

AGENDA
STATE RECORDS BOARD
4/19/2018
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. Department of Administration
 - a. Revised Entry
4. Kansas Department of Transportation
 - a. Revised Entries
5. Kansas State University
 - a. New Series
 - b. Revised Entries
6. Attorney General
 - a. Revised Entries
7. Housekeeping changes:
 - a. Revised Series
 - Local General
 - Attorney General
 - Department of Transportation
 - Kansas State University
 - b. Superseded to the general schedule
 - Local Schedule-Juvenile Corrections
 - Kansas Department of Transportation
8. Other business:
 - a. CUI Information
 - b. ERC Membership Update
 - c. Future meetings:
 - July 19, 2018
 - October 18, 2018
 - January 17, 2019

State Records Board

January 18, 2018

Executive Conference Room – Kansas Historical Society

Present: Lisa Mendoza, designee of the Attorney General (chair)
Jennie Chinn, Executive Director, Kansas Historical Society (KHS)
Matt Veatch, State Archivist
Bill Sowers, designee of the State Librarian
Philip Michael, designee of the Secretary of Dept. of Administration (DofA)
Kathy Sachs, Office of the Secretary of State (KSOS)
Megan Rohleder, Electronic Records Archivist (KHS)
Ryan Alfson, Graduate Research Assistant (KHS)
Mark Cole, Archives Specialist (KHS)

Via Phone: Ryan Leimkuehler, Kansas State University (KSU)
Cliff Hight, Kansas State University (KSU)
Jackie Yingling, Kansas State Board of Pharmacy (KSBP)

Meeting called to order at 8:44 a.m. and Ms. Mendoza began the introductions. Ms. Mendoza inquired if there were any announcements for the board. With no announcements, the board moved to the next agenda item.

Minutes: Previous meeting minutes were reviewed.

Motion: Mr. Veatch moved approval of meeting minutes as presented. Mr. Sowers seconded, unanimous approval of October 19, 2017 meeting minutes.

Kansas State Board of Pharmacy: Ms. Rohleder presented the revised schedule entries. Ms. Rohleder indicated that the descriptions were made more concise and comments updated to reflect current business practices. Ms. Chinn asked for clarification on the use of the word “incomplete” in series 0044-531 title. Ms. Yingling explained that it is the key word used for identifying this type of record. Ms. Mendoza inquired about the inclusion of K.S.A. 45-221(49) in the restrictions for both series 044-531 and 0023-531. It was determined that restriction could be removed but to add restriction K.S.A. 45-221(30). Restrictions for both series 0044-531 and series 0023-531 should read, “K.S.A. 45-221(a)(3)(9)(10)(30)”.

Motion: Mr. Michael moved to approve revised series as amended. Mr. Veatch seconded, unanimous approval.

Kansas Secretary of State: Ms. Rohleder explained to the board that the new series being presented is the result of a unique database for the Secretary of State’s Business Form Finder website. Although the actual forms are records of the originating agency, the data that is kept within the system is unique and requires a retention schedule. The board had no additional

questions. Mr. Veatch did note that this type of record series is something that KHS has been addressing more and more with agencies. Although the records are metadata and used just for business purposes, they are still being collected and require a retention schedule.

Motion: Mr. Veatch moved to new series as presented. Mr. Sowers seconded, unanimous approval of new series as presented.

Kansas State University: Ms. Rohleder presented the proposed revised series entry for series 0025-367. Ms. Rohleder indicated that purpose to better reflect current grading practices and reduce retention period to 5 fiscal years. Mr. Leimkuehler indicated that the records copy still needs to be both paper and electronic and changing from 10 fiscal years to 5, and electronic record keeping plan is not required. Ms. Chinn questioned if retention was long enough if students wanted to challenge a grade after the proposed 5 fiscal year retention. Mr. Leimkuehler stated that students only have 30 to 60 days to dispute a grade and proposed retention period was vetted through several committees and agreed upon. Ms. Mendoza indicated that the restriction should read, "K.S.A. 45-221(a)(1)(9), 20 U.S.C.A. 1232g; 34 CFR Part 99". It was also determined that the, "Electronic Recordkeeping Plan Pending" portion should be removed for this entry.

Motion: Mr. Sowers moved to approve revised entry as amended. Mr. Veatch seconded, all in favor.

Housekeeping: Ms. Rohleder indicated that all the changes are from Kansas Racing and Gaming Commission and simply superseding to State General Schedule. The board reviewed the Housekeeping changes and accepted as presented.

