1. Introductions and Announcements
2. Minutes from Previous Meeting
3. Kansas State University
   a. New Series
4. Secretary of State
   a. New Series
   b. Revised Series
5. Pooled Money Investment Board
   a. New Series
   b. Revised Series
   c. Superseded by Other Agency-Specific Entry
6. Office of the Attorney General
   a. New Series
   b. Revised Series
7. Other Business:
   a. Updates to Operational Procedures
   b. Future Meetings:
      • April 21, 2022
      • July 21, 2022
      • October 20, 2022
State Records Board  
July 15, 2021  
Virtual Zoom Meeting  
Meeting ID: 829 0414 6390

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)  
               Clay Barker, Records Officer (Kansas Secretary of State)  
               Ryan Leimkuehler, University Records Manager (KSU)  
               Tori Forrestt, Compliance Officer (KDOL)  
               Gaby George, Student Intern (Emporia State University)  
               Megan Burton, Senior Archivist – Public Services (KSHS)  
               Ethan Anderson, Government Records Archivist (KSHS)  
               Mark Cole, Archives Specialist (KSHS)  

Meeting called to order at 8:34 a.m. by Ms. Mendoza and introductions were made. Ms. Mendoza requested to add “9b. Location of Future Meetings” to the agenda under Other Business.

Minutes: Previous meeting minutes were reviewed.

Motion: Ms. Chinn moved to approve the April 15, 2021 meeting minutes as submitted. Mr. Asbury seconded the motion. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, and Ms. Mendoza unanimously approved the previous meeting minutes as submitted.

Kansas Department of Labor: Mr. Anderson noted that all the proposed changes are the direct result of training sessions he and Ms. Burton have been doing over the years. Mr. Anderson presented the revised series 0153-296. The Board reviewed. Ms. George asked what the terms “revised” and “superseded” meant. Ms. Mendoza and Mr. Anderson provided a brief definition and explanation of each term. No further discussion regarding revised series 0153-296.

Motion: Ms. Rurode moved to approve revised series 0153-296 as submitted. Ms. Chinn seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, Ms. Mendoza, and Ms. Forrestt unanimously approved.

Mr. Anderson then indicated that all the following superseded series presented would be superseded by the newly approved revised series 0153-296. No further discussion.
Motion: Ms. Chinn moved to approve all the presented series to be superseded to series 0153-296. Mr. Asbury seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, Ms. Mendoza, and Ms. Forrestt unanimously approved.

Office of the Secretary of State: Mr. Anderson stated that the presented schedules are all the result of recent legislative changes. The Board reviewed new series “Streambank Easement Records.” No further discussion.

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

The Board then reviewed revised series 0006-622 and 0134-622. Ms. Mendoza noted that a period was missing at the end of the description paragraph for “Special District Filings.” No further discussion.

Motion: Ms. Chinn moved to approve series 0006-622 as amended. Mr. Asbury seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, Ms. Mendoza, and Mr. Barker unanimously approved.

Motion: Ms. Rurode moved to approve series 0134-622 as presented. Mr. Asbury seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, Ms. Mendoza, and Mr. Barker unanimously approved.

Mr. Anderson indicated that the Superseded by Other Agency-Specific Entry is a result of two series that were numbered 0006-622. He presented the 1990 version to be superseded into the expanded 2006 series. No further discussion.

Motion: Ms. Chinn moved to approve superseding series 0006-622 as submitted. Ms. Rurode seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, Ms. Mendoza, and Mr. Barker unanimously approved.

Kansas State University: Ms. Burton presented the Alma, K-State Research Exchange (K-Rex), and StaffNet Electronic Recordkeeping Plans. She indicated that all three were endorsed by the Electronic Records Committee. The Board reviewed. Ms. Mendoza asked for clarification on what “Older wiki data” meant in section 2.3.1 of the StaffNet ERP. Mr. Leimkuehler indicated that it was an older wiki webpage that was simply moved over to StaffNet. No further discussion.

Motion: Mr. Asbury moved to approve all three submitted ERPs as presented. Ms. Rurode seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, Ms. Mendoza, and Mr. Leimkuehler unanimously approved.
Ms. Burton requested that before discussing the new series for K-State, the Board first review the Kansas Historical Society’s ERP for Archive-It since it will be needed before the new series can be approved. Ms. Burton indicated that the Archive-It ERP is a unique plan as it involves a consortium of members. Ms. Burton provided a brief description of the system. She also requested that if the Board approves the Archive-It ERP that their approval applies to all current and future members of the consortium.

