchased the ImageNow software. The Hyland Perceptive Content system is the upgraded version of the previously approved ImageNow software. The board reviewed and had no further discussion.

  Motion: Ms. Chinn moved to approve as submitted. Mr. Asbury seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, and Ms. Moreland unanimously approved.
Mr. Anderson presented the revised records series 0021-482. Ms. Mendoza inquired what happens to the records if violations are found during the investigation. Ms. Moreland indicated that if violations were found that the records are then moved to a different series. The board determined that additional language be added to the description to clarify what happens to the records if violations are found during the investigative process.

**Motion:** Ms. Rurode moved to approve series as amended with additional language to be determined by staff and Ms. Moreland. Ms. Chinn seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, and Ms. Moreland unanimously approved.

*Kansas State Board of Healing Arts:* Ms. Burton explained to the board that Disciplinary Investigation Records system is essentially a cloud-based system that is only hosted on the KSBHA shared drive. No further discussion.

**Motion:** Mr. Asbury moved to approve the ERP as submitted. Ms. Chinn seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, and Mr. Standeford unanimously approved.

*Kansas Department of Revenue:* Mr. Anderson presented the new series “Drug Tax Records.” Ms. O’Neil indicated that the primary goal for scheduling this series is to be able to dispose of the backlog of old inactive records properly. Ms. O’Neil noted that although taxes were assessed, the agency was unable to collect due to the transient nature of the individuals that were assessed. Ms. O’Neil also clarified the process for how drug taxes are assessed by the Alcohol Beverage Control offices. Ms. Chinn inquired if these records are separate from individual criminal records. Ms. O’Neil stated that the tax assessments are civil assessments for illegal drug taxes due and not part of the criminal case records. No further discussion.

**Motion:** Ms. Chinn moved to approve as submitted. Ms. Rurode seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, Ms. Fulton unanimously approved.

*Kansas Department of Labor:* Mr. Anderson presented the new series “Benefit Claimant Calls.” The board reviewed. It was determined that an additional restriction of KSA 45-221(a)(30) be added to the restrictions. Mr. Whitten agreed. Ms. Chinn inquired if the 30-day retention period was adequate. Mr. Whitten confirmed that it was deemed sufficient by the business office. Ms. Burton noted that the retention period is just the minimum required retention period and that an agency can hold onto records longer if needed. No further discussion.

**Motion:** Mr. Asbury moved to approve the series as amended and Ms. Rurode seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, and Ms. Mendoza, Mr. Whitten all approved as amended.

*Kansas State University:* Mr. Anderson presented the two new series and revised series. Mr. Leimkuehler elaborated that global campus agreements and catalogs are separate from those
retained by the KSU registrar’s office. Mr. Leimkuehler also clarified the acronym “UFM” used to stand for “University of Man” but no longer stands for anything. No further discussion.

**Motion:** Ms. Chinn moved to approve the new series “K-State Global Campus Agreements” as submitted. Mr. Asbury seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, and Mr. Leimkuehler unanimously approved.

**Motion:** Mr. Asbury moved to approve revised series 0624-367 as submitted. Ms. Rurode seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, and Mr. Leimkuehler unanimously approved.

*State General Schedule:* Mr. Anderson presented the new series “Publication Development Files” and the proposed revised series changes along with the results of two surveys taken. Mr. Anderson indicated that series 0007-000 and 0020-000 are not being currently presented until final clarification is received from the Kansas Department of Administration. Mr. Anderson also stated that the Department of Labor requested that the additional restrictions of K.S.A 45-221(a)(2)(25)(45) be added to series 0004-000. No further discussion.

**Motion:** Ms. Rurode moved to approve the new series “Publication Development Files” as submitted. Mr. Asbury seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, and Mr. Anderson unanimously approved.

**Motion:** Mr. Asbury moved to approve the revised General Schedule series as submitted. Ms. Rurode seconded. Mr. Anderson called the role. Ms. Chinn, Mr. Asbury, Ms. Rurode, Ms. Mendoza, and Mr. Anderson unanimously approved.