Other Business: Ms. Rohleder was contacted by Mr. Leimkuehler regarding the new European Union General Data Protection Regulation (EU GDPR) that was recently approved and will go into effect in May 2018. The new regulation will affect primarily Regent Institutions but may also affect other agencies. Ms. Rohleder wanted to make the board aware of the new regulation and begin discussions on how to proceed. Mr. Hight and Mr. Leimkuehler informed the board that they are still gathering information on what programs, units, and retention schedules, etc., that the new regulation could be applied to. They are in ongoing process of revising their entire retention schedule campus wide and wanted guidance on how the board wanted KSU to handle the new restrictions. The board discussed multiple aspects and implications that the new regulation might have on agencies and their record schedules. Determined that ultimately, the SRB focus is to schedule the retention and disposition of records. The application of laws passed by other countries is a higher-level philosophy and jurisdiction than the board. The restriction portion of the series schedule is used only as a reference to Kansas and National laws that apply or possibly apply to that record series. Until things have gone through court systems, both national and international, the EU GDPR is still evolving. Once more details are determined, special board meetings can be called to address specific issues. In the meantime, the board determined that since KSU has a deadline of May 2018, start with placing the EU GDPR into its policies and procedures and then add restrictions based on what attorneys ultimately determine need to comply.

The board then moved to last order of business. Ms. Sachs is reviewing and updating the SOS retention schedule and wanted to gather some guidance from the board. The record series destined to be transferred to the state archives but schedule states they need to be held for certain time or permanently in office are her main priority. Records are currently stored in the basement and Ms. Sachs is concerned that historical documents may be at risk and not in ideal preservation conditions. Ms. Rohleder clarified the difference between permanent retention and archival retention disposition and how it would apply to a record series. Ms. Sachs provided an example record to the board. The board reviewed and agreed that the retention schedules should be updated to ensure preservation of these types of records. Ms. Mendoza suggested that Ms. Sachs and Ms. Rohleder go over the list of series IDs to be reviewed and updated outside of current meeting. Once updated, the revised series can be presented to the board for final review and approval.

The final order of business was to confirm the proposed future meeting on April 19, 2018. With nothing further to discuss, the board adjourned at 9:57 a.m.

DRAFT

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
February 26, 2018**

1. **Agency:** Kansas Department of Administration
2. **Records Officer:** Philip Michael **Phone:** 785-291-3013
3. **Appraising Archivist(s):** Megan Rohleder
4. **Date of Appraisal:** 02/26/2018
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:**

Philip Michael contacted the appraising archivist with a request for a minor update to Series ID 0974-173. Mr. Michael's concern was with the language "Retain in office 5 calendar years, then transfer to archives for purging" in the comments section. Public Records staff discussed and agreed that a disposition of Destroy with a retention period of 5 years is appropriate for this record series. The addition of 45-221(a)(30) was also added to the restrictions section.

Retention/Disposition Schedule Entries

173-004

Department of Administration

Personnel Services

Benefits Section

Drug Screening Program Files (Series 0974-173)

Contracts, reports, correspondence, training, problem resolution, technical assistance and research relating to the drug screening tests for designated classes of state employees.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(a)(3)(4)(30)

Comments: Retain in office 5 calendar years then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-129

Last Surveyed 17 December 2001

Record Copy: Paper

Remarks: 01/22/2018 - Philip Michael requested an edit to update the language in the retention comments section. He requested the "Transfer to archives for purging" be removed and changed to destroy.

Retention/Disposition Schedule Entries

276-007

**Kansas Department of Transportation
Office of Chief Counsel
Office of Chief Counsel**

Legal Case Files (Series 0005-276)

Records regarding specific legal cases: correspondence, legal documents, reports, notes, publications, and miscellaneous reference materials.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 45-221(a)(30) & KSA 60-270

Comments: Retain in office until appeal period is over or no longer useful, transfer to storage facility for 3 years, then transfer high profile or precedent setting cases as directed by the Chief Counsel to the archives for purging, destroy the remainder.