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

The Board then returned to discuss the two new series for K-State. Ms. Mendoza noted that the new series do not specifically mention the Archive-It ERP and asked if it should be added. Mr. Anderson indicated that they indirectly refer to Archive-It. Ms. Burton confirmed that the language used was to prevent having to resubmit the series if the software changed in the future. Ms. Mendoza inquired if the phrase “web crawl seed” was standard language in the industry. Ms. Burton confirmed that it was in the archives and library professions and in the IT profession as well.

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

*State General Schedule:* Mr. Anderson present the three new series and stated that all three had been vetted through the Department of Administration’s Office of Personnel Services. Ms. Mendoza questioned the retention period for the new series “Family and Medical Leave Act (FMLA) Records.” Mr. Anderson indicated that the retention period was based on what the Office of Personnel Services recommended. Ms. Chinn questioned if the series contained any medical records. In her experience, she had not come across any actual medical records, just correspondence from doctors on when an employee has been cleared to return to work and any accommodations that need to be made.

**Motion:** Mr. Chinn moved to table the new series “Family and Medical Leave Act (FMLA) Records” until more clarification and information could be provided. Ms. Rurode seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, and Ms. Mendoza unanimously agreed to table the series.

**Motion:** Mr. Asbury moved to approve the two new series “Americans with Disabilities Act (ADA) Accommodations Request” and “Americans with Disabilities Act (ADA) Grievance Files” as submitted. Ms. Chinn seconded. Mr. Anderson called the role. Mr. Asbury, Ms. Chinn, Ms. Rurode, and Ms. Mendoza unanimously approved.
Housekeeping: Mr. Anderson briefly went over the housekeeping changes. The Board reviewed and no further discussion.

Other Business: Future meetings were reviewed. The locations of future meetings were also discussed to ensure pandemic safety protocols are adequately addressed if meetings are held in person. Due to the changing nature of the pandemic, Ms. Chinn will reserve agency classrooms if a larger space is needed to accommodate in-person meetings if they are not held virtually. No further business discussed.

Meeting adjourned at 9:27 a.m.
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)
Ryan Leimkuehler, University Records Manager (KSU)
Sara Thurston, Director of International Student Scholar Services (KSU)
Chad Currier, IT Chief Operating Officer, CISO (KSU)
Janelle Robinson, Supervisor for Driver Solutions (KDOR)
Michele Chavez, Management Systems Analyst for Medical Division (KDOR)
 Sarah Fulton, Records Custodian (KDOR)
 Robert Challquist, Attorney (KDOR)
 Lacey Black, Manager of Driving Solutions (KDOR)
 Megan Burton, Senior Archivist – Public Services (KSHS)
 Ethan Anderson, Government Records Archivist (KSHS)
 Mark Cole, Archives Specialist (KSHS)

Meeting called to order at 8:32 a.m. by Ms. Mendoza and introductions were made.

Minutes: Previous meeting minutes to be reviewed at the next State Records Board meeting.

Kansas Department of Revenue: Mr. Anderson presented the two revised series and a brief description of the changes that were made. The Board reviewed. Ms. Mendoza indicated that series 0003-565 should also include KSA 45-221(a)(1) with the listed restrictions. No further discussions or comments regarding proposed changes.

Motion: Ms. Chinn moved to approve revised series 0030-565 as submitted and series 0003-565 as amended. Mr. Asbury seconded. Mr. Anderson called the role. Ms. Rurode, Ms. Chinn, Ms. Mendoza, Mr. Asbury, and Mr. Challquist unanimously approved.

Kansas State University: Ms. Burton presented the four Electronic Recordkeeping Plans and provided a brief overview of each system and the minor revisions the Electronic Records Committee requested before all four were endorsed. The Board reviewed and no further discussion.
Motion: Mr. Asbury moved to approve all four K-State ERPs as submitted. Ms. Rurode seconded. Mr. Anderson called the role. Ms. Rurode, Ms. Chinn, Ms. Mendoza, Mr. Asbury, and Mr. Leimkuehler unanimously approved as presented.

