

AGENDA
STATE RECORDS BOARD
10/24/2023
2:30 p.m.
Kansas State Historical Society
6425 SW 6th Ave.
North Classroom, 1st Floor

Join Zoom Meeting

<https://us02web.zoom.us/j/85822851589?pwd=UC9mbmVPb3lTY3N6ejU4eHVxY284UT09>

Meeting ID: 858 2285 1589

Passcode: 340451

1. Introductions and Announcements
2. Minutes from Previous Meeting
3. Kansas Children's Cabinet and Trust Fund
 - a. ERP-Workforce Registry
4. Kansas Department of Health and Environment
 - a. New Series
5. Kansas State University
 - a. New Series
 - b. Revised Series
6. Department of Administration
 - a. Permission to destroy Governor's financial records
7. Housekeeping Changes:
 - a. Superseded Series: Lottery
8. Other Business:
 - a. Future Meetings:
 - January 18, 2024
 - April 18, 2024
 - July 18, 2024

State Records Board

July 20, 2023

Virtual Zoom Meeting

Meeting ID: 827 06460 6080

Participants: Lisa Mendoza, designee of the Attorney General (Chair)
Megan Burton, State Archivist – Public Services (KSHS)
Patrick Zollner, Executive Director (KSHS)
Ryan Leimkuehler, University Archivist K-State University
Jacob Hansen, Records Custodian (DofA)
David Fye, Executive Director BSRB
Danielle Hall, University Records Manager K-State
Amber Draper, Library Assistant (KSHS)

Meeting was called to order at 1:04 p.m. by Ms. Mendoza, and introductions were made.

Minutes: Minutes from the April 20, 2023, meeting were reviewed. Technical errors in the minutes were addressed. There were no further questions.

Motion: Mr. Hansen made a motion to approve the April 20, 2023, meeting minutes as amended. Mr. Zollner seconded the motion. There were no further questions. Ms. Burton called the roll. Mr. Hansen, Mr. Zollner, and Ms. Mendoza all voted in favor. The motion passed.

Behavioral Sciences Regulatory Board: Ms. Burton introduced an item concerning updating records retention schedules, specifically about the BSRB request. BRSB requested permission to digitize certain records, particularly the licensing files, and proposed reducing the retention period to a more practical two years after license expiration. After some discussions, it was agreed that this adjustment made better business sense for them. While they planned to return to discuss the digitization process later, for now, they aimed to address this matter to move forward. Mr. Fye affirmed Ms. Burton's summary and added that the issue was compounded by their recent authorization to hire two new employees. However, their limited physical space posed a challenge. By transitioning to electronic records and shortening the retention period, they hoped to free up office space for the new employees and prepare for the broader digitization initiative.

Motion: Mr. Zollner made a motion to approve to revise 0013-102 and remove restrictions KSA 45-221. Ms. Burton seconded the motion. There were no further questions. Ms. Burton called the roll. Mr. Hansen, Mr. Zollner, Ms. Mendoza, Ms. Burton, and Mr. Fye voted in favor. The motion passed.

Kansas Historical Society: Ms. Burton presented the schedule updating initiative, noting that the absence of a government records archivist did not impede progress. During the review, they identified several obsolete series that were no longer relevant and had already been transferred to the state archives as mandated. Additionally, Ms. Burton highlighted two revisions to align records with current business practices.

The emphasis was placed on the necessity of these updates to streamline records management, with the improved database capabilities serving as a driving force behind the changes.

Furthermore, the discussion shifted to the call slip records, initially retained for 10 fiscal years (series 0045-288). Mr. Hansen inquired about the rationale behind this extended retention period, prompting Ms. Burton to explain the theoretical purpose. However, she emphasized that the practical feasibility of searching through call slips over an extended period was limited, rendering the longer-term retention unnecessary. They explored the possibility of converting call slips into electronic records to enhance user-friendly access.