Schedule Authority: Agency Schedule

KAR Number 53-2-123

Last Surveyed 27 January 2000

Record Copy: Unknown

Non-Litigated Case Files (Series 0006-276)

Documents relating to potential legal cases which were settled out of court.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

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

Comments: Retain in office 2 years after case is dropped, transfer to storage facility for 3 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-123

Last Surveyed 27 January 2000

Record Copy: Unknown

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
February 26, 2018**

1. **Agency:** Kansas State University
2. **Records Officer:** Ryan Leimkuehler **Phone:** 785-532-5013
3. **Appraising Archivist(s):** Megan Rohleder
4. **Date of Appraisal:** 02/12/2018
5. **a) Total records – No. of Series:** 4
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: 1
6. **Archival/Permanent records – No. of Series:** 0
7. **Appraisal Narrative:**

Ryan Leimkuehler, records officer for Kansas State University, approached KSHS staff to supersede 0077-367 Vouchers into 0084-367 to reflect current business practice. Minor revisions were requested for the Recruitment Files series (0052-367). Ryan also identified two new records series, Credit Card Sales Customer Receipts and Course Content Records be added to the agency schedule.

Retention/Disposition Schedule Entries

367-001

Kansas State University

Course Content Records (Series Unknown)

Course content records are comprised of final products shared with students created by instructors or designees to develop an educational interaction or a teaching opportunity. These records may include syllabi, reading lists, instructor-created audiovisual resources, and prepared assessment materials (e.g. blank exams and quizzes).

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See comments.

Disposition: See comments.

Restrictions: KSA 45-221(a)(1)(9); 20 U.S.C. Â§ 1232g; 34 CFR Part 99

Comments: Destroy Five (5) fiscal years from the end of term when course is taught. Academic units and instructors with infrequently taught courses can contact records management staff for assistance in updating relevant course content. Unique/Special Lectures or audiovisual resources considered historically significant contact University Archivist for consultation. A random sampling of course syllabi will be culled annually for the University Archives.

Each academic unit is responsible for maintaining accreditation records in accordance with their accreditation body; see Accreditation Reports and Review Records 0005-367.

Restrictions may also include institutional policy to share course content only to those enrolled and to limit cheating/misuse. Intellectual property of these records will be governed by the University Handbook, Appendix R: Intellectual Property Policy and Institutional Procedures.

Academic units and instructors are responsible for keeping and maintaining Course Content records. K-State online will be the management platform for the Course Content electronic Records. An email notification will be sent to the instructor and department head when the 5-year retention has been met.

Schedule Authority: Agency Schedule

Last Surveyed 28 March 2018

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 04/11/2018: R. Leimkuehler from KState Contacted records management staff to add record series.

Credit Card Customer Sales Receipts (Series Unknown)

Credit card receipts generated at the time of a purchase of goods and services from Kansas State University.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(8), (17), (30)

Comments: 1 Calendar year from date of transaction. The division where transaction occurred is the office of record.

Schedule Authority: Agency Schedule

Last Surveyed 07 March 2018

Record Copy: Paper

Remarks: 03/07/2018 mrohleder: RLeimkuehler requested new series be added to agency schedule on 02/28/2018.

Retention/Disposition Schedule Entries

367-001

Kansas State University

Recruitment Files (Series 0052-367)

Documents relating to the recruitment process to fill vacant positions. These records include all search committee materials uploaded to applicant tracker, application, resume, and supporting documentation.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 004 cldr yrs

Disposition: Destroy

Restrictions: Portions per KSA 45-221(a)(4)

Comments: Departments are responsible for maintaining all recruitment materials in the applicant tracking system in accordance with KSU Policy and Procedure Manual Chapter 4410, .090.

Schedule Authority: Agency Schedule

KAR Number 53-2-195

Last Surveyed 24 November 1994

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: RL: removal of forms from description and addition of HCS in comments.
04/21/2017 rleimkuehl: revision to description and comments.

03/07/2018 mrohleder: revision to description and remark NOTE: "Any recordings that exist of interviews should be uploaded to the applicant tracking system and managed according to retention schedule."

Retention/Disposition Schedule Entries

367-001

Kansas State University

Vouchers - Purchase (Series 0077-367)

Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA-120.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-103

Last Surveyed 14 December 1994

Record Copy: Unknown

Remarks: 02/26/2018-Ryan Leimkuehler requested to supersede to agency schedule entry 0084-367.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
February 26, 2018**

1. **Agency:** Office of the Attorney General
2. **Records Officer:** Lisa Mendoza **Phone:** 785-368-8063
3. **Appraising Archivist(s):** Megan Rohleder
4. **Date of Appraisal:** 04/06/2018
5. **a) Total records – No. of Series:** 4
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 4
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 2
7. **Appraisal Narrative:**

Lisa Mendoza contacted Public Records staff with a request to update 5 series for the Attorney General's office based on small re-structuring of divisions, small changes to the language used in the comments, and access restriction additions. These 4 record series (0199, 0172, 0191, and 0053) have all been updated to show those changes. There is one additional series (0179-082) that shows up in the Housekeeping report as well. A small revision was made to move "Materials, including records obtained from..." from the description to the more appropriate comments section.