Mr. Anderson then presented the six new series and gave a brief overview of each. The Board reviewed. Ms. Chinn asked, since the record series involve international students, if the E.U.’s General Data Protection Regulation (GDPR) applied. Ms. Thurston indicated that the GDPR did not apply to any of the new series. No further comments or discussion.

Motion: Ms. Rurode moved to approve all six new series as submitted. Mr. Asbury seconded. Mr. Anderson called the role. Ms. Rurode, Ms. Chinn, Ms. Mendoza, Mr. Asbury, and Mr. Leimkuehler unanimously approved as presented.

State General Schedule: Mr. Anderson presented the new series “Family and Medical Leave Act (FMLA) Records” and indicated that the proposed series had been previously presented and tabled for additional clarification on retention period for medical records. Clarification was added and the series is now presented again for approval. The Board reviewed and no further discussion.

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

Housekeeping: Mr. Anderson briefly went over the housekeeping changes. The Board reviewed and no further discussion.

Other Business: Mr. Anderson updated the Board on the KAR numbering process for canceled meetings. He stated that a KAR number will only be assigned to held meetings. Future meeting locations were also discussed to ensure they adequately address pandemic safety protocols. Mr. Asbury informed Ms. Burton and Mr. Anderson that he still has not received any feedback from OITS on potential changes raised at the ERC meeting. No further business discussed.

Meeting adjourned at 9:08 a.m.
1. **Agency:** Kansas State University

2. **Records Officer:** Ryan Leimkuehler  
   **Phone:** 785-532-5013

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

4. **Date of Appraisal:** 12/15/2021

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  
   f) **Series superseded by general schedule entries – No. of Series:** 0

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

7. **Appraisal Narrative:**

   Ryan Leimkuehler contacted Public Records staff about creating one new series for Kansas State University’s Internal Audit Department. This addition is part of an ongoing effort by the University to ensure all offices and departments are in compliance with records laws. As it is highly unlikely these records will not be retained longer than 10 years, an ERP for this series is not required.
Internal Audit Files (Series Unknown)
Internal audit records consist of, but are not limited to, entrance conference notes, field work, investigation findings/notes, exit conference notes, and final audit report.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions may be restricted per KSA 45-221(a)(1)(4)(15)(25)(30)
Comments: Retain 7 years after close, then transfer final audit report to University Archives and destroy the remainder. The Internal Audit Department is the office of record.
Schedule Authority: Agency Schedule
KAR Number 53-2-212
Last Surveyed 15 December 2021
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
February 3, 2022

1. Agency: Secretary of State

2. Records Officer: Clay Barker                              Phone: 785-296-3483

3. Appraising Archivist(s): Ethan Anderson

4. Date of Appraisal: 1/11/2022

5. a) Total records – No. of Series: 4

   b) New series – No. of Series: 1

   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: 1

7. Appraisal Narrative:

   Clay Barker contacted Public Records staff about updating the retention schedules of the Secretary of State. One new series, Election Audit Records, has been created. Three current series, 0140-622, 0001-622, and 0055-622, have been expanded and updated to reflect current statutes and business practices.
Retention/Disposition Schedule Entries

622-003
Secretary of State
Elections and Legislative Matters

Election Audit Records (Series Unknown)
Records received and produced related to the post election audit of votes cast as required by KSA 25-3009.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 22 months
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-212
Last Surveyed 18 January 2022
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Retention/Disposition Schedule Entries

622-003
Secretary of State
Elections and Legislative Matters

State Board of Canvassers Records (Series 0140-622)
Abstracts, reports, statements, certificates, and other records received or produced by the Office of Secretary of State and produced for or by the State Board of Canvassers pursuant to KSA Chapter 25, Article 32.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-147
Last Surveyed 09 February 2006
Record Copy: Paper
Remarks: 01/18/2022 eanderson: changed title from "Intermediate Canvas Abstracts" to "State Board of Canvassers Records" and significantly expanded description.