*Housekeeping:* Mr. Anderson briefly went over the obsolete series and housekeeping changes. Ms. Mendoza questioned the obsolescence of series 0113-000 and if these are now considered non-records. Mr. Anderson indicated that another scheduled series already exists that handles disposition of convenience copies. Intent is to simplify the schedule and make 0113-000 obsolete. No further discussion.

*Other Business:* Future meetings reviewed. Ms. Mendoza reminded the board that until the vacant State Archivist position is filled, a quorum will still be required to conduct official meetings. If anyone has a scheduling conflict, they should notify Mr. Anderson as soon as possible so that the meeting can be rescheduled. No further business discussed.

Meeting adjourned at 9:37 a.m.
1. **Agency:** Board of Nursing

2. **Records Officer:** Carol Moreland  
   **Phone:** 785-296-5036

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

4. **Date of Appraisal:** 4/6/2021

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

6. **Archival/Permanent records – No. of Series:** 1

7. **Appraisal Narrative:**

   To address concerns raised at the last SRB meeting regarding series 0021-482 Investigative Files, it was necessary to create a new series for records related to disciplinary hearings and proceedings. The description for Investigative Files has also been slightly modified to reflect that during the investigation, no determination is made as to whether or not a violation has occurred. Electronic records associated with Disciplinary Case Files are maintained in Perceptive Content. An Electronic Recordkeeping Plan for this system was approved by the Electronic Records Committee on December 15, 2020.
Retention/Disposition Schedule Entries

482-001
Board of Nursing

Disciplinary Case Files (Series Unknown)
Records containing legal documents, which may include summary, initial and final orders, notices for proceedings, prehearing orders, motions, pleadings, briefs, petitions, requests and intermediate rulings, evidence received or considered, the record prepared for the presiding officer at a hearing, and any transcripts of all or part of the hearing considered before final dispositions, for a case in which the Board has determined a violation occurred by nursing professionals of the Nurse Practice Act or the Mental Health Technicians Licensure Act.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: Permanent
Disposition: Permanent
Schedule Authority: Agency Schedule
KAR Number 53-2-209
Last Surveyed 09 April 2021
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
1. **Agency:** State General Schedule

2. **Records Officer:** Phone:

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

4. **Date of Appraisal:** 3/30/2021

5. a) **Total records – No. of Series:** 10
   
   b) **New series – No. of Series:** 0
   
   c) **Revised existing series – No. of Series:** 5
   
   d) **Obsolete schedule entries – No. of Series:** 4
   
   e) **Series superseded by other schedule entries – No. of Series:** 0
   
   f) **Series superseded by general schedule entries – No. of Series:** 1

6. **Archival/Permanent records – No. of Series:** 3

7. **Appraisal Narrative:**

   Staff at the Kansas Historical Society are continuing their comprehensive update of the State General Schedule. The most recent updates and proposed changes focus on series within the Personnel sections. In March, a survey was sent to all agency records officers to collect feedback on these proposed changes. The results of this survey are attached. Series 0036-000 Employee Personnel Files was additionally vetted by officials within the Department of Administration’s Office of Personnel Services.
General Schedule Update – Personnel Survey Response Data
Survey open and close dates: March 2-17, 2021
Total survey responses: 19

Question 1: Does your agency still use records related to series 0006-000 Applications for Examination?

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<tr>
<th>ANSWER CHOICES</th>
<th>RESPONSES</th>
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<tr>
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<td>15.79%</td>
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<td>No</td>
<td>84.21%</td>
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<td>TOTAL</td>
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Question 2: The comments to Series 0036-000 Employee Personnel Files will be changed to "Full personnel file: retain for length of employee's tenure plus 3 calendar years (5 calendar years for contract employees). Abstracted work history (appointment data and change of status information, consistent with sound HR practice and legal counsel advice of meeting regulatory needs), a summary log of background checks, employment start date, employment end date, position titles and dates in each position: retain for an additional 12 calendar years, then destroy and/or delete. Abstracted payroll history (name, title, year, hours, and pay rate): retain for 40 calendar years, then destroy and/or delete." Do you agree with this proposed change?