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)

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. Digital images in system are retained permanently. 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 53-2-162

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.

082-010

Office of the Attorney General

LegalOpinions &GovernmentCounsel (LOGIC) Division

Bond/Temporary Note Review Files (Series 0053-082)

Materials associated with review of the legality of bonds and temporary notes issued by governmental entities, and the sufficiency of the transcript of proceedings used to issue bonds and temporary notes. Includes attorney's notes regarding review; correspondence; log of transcripts reviewed; specimen bond and note certificates; unapproved transcripts; billing statements and copies of payment; and other documents used to track bond review process. Does not include approved transcripts, which are forwarded to the Office of the State Treasurer and retained in accordance with 0008-670, Bond Transcripts.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(25)

Comments: Record copy may be paper or electronic. Retain until bond review process is completed and payment for bond review is received, then destroy. 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 53-2-157

Last Surveyed 15 September 2008

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Changed unit affiliation. Changed disposition.

04/06/2018: Revise to change office of record, update title, add detail to description, re-write comments, and add restriction.

082-013

Office of the Attorney General Fraud Abuse Litigation Division

External Investigation Review Files (Series 0199-082)

Documents relating to review of external agency investigations into abuse, neglect, and exploitation of children or vulnerable adults.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a), KSA 75-723

Comments: 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. Digital images in system are retained until case is closed plus 17 calendar years, then destroyed.

Schedule Authority: Agency Schedule

KAR Number 53-2-162

Last Surveyed 15 December 2009

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 1/11/10: Revised to cover change in record copy; revised retention from "Retain in office until case closed plus 2 years, transfer to the records center for 15 calendar years, then destroy."

4/6/18: Revised to update the subagency, clarify the comments and description, update title, and add restriction.

082-XXX

Office of the Attorney General Multiple subunits/subunit not defined

Case Files (Series 0172-082)

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 Action Files 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.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: Portions may be restricted pursuant to K.S.A. 22-4707, 38-2326, 45-221(a)(1)(2)(3)(4)(5)(10)(11)(14)(20)(25)(29)(30)(47), 60-226, 60-426, 75-723

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 remaining paper records and materials, as well as digital images in system, until the case is closed, plus 16 years. At conclusion of that time period, the State Archives, in consultation with the Attorney General's Office, will appraise the records and materials for transfer to Archives. If not accepted for transfer to Archives, destroy per Archives' assessment and written directive.

Schedule Authority: Agency Schedule

KAR Number 53-2-184

Last Surveyed 06 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Modified applicable subunits, description, and comments. Added restrictions. Supersedes Case Files - Litigation (0127), Litigation Records (0063-082), Case Records - General Criminal (0107-082), Case Files - Antitrust (0137-082), Amicus Curiae Records (0123-082), Case Files - Amicus Curiae (0126-082), and Investigation Files (0173-082).

1/11/10: Revised to cover reformatting to digital imaging; revised retention from "Retain in office until case is closed (include appeal, probation, and/or incarceration/parole time if applicable). Then transfer to Records center for 5 years. Then transfer to Archives for purging, unless requested by a law enforcement agency or federal agency."

1/21/2011: Revised Description to remove "evidence" and "(Evidence obtained from others may be disposed in accordance with protective order, if any.)", and to include "Materials...".

03/06/2015: revised description to include records from 0141-082 and 0144-082, Enforcement and Multi-State Action Files; revised retention and disposition comments, added restrictions, added paper as a record copy format. ERP was revised and endorsed again by the ERC in January 2013.

04/06/2018: Revised to update description with correct divisions and add Fraud Abuse Litigation. Also added 75-723 to restrictions

Housekeeping Changes Since 17 January 2018

16 April 2018

Housekeeping Edit

000-100

Local Government Records

General Schedule/All Offices

Employee Training Course Materials (Series 0029-100)

Description: Record copy of manuals, syllabi, textbooks and other training aids created for office sponsored employee training programs.

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082-XXX

Stricken items are duplicates of 0029-100. Items appear multiple times due to glitch with database.