622-006
Secretary of State
Business Services

Funeral and Cemetery Trust Fund Reports (Series 0001-622)
Merchandise Trust Fund and Permanent Maintenance Trust Fund quarterly financial reports, audit materials, and supporting documents filed by all Kansas cemeteries that are not exempt pursuant to KSA 17-1312 and KSA 16-301 et seq. Information includes location, ownership, management, profit status, and financial statements.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 6 calendar years
Disposition: Destroy
Restrictions: KSA 45-221(a)(1), 17-1312e
Schedule Authority: Agency Schedule
KAR Number 53-2-175
Last Surveyed 18 January 2022
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 7/15/2010--Revised series title to include all cemetery reports, both Merchandise Trust (former 0001-622) & Permanent Maintenance (0002-622); series supersedes 0002-622; changed retention from 5 calendar years to 6 calendar years and changed disposition from "Archives" to "Destroy".
12/17/2012 mwiget: Records officer requested revised descriptive language to clarify what
records were included in this series.
01/11/2013 mwiget:
02/09/2017 rleimkuehl: Move to Business Services 622-006
01/18/2022 eanderson: changed title from "Cemetery Annual Reports" to "Funeral and Cemetery Trust Fund Reports," changed description from "annual reports" to "quarterly financial reports" and updated statutes, changed retention period from 006 cldr yrs to 6 calendar years, and added KSA 45-221(a)(1) to restrictions.

**Notaries Public Files** (Series 0055-622)
Records submitted to the Secretary of State by an individual to register as a notary public in the State of Kansas as required by KSA Chapter 53, Article 5a. Records include, but are not limited to notary applications, lost or stolen notary stamps or journals, remote notary provider certifications, surety bonds, notary journal repository certifications, and remote notarization training certifications.

**Entry Status:** Ready for SRB
**Recommended Status:** Revise
**Retention Period:** See Comments
**Disposition:** Destroy
**Restrictions:** None
**Comments:** Record copy is maintained electronically. Retain electronic records 7 calendar years, then destroy. Retain hard copy source documents until quality control completed, then destroy.

**Schedule Authority:** Agency Schedule
**KAR Number** 53-2-136
**Last Surveyed** 01 July 2003
**Record Copy:** Electronic
**Electronic Recordkeeping Plan Not Required**
**Remarks:** 02/09/2017 rleimkuehl: Move to Business Services 622-006
01/18/2022 eanderson: changed title from "Notaries Public Files" to "Notaries Public Records" and significantly expanded the description.
1. **Agency:** Pooled Money Investment Board

2. **Records Officer:** Karen Stattelman
   **Phone:** 785-296-3701

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

4. **Date of Appraisal:** 1/3/2022

5. a) **Total records – No. of Series:** 14
   b) **New series – No. of Series:** 2
   c) **Revised existing series – No. of Series:** 8
   d) **Obsolete schedule entries – No. of Series:** 0
   e) **Series superseded by other schedule entries – No. of Series:** 4
   f) **Series superseded by general schedule entries – No. of Series:** 0

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

7. **Appraisal Narrative:**

Karen Stattelman contacted Public Records staff about updating the retention schedules of the Pooled Money Investment Board. Two new series have been created to cover copies of correspondence sent to state agencies. In addition, the retention periods of eight existing series are being shortened to two fiscal years to better account for the PMIB’s biennial audits. Lastly, four series are being superseded by other agency schedules to better reflect current business practices of the agency.
Retention/Disposition Schedule Entries

671-001
Pooled Money Investment Board

State Agency Bank Designations (Series Unknown)
Copy of letters sent to state agencies regarding their request for bank designation approval.
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
KAR Number 53-2-212
Last Surveyed 16 September 2021
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required

State Agency Special Deposit Allowance (Series Unknown)
Copy of letters sent to state agencies regarding their request for special deposit allowance.
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
KAR Number 53-2-212
Last Surveyed 16 September 2021
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Retention/Disposition Schedule Entries

**671-001**
**Pooled Money Investment Board**

**Average Daily Balance (ADB) Rate and Administrative Fees** (Series 0019-671)
Spreadsheet used in calculation of 1) ADB rate that determines the monthly interest earned by state agencies as mandated by the legislature and 2) monthly state, Municipal Investment Pool (MIP), and Health Care Stabilization Fund (HCSF) administrative fees for investment management services.

- **Entry Status:** Ready for SRB
- **Recommended Status:** Revise
- **Retention Period:** 2 fiscal years
- **Disposition:** Destroy
- **Restrictions:** None
- **Comments:** Printouts used for data input purposes will be retained for 1 fiscal year.