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<th>ANSWER CHOICES</th>
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<tbody>
<tr>
<td>Yes</td>
<td>94.74%</td>
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<tr>
<td>No</td>
<td>5.26%</td>
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<td>TOTAL</td>
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Comments:
- “We suggest that this section could be simplified. We suggest keeping ‘full personnel file for length of tenure plus 15 years’ as a simpler direction. This avoids additional administrative efforts to abstract the information, and probably reflects the reality that agencies are not creating abstracts. We also wonder if the Office of Accounts & Reports (SHARP Team) should be tasked with abstracting the history for the entire State because they maintain the SHARP system already, which might create consistency and efficiency with one agency handling the record retention.”

Question 3: Series 0039-000 'Employee Time Report Records' will be renamed 'Employee Attendance and Leave Records.' The description will be changed to "Records documenting time worked by individual employees and any deviations from normal work hours. Includes time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, leave requests and authorizations, etc." Do you agree with this proposed change?

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<tbody>
<tr>
<td>Yes</td>
<td>100.00%</td>
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<tr>
<td>No</td>
<td>0.00%</td>
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<tr>
<td>TOTAL</td>
<td>19</td>
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Question 4: Series 0067-000 Leave Requests will be superseded by 0039-000 Employee Attendance and Leave Records. Do you agree with this proposed change?

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<tr>
<td>Yes</td>
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<td>No</td>
<td>0.00%</td>
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<td>TOTAL</td>
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Comment:
- "are you saying to retain all W4s for the employee until 4 years after leaving employ? I think that is excessive"

Question 5: The retention period for series 0042-000 Employee Withholding Allowance Certificates will be changed from "Retain until no longer in effect, then destroy provided four years have passed since date tax was due or paid (whichever is later)" to "Retain until superseded or termination of employment plus 4 calendar years (whichever is later), then destroy." Do you agree with this proposed change?

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<tbody>
<tr>
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<td>94.74%</td>
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<tr>
<td>No</td>
<td>5.26%</td>
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<td>TOTAL</td>
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Question 6: The disposition of series 0045-000 Equal Employment Opportunity Grievance Files will be changed from 'Archives' to 'Destroy.' Do you agree with this proposed change?

![Bar chart showing responses]

**Answer Choices**

| Yes   | 100.00% | 19 |
| No    | 0.00%   | 0  |
| **Total** |        | 19 |

Question 7: The retention period for series 0133-000 Exit Interviews will be changed from "Retain until no longer useful, then destroy" to "3 calendar years." Do you agree with this proposed change?

![Bar chart showing responses]

**Answer Choices**

| Yes   | 100.00% | 19 |
| No    | 0.00%   | 0  |
| **Total** |        | 19 |
Retention/Disposition Schedule Entries

000-005
State General Retention and Disposition Schedule
Personnel

Employee Attendance and Leave Records (Series 0039-000)
Records documenting time worked by individual employees and any deviations from normal work hours. Includes time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, leave requests and authorizations, etc.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 5 fiscal years
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Schedule Authority: General Schedule
KAR Number 53-2-116
Last Surveyed 18 March 2021
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 03/18/2021 eanderson: changed title from 'Employee Time Report Records' to 'Employee Attendance and Leave Records,' reworded description, changed retention period from '005 fisc yrs' to '5 fiscal years,' and deleted comments.

Employee Personnel Files (Series 0036-000)
Records associated with the employment of specific personnel: employee evaluation forms, applications of employment, background checks, and other personnel materials.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(3)(4)(6)(9)(30) and KSA 22-4701 et seq.
Comments: Retain full personnel file for length of employee's tenure plus 3 calendar years (5 calendar years for contract employees). Retain abstracted work history (appointment data and change of status information, consistent with sound HR practice and legal counsel advice of meeting regulatory needs), a summary log of background checks, employment start date, employment end date, position titles and dates in each position an additional 12 calendar years, then destroy. Retain abstracted payroll history (name, title, year, hours, and pay rate) 40 calendar years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-159
Last Surveyed 18 March 2021
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
03/18/2021 eanderson: added restrictions KSA 45-221(a)(3)(9)(30) and KSA 22-4701 et seq.
and changed retention requirements listed in comments section.