Office of the Attorney General
Multiple subunits/subunit not defined

Case Files- No Charge Reports (Series 0179-082)

Description: Pleadings/filings, research, case notes, interviews, correspondence, and documents related to cases where no charges were filed.

~~Case Files- No Charge Reports (Series 0179-082)~~

~~Description: Pleadings/filings, research, case notes, interviews, correspondence, and documents related to cases where no charges were filed.~~

Stricken items are duplicates of 0179-082. Item appears multiple times due to glitch with database.

276-007

Kansas Department of Transportation
Office of Chief Counsel
Office of Chief Counsel

Correspondence - Assignments (Series 0002-276)

Description: Letters written and or directed to the agency which are distributed to the appropriate individual to respond.

~~Correspondence - Assignments (Series 0002-276)~~

~~Description: Letters written and or directed to the agency which are distributed to the appropriate individual to respond.~~

Stricken items are duplicates of 0002-276. Item appears multiple times due to glitch with database.

Request for Access to Records (Series 0007-276)

Description: Documents related to requests for access to state agency records and agency responses prepared pursuant to KSA 45-218.

367-001

Kansas State University

Family and Medical Leave Act (FMLA) Records (Series 0617-367)

Description: Forms and documentation for FMLA determinations for individual employees.

Superseded series

000-112

Local Government Records Juvenile Detention Facility

Accounts Payable Records (Series 0005-112)

Description: Documents related to payment for goods and services: vouchers, correspondence, invoices, ledger books and cards, etc.

Accounts Receivable Records (Series 0006-112)

Description: Documents related to the collection of payments due the facility: copies of invoices, correspondence, etc.

Banking Records (Series 0008-112)

Description: Bank statements, deposit books and slips, check registers, and canceled checks.

Bid Records (Series 0009-112)

Description: Documents related to requests for proposals, quotations, or estimates.

Correspondence - Policy Related (Series 0012-112)

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 0013-112)

Description: Incoming and outgoing letters and memoranda which pertain only to routine matters handled in a accordance with existing policy and procedures: requests for information, letters of transmittal, etc.

Employee Personnel Files (Series 0014-112)

Description: Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, and other personnel materials.

Employee Position Descriptions (Series 0015-112)

Description: Formal descriptions of duties and other characteristics of particular employment positions. Includes supporting documents.

Employee Time Report Records (Series 0016-112)

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.

Employee Training Course Materials (Series 0017-112)

Description: Record copy of manuals, syllabi, textbooks, and other training aids created for agency sponsored employee training programs.

Inventory Records - Expendable Property (Series 0018-112)

Description: Records of receipts, disbursements and balances of office supplies and other expendable inventory materials.

Material Safety Data Sheets (Series 0020-112)

Description: Documents relating to the precautions taken for the safe handling of the various hazardous chemicals used in the routine operation of the facility.

Minutes (Series 0021-112)

Description: Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.

Payroll Deduction Authorization Records - General (Series 0022-112)

Description: Documents used to authorize various deductions from an employee's pay: Insurance enrollments, GHI enrollments, KPERS Annual Account Statements, dues deduction forms, etc.

Policy Statements (Series 0023-112)

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

Purchasing Records (Series 0026-112)

Description: Documents related to the purchase of goods and services: correspondence, vouchers, invoices, ledger books and cards, requisitions, etc.

Receipts Records - Cash (Series 0027-112)

Description: Records of cash received by the agency: receipt slips, receipt books, receipt ledgers, etc.

Travel Request and Authorization Records (Series 0028-112)

Description: Records related to employee travel.

Work Orders and Logs (Series 0031-112)

Description: Internal documents used to request and record requests for the

performance of maintenance or other services.

276-000

Kansas Department of Transportation

All Divisions

All Divisions

Bid Records (Series 0014-000)

Description: Documents related to requests for proposals, bids, quotations, or estimates.

Building and Grounds Maintenance Records (Series 0018-000)

Description: Documents associated with repairs and other maintenance to the physical plant of the agency - does not include Work Orders and Logs.

Capital Improvement Projects Files (Series 0020-000)

Description: Records related to construction projects: correspondence, bids, specifications, plans, drawings, reports, notes, etc.

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.

Employee Time Report Records (Series 0039-000)

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.

Leave Requests (Series 0067-000)

Description: Internal forms used to request and authorize the taking of leave by employees.

Procedures Manuals (Series 0087-000)

Description: Original copies of agency procedures issued in a collective manual.

Professional Organizations Files (Series 0088-000)

Description: Documents relating to membership/participation in professional organizations.