**Schedule Authority:** Agency Schedule
**KAR Number** 53-2-180
**Last Surveyed** 21 September 2021
**Electronic Copy** Paper, Electronic
**Electronic Recordkeeping Plan Not Required**

**Remarks:** 03/31/2014: revised title and description, added comment, noted electronic format.
09/20/2021 eanderson: changed retention from 003 fisc yrs to 2 fiscal years.

**Interest Rate Calculation Records** (Series 0042-671)
Calculations of rates and supporting documentation used to determine the investment rates for public funds, linked deposit rates, and Kansas bank certificates of deposit (CDs).

- **Entry Status:** Ready for SRB
- **Recommended Status:** Revise
- **Retention Period:** 2 fiscal years
- **Disposition:** Destroy
- **Restrictions:** None
- **Schedule Authority:** Agency schedule
**KAR Number** 53-2-176
**Last Surveyed** 16 September 2021
**Record Copy:** Electronic
**Electronic Recordkeeping Plan Not Required**

**Remarks:** 03/29/2013: new entry.
09/16/2021 eanderson: changed title from "Investment Rates for Public Funds Workpapers" to "Interest Rate Calculation Records," reworded description, and changed retention period from 003 calendar years to 2 fiscal years.

**Kansas Department of Transportation (KDOT) Administrative Fees** (Series 0041-671)
Calculation of KDOT's annual fee payable to the Pooled Money Investment Board for investment management services.

- **Entry Status:** Ready for SRB
Recommended Status: Revise
Retention Period: 2 fiscal years
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
KAR Number: 53-2-176
Last Surveyed: 03 September 2021
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 03/29/2013: new entry.
09/03/2021 eanderson: changed retention period from 005 fisc years to 2 fiscal years and changed record copy format from paper to electronic.

Memos to Cashier (Series 0054-671)
Document that summarizes daily portfolio cash flows that authorize State Treasurer's Office Cashier to adjust Top Sheet balances.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 2 fiscal years
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
KAR Number: 53-2-211
Last Surveyed: 03 September 2021
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 03/29/2013: new entry.
09/03/2021 eanderson: changed retention period from 003 fisc yrs to 2 fiscal years, changed record copy format from paper to electronic, and added a KAR number and restrictions (none).

Report Workpapers (Series 0001-671)
Documents used in the preparation of management, Board, and annual reports.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 2 fiscal years
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number: 53-2-180
Last Surveyed: 20 September 2021
Record Copy: Paper
Remarks: 03/31/2014: revised series description, retention period.
09/20/2021 eanderson: changed retention period from 003 fisc yrs to 2 fiscal years.

Repurchase Agreements (Series 0048-671)
Documentation of investment details, collateral details, and dealer confirmations for repurchase agreements for idle funds and Healthcare Stabilization Fund.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 2 fiscal years
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
KAR Number 53-2-180
Last Surveyed 03 September 2021
Record Copy: Paper
Remarks: 03/31/2014: new entry.
09/03/2021 eanderson: changed retention period from 003 fisc yrs to 2 fiscal years.

Trade Tickets (Series 0049-671)
Documentation provided by the dealer summarizing details of a security purchase and confirmation of the trade.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 2 fiscal years
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
KAR Number 53-2-180
Last Surveyed 03 September 2021
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 03/31/2014: new entry.
09/03/2021 eanderson: changed retention period from 003 fisc yrs to 2 fiscal years and changed the record copy format from paper to electronic.

Transfer of Pooled Money Investment Board (PMIB) Fee Funds to State General Fund (Series 0040-671)
Determination of monthly transfer of PMIB fee funds not necessary for reimbursement of administrative expenses to be transferred to the state general fund per KSA 75-4235(b).
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 2 fiscal years
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency schedule
KAR Number 53-2-176
Last Surveyed 03 September 2021
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 03/29/2013: new entry.
09/03/2021 eanderson: changed retention period from 003 fisc yrs to 2 fiscal years and changed the record copy format from paper to electronic.
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: Supersede (Other)
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 53-2-183
Last Surveyed 16 September 2021
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.
01/20/2015 jhammersch:
09/16/2021 eanderson: series superseded by 0049-671, 0054-671, and 0005-000.