Motion: Mr. Hansen made a motion to approve the revised series. Mr. Zollner seconded the motion. There were no further questions. Ms. Burton called the roll. Mr. Hansen, Mr. Zollner, Ms. Mendoza, and Ms. Burton voted in favor. The motion passed.

Housekeeping changes: The discussion revolved around obsolete series, primarily within the records center. These obsolete series encompass records that are no longer generated or utilized. The superseded series, dating back to the 1990s, was initially included in retention schedules but no longer aligned with our current operations.

Superseded series mainly comprised records related to division directors or agency heads, including items like budget preparation files. To streamline our records management, these series were superseded and integrated into the appropriate entries on the general schedule. Additionally, the reference files series was deemed obsolete due to an unclear description.

Other business: Ms. Mendoza introduced two new agenda items for consideration. The first item was brought forward by Mr. Hansen, focusing on discussions about the presentation of citations and the restriction section. The second item involved revisiting a prior conversation regarding the development of a one-time obsolete records form, with Mr. Hansen assigned to investigate this matter.

It was stressed that no formal decision was expected during the meeting. Instead, the objective was to provide updates and assess the progress of these initiatives. No formal motion was proposed, as these items were deemed additional tasks requiring attention.

The meeting also clarified adding items to the State Records Board agenda. Mr. Hansen raised the topic of improving the display of citations and restrictions. Additionally, there was a discussion about the one-time obsolete records form. Ms. Mendoza inquired whether pursuing

the obsolete form aligned with the board members' intentions. It was suggested that if multiple agencies were encountering challenges with obsolete records retention schedules, the obsolete form could be revisited later.

The meeting was adjourned at 1:49 p.m.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
February 3, 2022**

1. **Agency:** Kansas Department of Health and Environment
2. **Records Officer:** Michael Smith **Phone:** 785-296-8524
3. **Appraising Archivist(s):** Megan Burton
4. **Date of Appraisal:** October 3, 2023
5. **a) Total records – No. of Series:** 2
b) New series – No. of Series: 2
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:** Casey Guccione contacted State Archives staff to create retention schedules with the upcoming digitization project approaching. These two series are the first in a set of 4 that will be presented to the board. The other two series require the completion of an Electronic Recordkeeping Plan.

Retention/Disposition Schedule Entries

264-004

Department of Health and Environment

Division of Health and Environmental Laboratories

Livestock Waste Management

Confined Feeding Facility Operation Reports (Series Unknown)

Monthly reports documenting the facility's compliance with Kansas Water Pollution Control Permit for Agricultural and Related Wastes. Record of maximum of number of animals confined, rainfall received, wastewater levels and location, soil condition and amount, and other specifics of land application of livestock waste.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 5 years + current calendar year

Disposition: Destroy

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Paper

Remarks: New series identified by agency. MBurton

Nutrient Management Plans (Series Unknown)

Five-year projections of the land application of livestock waste at Confined Feeding Facilities with a National Pollutant Discharge Elimination System permit. Plan documents the agronomic application of waste, which includes: crop rotations, methodology, application rate limitations and projected application rates for the 5-year permit cycle. The plan also documents the facility's method of mortality disposal, and the other nine minimum federal requirements.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 15 years

Disposition: Destroy

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Paper

Remarks: Agency requested new series. MBurton

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
February 3, 2022**

1. **Agency:** Kansas State University
2. **Records Officer:** Danielle Hall **Phone:** 785-532-7466
3. **Appraising Archivist(s):** Megan Burton and Jessie Blom
4. **Date of Appraisal:** October 10, 2023
5. **a) Total records – No. of Series:** 7
b) New series – No. of Series: 6
c) Revised existing series – No. of Series: 1
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Appraisal Narrative:** The Kansas State University records committee has reviewed and submitted for approval 7 series. Only 1 is a small revision to the description and comments. The other 6 are new series from the CARE and President's offices.