Technical Reference Files (Series 0113-000)

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.

276-003

Kansas Department of Transportation

Division of Administration

Bureau of Computer Services

Application Management

Automated Program Listing/Source Code (Series 0011-000)

Description: Automated program code which generates the machine language instructions used to operate an automated information system.

Data Documentation/Data Dictionary Records (Series 0031-000)

Description: Records generally created during system development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, local relationships, and origin of the data elements.

Data System Specifications (Series 0032-000)

Description: Records necessary for using the system, user guides, system or substem definitions, system flowcharts, programs descriptions and documentation, job control or workflow records, system specifications, and input and output specifications.

Application Management/Technical Support

Computer Run Scheduling Records (Series 0023-000)

Description: Records used to schedule computer runs including daily schedules, run reports, and other records documenting the successful completion of a run.

Information Resource Planning

Information Resources Management and Data Processing (Series 0056-000)

Description: Agency IT plans, data processing service plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision or related areas.

Technical Management Support

Computer Usage Logs (Series 0025-000)

Description: Logs documenting computer system usage including but not limited to log-in files, system usage files, data entry logs, and records of individual computer program usage.

Technical Support

Hardware and Software Documentation (Series 0051-000)

Description: Records documenting the use, operation, and maintenance of an agency's computer equipment including operating manuals, hardware/software operating system requirements, hardware/software configurations, and equipment control systems.

Information Technology Disaster Preparedness and Recovery Plans (Series 0055-000)

Description: Records related to the protection and reestablishment of information technology services, equipment and data (back-up files) in case of a disaster.

System Users Access Records (Series 0110-000)

Description: Electronic or textual records created to control or monitor individual access to a system and its data for security purposes, including but not limited to, user account records, security logs, and password files.

276-004

Kansas Department of Transportation

Division of Aviation

Division of Aviation

Board Packets (Series 0015-000)

Description: Agenda, minutes, background information, etc. relating to meetings of a board or commission.

Correspondence - Routine (Series 0028-000)

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.

Customer Surveys Forms (Series 0029-000)

Description: Surveys compiled on customer satisfaction with the quality of the service provided.

Grant Files - Unfunded (Series 0050-000)

Description: Applications and supporting documentation relating to federal, state, and private grants submitted by agencies which were not funded.

Photographic and Video Materials (Series 0083-000)

Description: Photo-prints, negatives, slides, films and videotapes.

Publications (Series 0091-000)

Description: Internally produced newsletters, pamphlets, leaflets, and brochures distributed to inform a constituency about the activities of the agency.

276-007

Kansas Department of Transportation

Office of Chief Counsel

Office of Chief Counsel

Contracts (Series 0026-000)

Description: Legal agreements with individuals and organizations. Includes all associated documents, e.g.. DA-146 series.

276-025

Kansas Department of Transportation

Division of Public Affairs

Division of Public Affairs

Programs and Invitations (Series 0089-000)

Description: Documents related to official agency functions.

Controlled Unclassified Information

Definition: information that requires safeguarding or dissemination controls pursuant to and consistent with applicable law, regulations, and government-wide policies (excluding Atomic Energy Act information).

President Obama signed Executive Order 13556 (Controlled Unclassified Information) on November 4, 2010.

This order was designed to protect sensitive federal information while it resides in nonfederal information systems and organizations. It also sought to standardize and simplify the way sensitive government information is handled by eliminating inefficiencies, confusion, and unnecessary sharing restrictions.

NARA was designated as the Executive Agent to implement this program.

The order divided 109 security requirements into 14 families (such as Access Control, Incident Response, Risk Assessment). Among these requirements are:

- Limit information system access to authorized users
- Limit access to the types of functions that authorized users are permitted to execute
- Separate the duties of individuals to reduce the risk of malevolent activity without collusion
- Route remote access via managed access control points
- Authorize wireless access prior to allowing such connections
- Encrypt CUI on mobile devices
- Control the use of removable media on information system components
- Ensure that the actions of individual information system users can be uniquely traced to those users so they can be held accountable for their actions
- Define, document, approve, and enforce physical and logical access restrictions associated with changes to the information system
- Track, document, and report incidents to appropriate officials and/or authorities both internal and external to the organization
- Identify, report, and correct information and information system flaws in a timely manner

Nonfederal organizations can implement potential security solutions either directly or through managed services to satisfy CUI security requirements. If they fail to comply with these security controls, they may lose government contracts and be ineligible for future contracts.