Investment Accounts (Kansas Bank CDs) (Series 0035-671)
Documents relating to funds invested in Kansas banks via certificate of deposits.
Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-180
Last Surveyed 20 September 2021
Record Copy: Paper
03/29/2013: revised series title and description, and restrictions information. In the event of a disaster, a copy of the software which is used to administer program and track certificates of deposit is stored off-site.
04/12/2013: entry tabled until specific statutory information could be discovered regarding restrictions.
03/10/2014: records officer did more research and discovered no confidential data is actually included on these records.
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: Supersede (Other)
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: 53-2-183
Last Surveyed: 16 September 2021
Record Copy: Paper
12/16/2014: revised description and disposition from archives to destroy, noting that certain summary materials should be transferred to the State Archives separately.
01/15/2015: Approved by SRB: KAR 53-2-183
09/16/2021 eanderson: series superseded by 0049-671, 0054-671, and 0005-000.

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: Supersede (Other)
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: 53-2-183
Last Surveyed: 16 September 2021
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.
01/15/2015: Approved by SRB: KAR 53-2-183
09/16/2021 eanderson: series superseded by 0049-671, 0054-671, and 0005-000.
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:** 1/10/2022

5. a) **Total records – No. of Series:** 8  
   b) **New series – No. of Series:** 6  
   c) **Revised existing series – No. of Series:** 2  
   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:** 3

7. **Appraisal Narrative:**

   Lisa Mendoza contacted Public Records staff about creating six new series for the Office of the Attorney General. Three of these series, Charitable Organizations Registration Files, Professional Fund-Raiser Registration Files, and Professional Solicitors Registration Files, were previously retained by the Secretary of State’s Office. However, these responsibilities were transferred to the Office of the Attorney General by the 2021 legislature. The retention period of Charitable Organizations Registration Files has been shortened from Permanent to 10 calendar years to align with the retention periods of similar records retained by the agency. The other three new series cover records of the Medicaid Inspector General’s Division. The electronic records associated with series Audit, Investigation and Performance Review Work Files are retained in iManage. An ERP for this system was approved by the Electronic Records Committee on September 15, 2020.
Revisions to two existing series are also proposed. The retention period for series 0191-082 has been revised to state that only records involving enforcement actions must be retained permanently. Lastly, the subseries for series 0050-082 has been changed and the series title and description have been modified to correspond with this change.
Retention/Disposition Schedule Entries

082-007
Office of the Attorney General
Consumer Protection Division

Charitable Organizations Registration Files (Series Unknown)
Applications, correspondence, copies of registration certificates, etc. relating to the registration of charitable organizations.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 10 calendar years
Disposition: Destroy
Restrictions: None
Comments: Record copy may be paper or electronic. Retain 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
KAR Number 53-2-212
Last Surveyed 11 January 2022
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed

Professional Fund-Raiser Registration Files (Series Unknown)
Applications, correspondence, certificate of registration, etc. regarding individuals registering to become a professional fund-raiser as required by KSA 17-1765.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 3 calendar years
Disposition: Destroy
Restrictions: None
Comments: Record copy may be paper or electronic. Retain paper documents until scanned into system and until quality assurance is performed, then destroy. Digital images in system are retained 3 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
KAR Number 53-2-212
Last Surveyed 11 January 2022
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required

Professional Solicitors Registration Files (Series Unknown)
Application, correspondence, certificates of registration, etc. regarding registration of individuals wishing to solicit for charities as required by KSA 17-1759.
**Entry Status:** Ready for SRB  
**Recommended Status:** Approve As New  
**Retention Period:** 3 calendar years  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Record copy may be paper or electronic. Retain paper documents until scanned into system and until quality assurance is performed, then destroy. Digital images in system are retained 3 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  
**KAR Number:** 53-2-212  
**Last Surveyed:** 11 January 2022  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Not Required**

**082-015**  
**Office of the Attorney General**  
**Medicaid Inspector General Division**

**Audit, Investigation, and Performance Review Final Reports** (Series Unknown)  
Results of any audit, investigation, or performance review conducted by the division.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Approve As New  
**Retention Period:** 5 fiscal years  
**Disposition:** Archives  
**Restrictions:** None  
**Schedule Authority:** Agency Schedule  
**KAR Number:** 53-2-212  
**Last Surveyed:** 10 January 2022  
**Record Copy:** Electronic  
**Electronic Recordkeeping Plan Not Required**

**Audit, Investigation, and Performance Review Work Files** (Series Unknown)  
Records relating to audits, investigations, and performance reviews conducted by the division, including correspondence, reports, notes, drafts, billings, subpoenas, recommendations, and any other materials or information made, maintained, kept, obtained or received in connection with any audits, reviews, or investigations conducted by the division.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Approve As New  
**Retention Period:** See Comments  
**Disposition:** See Comments  
**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. Paper documents are scanned into the system and quality assurance is performed, then paper records are destroyed. Digital images in system are retained.
permanently. Any portion of a work file that becomes part of a civil or criminal case filed by another division in the Office of the Attorney General shall become part of that division's case file and maintained in accordance with Case Files, 0172-082.