Retention/Disposition Schedule Entries

367-001

Kansas State University

CARE Client Records (Series Unknown)

Series includes all records relating to clients of the Center for Advocacy, Response, and Education. Records include, but are not limited to, personal contact information, classifications of violence, and contact reports.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 7 Academic Years

Disposition: Destroy

Restrictions: KSA 45-221(a)(1)(14)(25)(30), 20 U.S.C. 1232g; 34 CFR Part 99.

Schedule Authority: Agency Schedule

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: Agency Requested new series JBlom

CARE Prevention Education- Climate Survey (Series Unknown)

Series includes raw data from the ARC3 climate surveys. This includes campus clarity, data, surveys, survey proposals, announcements, executive summaries, incentives, and results/presentations given to the President's cabinet.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Archive

Restrictions: U.S.C. 1232g; 34 CFR Part 99

Comments: Retain 10 academic years plus current, then transfer to the university archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: Agency requested new series; ERP OneDrive/SharePoint 10/21/2021 approval date-JBlom

President's Office- Administrative/Policy (Series Unknown)

Records containing information about the administration of the University. Files may include meeting agendas and minutes, government affairs and any policies that the Presidents Office was informed about, involved in, or created.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(1)(2)(4)(12)(14)(15)(20)(25)(27)(45), 20 U.S.C. 1232g; 34 CFR Part 99

Comments: Retain for 5 fiscal years plus current, then transfer to the university archives. The Office of the President is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Pending

Remarks: Agency requested new series JBlom

President's Office- Correspondence (Series Unknown)

Files include communications received or sent which contain information about university matters. These files include digital and paper. However, any speeches or public remarks will continue to follow established retention schedule, 0103-000.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(1)(2)(4)(12)(14)(15)(20)(25)(27)(45), 20 U.S.C. 1232g; 34 CFR Part 99

Comments: Retain for 5 fiscal years plus current, then transfer to the university archives. The Office of the President is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Pending

Remarks: Agency Requested New Series- JBlom

President's Office- Initiatives (Series Unknown)

Records containing initiatives created or worked on by the President, such as strategic plans, unique programs, community engagement, etc.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Archive

Restrictions: KSA 45-221(a)(1)(2)(4)(12)(14)(15)(20)(25)(27)(45), 20 U.S.C. 1232g; 34 CFR Part 99

Comments: Retain for 5 fiscal years plus current, then transfer to the university archives. The Office of the President is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Pending

Remarks: Agency requested new series- JBlom

President's Office- Reports and Statistics (Series Unknown)

Reports and statistics given to, created by, or used by the President's Office.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Archive

Restrictions: KSA 45-221(a)(1)(2)(4)(12)(14)(15)(20)(25)(27)(45), 20 U.S.C. 1232g; 34 CFR Part 99

Comments: Retain for 5 fiscal years plus current, then transfer to the university archives. The Office of the President is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Pending

Remarks: Agency requested new series- JBlom

Retention/Disposition Schedule Entries

367-001

Kansas State University

Library Patron Records (Series 0695-367)

Records containing general information about library patrons such as name, K-State E-ID number, donations, outstanding balance, and checkouts.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(7)(23)(30)

Comments: Retain until inactive plus 1 calendar year, then destroy unless outstanding balance or checked out items. For university patrons, the outstanding balance is anything over \$100. For non-university patrons, the outstanding balance has no minimum or maximum amount.

Outstanding balances can be kept up to a maximum of 15 years after the last check out date, at which point they will be scrubbed. K-State Libraries is the office of record. Patrons include: current enrolled students, current staff/faculty, emeritus status faculty, community patrons, and visiting scholars.