**Employee Withholding Allowance Certificates** (Series 0042-000)
Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks.
**Entry Status:** Ready for SRB
**Recommended Status:** Revise
**Retention Period:** See Comments
**Disposition:** Destroy
**Restrictions:** KSA 45-221(a)(4) and KSA 79-3234
**Comments:** Retain until superseded or termination of employment plus 4 calendar years (whichever is later), then destroy.
**Schedule Authority:** General Schedule
**KAR Number** 53-2-097
**Last Surveyed** 18 March 2021
**Record Copy:** Paper, Electronic
**Electronic Recordkeeping Plan Not Required**
**Remarks:** 03/18/2021 eanderson: changed comments from "Retain until no longer in effect, then destroy provided four years have passed since date tax was due or paid (whichever is later)" to "Retain until superseded or termination of employment plus 4 calendar years (whichever is later), then destroy."

**Equal Employment Opportunity Grievance Files** (Series 0045-000)
Records 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:** Destroy
**Restrictions:** KSA 45-221(a)(4)(11)(25)
**Comments:** Retain 5 calendar years after grievance is settled, then destroy.
**Schedule Authority:** General Schedule
**KAR Number** 53-2-202
**Last Surveyed** 18 March 2021
**Record Copy:** Paper, Electronic
**Electronic Recordkeeping Plan Not Required**
**Remarks:** 11/29/2018 eanderson: Added restriction (25)
03/18/2021 eanderson: changed disposition from Archives to Destroy and changed retention period listed in comments from '5 years' to '5 calendar years.'

**Exit Interviews** (Series 0133-000)
Records related to discussions with employees leaving employment with an agency.
**Entry Status:** Ready for SRB
**Recommended Status:** Revise
**Retention Period:** 3 calendar years
**Disposition:** Destroy
**Restrictions:** KSA 45-221(a)(4)
**Schedule Authority:** General Schedule
KAR Number 53-2-154
Last Surveyed 18 March 2021
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: new entry
03/18/2021 eanderson: changed retention period from 'Retain until no longer useful, then destroy' to '3 calendar years.'
Housekeeping Changes Since 21 October 2021
15 April 2021

Obsolete

000-004
State General Retention and Disposition Schedule
Facilities Management

Architectural Plans, Drawings, Maps, and Specifications (Series 0007-000)
Description: Records documenting physical plant of the agency.

Capital Improvement Projects Files (Series 0020-000)
Description: Records related to construction projects: correspondence, bids, specifications, plans, drawings, reports, notes, etc.

000-005
State General Retention and Disposition Schedule
Personnel

Employee Notary Files (Series 0035-000)
Description: Notary certification documents compiled on employees.

Employee Personnel Files – Convenience Copies (Series 0037-000)
Description: Copies of documents in agency’s Employee Personnel Files associated with employment of specific personnel (applications, evaluations, background checks, etc.) maintained for convenience of reference.

Housekeeping Edit

000-005
State General Retention and Disposition Schedule
Personnel

Applications for Examination (Series 0006-000)
Description: Standardized form developed by the Department of Administration-Division of Personnel Services to determine if an applicant is qualified to take an examination for a specific classified position.

Employee Position Descriptions (Series 0038-000)
Description: Formal descriptions of duties and other characteristics of particular employment positions: DA forms 281-2 and supporting documents.

Employment Applications – Not Hired (Series 0043-000)
Description: DA forms 203, applications, resumes, and supplementary materials, including background checks, submitted by unsuccessful applicants for employment.

Employment Eligibility Verification Form (Series 0044-000)
Description: Immigration and Naturalization Service (INS) form 9 completed by employee verifying eligibility to work in the United States.

Equal Employment Opportunity Plans (Series 0046-000)
Description: Documents related to agency compliance with laws and regulations concerning EEO/AA plans including the agency characteristic plan.

Recruitment Files (Series 0096-000)
Description: Variety of documents relating to the recruitment process for hiring employees to fill vacant positions.

482-001
Board of Nursing

Investigative Files (Series 0021-482)
Description: Records related to board investigations of complaints against nursing professionals licensed under the Nurse Practice Act and the Mental Health Technicians Licensure Act.

Superseded Series

000-005
State General Retention and Disposition Schedule
Personnel

Leave Requests (Series 0067-000)
Description: Internal form used to request and authorize the taking of leave by employees.