**Schedule Authority:** Agency Schedule

**KAR Number:** 53-2-212

**Last Surveyed:** 10 January 2022

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Endorsed**

**Complaint Files** (Series Unknown)
Records relating to reports of suspected fraud, waste, abuse, or other illegal acts, including correspondence, photographs, notes, and other documentation relating to the complaint and actions taken by the division. Includes complaints not resulting in audit, investigation, or performance review efforts.

**Entry Status:** Ready for SRB

**Recommended Status:** Approve As New

**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. Retain remaining paper documents until scanned into system and quality assurance is performed, then destroy. Digital images in system are retained until the end of the Inspector General's term, including reappointment, plus 2 calendar years, then destroyed. Complaints resulting in an audit or investigation become Audit, Investigation, and Performance Review Work Files, ____-082, and follow that schedule entry. Records related to complaints involving programs outside the Inspector General's jurisdiction are retained 1 calendar year, then destroyed.

**Schedule Authority:** Agency Schedule

**KAR Number:** 53-2-212

**Last Surveyed:** 24 January 2022

**Record Copy:** Paper, Electronic

**Electronic Recordkeeping Plan Not Required**
Retention/Disposition Schedule Entries

082-003
Office of the Attorney General
Civil Division
Open Government Enforcement Unit

Kansas Open Meetings Act (KOMA) and Kansas Open Records Act (KORA) Enforcement Files (Series 0191-082)
Complaint forms, correspondence, notes, research, consent orders, findings of violation, consent judgments, and other supporting documents related to the agency's investigation and enforcement of these Acts.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Permanent
Restrictions: KSA 45-221(a)(11)(14)(20)(25)(30), 45-228(b)
Comments: Record copy may be paper or electronic. Paper documents are scanned into system and paper is retained until quality assurance is performed, 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. Retain permanently remaining paper records and materials, as well as digital images in system, that involve enforcement actions. Retain all other enforcement files for 5 calendar years, then destroy.

Schedule Authority: Agency Schedule
KAR Number 53-2-199
Last Surveyed 06 April 2018
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 1/25/10: Revised to cover change in format; retention changed from 5 years in office, then to Archives; subject to Electronic Recordkeeping Plan.
4/6/2018: Revised to clarify description, expand on comments, add restriction, and updated the office of records to the Civil Division/Open Government Enforcement Unit.
01/24/2022 eanderson: added 45-228(b) to restrictions and revised comments to state that all materials involving enforcement actions are retained permanently while other files are retained 5 calendar years.

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

General Legal Services (Series 0050-082)
Records regarding legal assistance given by agency attorneys to state officials, employees, agencies, boards, and commissions: correspondence, reports, notes, publications, etc. May include records concerning legal advice given to a specific agency, board or commission regarding quasi-judicial proceedings in licensure, certification, registration, disciplinary or other similar matters.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Retain until matter is closed, then destroy.
Disposition: Destroy
Schedule Authority: Agency Schedule
KAR Number 53-2-178
Last Surveyed 08 July 2013
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
07/08/2013: revised description and retention period.
07/22/2013 mwiget: Fixed last surveyed date.
10/09/2013: Changed retention period.
01/24/2022 eanderson: changed subdivision from Legal Opinions & Gov't Counsel (LOGIC) Division to Multiple subunits/subunit not defined, shortened the title from "General Legal Services - State Agencies, Boards, and Commissions" to "General Legal Services," and reworded the description.
Housekeeping Changes Since 15 October 2021
3 February 2022

Housekeeping Edit

622-003
Secretary of State
Elections and Legislative Matters

Voting Machine Certification Files (Series 0040-622)
Description: Documents relating to the Secretary of State's examination and approval of all voting machines used in elections as required by K.S.A. 25-1301 et seq.