Schedule Authority: Agency Schedule

KAR Number 53-2-219

Last Surveyed 20 October 2023

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Agency request revision to comments and description. ERP on file (ALMA and KSIS). MBurton

Housekeeping Changes Since 22 July 2023

23 October 2023

Superseded series

450-001
Kansas Lottery
Executive Division
Director

Board Packets (Series 0161-450)
Description: Agenda, minutes, background information, etc. relating to meetings of the Lottery Commission.
Change: agency requested-- mrohleder, 20 October 2023

Correspondence - Vendor (Series 0162-450)
Description: Incoming and outgoing letters and memoranda relating to vendor concerns and issues.
Change: agency request-- mrohleder, 20 October 2023

Legal

Kansas Register Submissions (Series 0021-000)
Description: Copies of proposed, withdrawn, emergency, and adopted rules, open meeting notices or other documents required by law to be submitted to the Kansas Register for publication.
Change: Agency Requested-- jblom, 20 October 2023

Rules and Regulations Files (Series 0165-450)
Description: Variety of materials related to the formation of individual game rules and regulations and final versions submitted to the Kansas Register for public notice.
Change: Agency Requested-- jblom, 20 October 2023

Personnel

Equal Employment Opportunity Grievance Files (Series 0012-450)
Description: Documents related to discrimination charges concerning employment

made against an agency and subsequent investigations.
Change: Agency Requested-- jblom, 20 October 2023

Policy Statements (Series 0022-450)

Description: Original copies of formal explanations of agency policies and procedures issued in individual statement formats.

Change: Agency Requested-- jblom, 20 October 2023

Public Information Officer

Annual Reports (Series 0144-450)

Description: Annual and specific reports on agency activities.

Change: Agency Requested-- jblom, 20 October 2023

450-002

Kansas Lottery

Finance and Administrative Services Division

Accounts Receivable Calculation Reports (Series 0033-450)

Description: Computer reports summarizing all the lottery ticket sales transactions made by retailers.

Change: Agency Requested-- jblom, 20 October 2023

Daily Accounts Receivable Records (Series 0045-450)

Description: Documents related to collection of payments due the agency: copies of invoices, correspondence, DA forms 32, etc.

Change: Agency Requested-- jblom, 20 October 2023

Daily Pack Maintenance Records (Series 0048-450)

Description: Computer printouts used to monitor daily the locations of all the packs of game tickets for inventory management purposes.

Change: Agency Requested-- jblom, 20 October 2023

Daily Perpetual Inventory Records (Series 0049-450)

Description: Computer printouts used to monitor daily the amount of all the different game tickets for inventory management purposes.

Change: Agency Requested-- jblom, 20 October 2023

Game Warehouses Reconciliation Records (Series 0058-450)

Description: Computer printouts related to inventory management to ensure

accountability for lottery game tickets stored in warehouses.

General Ledgers - Annual (Series 0060-450)

Description: General records maintained by the agency of financial receipts and expenditures normally used to monitor, manage, and verify annual agency budgets and prepare financial statements.

Change: Agency Requested-- jblom, 20 October 2023

General Ledgers - Monthly (Series 0061-450)

Description: General records maintained by the agency on monthly financial receipts and expenditures normally used to monitor, manage, and verify agency budget and prepare financial statements.

Change: Agency Requested-- jblom, 20 October 2023

Retailers Electronic Funds Transfer Tape and Invoice Report (Series 0098-450)

Description: Computer printouts detailing the weekly electronic banking transactions from retailers.

Change: Agency Requested-- jblom, 20 October 2023

450-003

Kansas Lottery

Security Division

Employee Background Records (Series 0125-450)

Description: Information sheets completed by persons seeking employment with the Kansas Lottery and used as the basis for conducting a background check to preserve the integrity and security of the lottery.

Change: Agency Requested-- jblom, 20 October 2023

Postal Records (Series 0131-450)

Description: Records concerning the use of the U.S. Postal Service and express companies: mailing logs, postage purchase reports, registered mail receipts, express company receipts, mailing permits, etc.

Change: Agency Requested-- jblom, 20 October 2023

450-005

Kansas Lottery

Sales Division

Correspondence - Retailers (Series 0043-450)

Description: Incoming and outgoing letters and memoranda which pertain to routine matters concerning lottery ticket retail vendors.

Change: Agency Requested-- jblom, 20 October 2023