Meeting Link:
https://us02web.zoom.us/j/82070008121?pwd=etFPY2RPeKhl4HPLBy1kzSzV6d3A4Zz09
Meeting ID: 820 7000 8121
Password: 453364
One tap mobile
+13462487799,,82070008121# US (Houston)
+16699009128,,82070008121# US (San Jose)
Dial by your location
  +1 346 248 7799 US (Houston)
  +1 669 900 9128 US (San Jose)
  +1 253 215 8782 US (Tacoma)
  +1 312 626 6799 US (Chicago)
  +1 646 558 8656 US (New York)
  +1 301 715 8592 US (Germantown)
Meeting ID: 820 7000 8121
Find your local number: https://us02web.zoom.us/u/kcf74tgZE0

1. Introductions and Announcements
2. Minutes from Previous Meeting
3. Kansas Department of Health and Environment
   a. New Series
4. Kansas State University
   a. ERP - Exxat
   b. New Series
   c. Superseded by Other Agency-Specific Entry
5. Sheriff’s Office
   a. Revised Series
6. State General Schedule
   a. New Series
   b. Revised Series
7. Housekeeping Changes:
   a. Obsolete Series
      • State General Schedule
   b. Revised Series
      • State General Schedule
   c. Superseded Series
      • State General Schedule
8. Other Business:
   a. Update on Email Guidelines Task Force
   b. Future Meetings:
      • October 15, 2020
      • January 21, 2021
      • April 15, 2021
Quorum established and meeting called to order at 8:40 a.m. by Mr. Veatch and began introductions.

Minutes: Previous meeting minutes were reviewed.

Motion: Ms. Chinn moved to approve the October 17, 2019 meeting minutes as presented. Mr. Asbury seconded, unanimous approval.

Kansas Insurance Department: Ms. Rohleder presented the Electronic Recordkeeping Plans (ERPs) for the Legal and Anti-Fraud Records System called “State-Based Systems” and the Workers’ Compensation System called “DocCenter”. Both ERPs have been endorsed by the Electronic Records Committee (ERC). Ms. Rohleder indicated that the Kansas Insurance Department wanted to get ERPs approved before updating their records retention schedules. 

Motion: Mr. Veatch moved to approve both ERPs as presented. Ms. Chinn seconded, unanimous approval.

Kansas Corporation Commission: Mr. Anderson indicated that all the revised series being presented now had previously been tabled in order to gather additional information and
clarification. Series have been updated and now presenting to board for approval. The Utilities Division record series were reviewed. No additional discussion.

**Motion:** Mr. Veatch moved that series 0186-143 and 0210-143 be approved as presented. Mr. Asbury seconded, unanimous approval.

The board then reviewed the Conservation Divisions revised series. Mr. Fisher indicated that the description for series 0346-143 be revised for further clarification. Description should read, “Index cards describing how oil/gas production wells are completed, including drill stem test results, formation tops, and zones completed.”

**Motion:** Mr. Veatch moved to approve series 0346-143 as amended. Ms. Chinn seconded, unanimous approval.

The board then reviewed the Litigation Division revised series entries. Ms. Mendoza questioned if the shortened retention period was still long enough. Mr. Meyers indicated that the retention period of 3 calendar years after matter is closed was more than sufficient.

**Motion:** Mr. Asbury moved to approve as submitted. Mr. Veatch seconded, unanimous approval.

The board reviewed the Underground Injection Control Section series. They determined that the description for series 0345-143 should read, “Docket file based on Underground Injection Control (U.I.C.) Permit number, including plat maps, logs, application, correspondence, orders, transfers, mechanical integrity results, annual reports of fluid injection, etc.”

**Motion:** Mr. Veatch moved to approve as amended. Ms. Rurode seconded. All in favor.

Board reviewed the series 0249-143 and determined it should be superseded to another Agency-Specific Entry. No further discussion.

**Motion:** Mr. Asbury moved to supersede series 0249-143, Ms. Chinn seconded, unanimous approval.

**Conservation Districts:** Mr. Anderson provided a brief description of the series and why they are being presenting to the board. Mr. Veatch commended Mr. Carlson for taking the initiative to ensure locally generated district records be preserved. The board reviewed and determined that the only correction to be made was to Water Resources Cost-Share Program Files. The description should state, “Correspondence, checklist, inspection reports, etc., submitted by conservation districts to the Department of Agriculture requesting state cost-share assistance for flood detention structures.”

**Motion:** Mr. Veatch moved to approve as amended. Ms. Chinn seconded, unanimous approval.

**Kansas State University:** Ms. Rohleder presented the ERP for the Acalog system and a brief description. The ERC amended ERP to show that it is a policy-based system not system-based and endorsed. Mr. Leimkuehler indicated that K-State was using Archive-It to capture as well. No further discussion.
**Motion:** Mr. Chinn moved to approve ERP as submitted. Mr. Asbury seconded, unanimous approval.

Board moved on to discuss proposed new series entries. It was determined that the comments for the “General Catalogs” series should read, “The office of the University Registrar is the office of record for current records. The university archives is the office of record for legacy records. All legacy records prior 2007 are in paper format and stored in a vault.” Board determined that new series “NCAA Academic Progress Reporting Records” description should read, “Series includes records required by the NCAA to chart student athlete academic progress: Academic Progress Rate, Graduation Success Rate, and Big 12 Certifications.” Board then discussed new series “Out of State Appeals Board Records” and tabled until KSU legal department could determine correct verbiage and confirm retention period.

**Motion:** Ms. Chinn moved to table new series “Out of State Appeals Board Records.” Mr. Veatch seconded, unanimous approval.

**Motion:** Mr. Veatch moved to approve “NCAA Academic Progress Reporting Records” as amended and remaining new entries as submitted. Mr. Asbury seconded, unanimous approval.

The board reviewed record series to be superseded and no further discussion.

**Motion:** Mr. Veatch moved to approve superseded series. Ms. Rurode seconded, unanimous approval.

*Kansas Historical Society:* Mr. Anderson presented the new series. Mr. Veatch elaborated on the importance of this series and how forms link digital files to their associated metadata in the event of a disaster. No further discussion.

**Motion:** Mr. Asbury moved to approve series as presented. Ms. Rurode seconded, unanimous approval.

*Housekeeping:* Mr. Anderson briefly went over the housekeeping changes. He indicated that series 0309-046 and 0310-046 will not be made obsolete. No further discussion necessary.

*Other Business:* Mr. Rohleder provided a brief update on progress working with agencies that are being reorganized. She indicated that due to the size of agencies and out of date retention schedules that additional meetings may be necessary due to volume of needed updates to schedule entries.

With nothing further to discuss, the board adjourned at 9:58 a.m.
1. **Agency:** Kansas Department of Health and Environment

2. **Records Officer:** Katelyn Radloff  
   **Phone:** 785-296-1333

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

4. **Date of Appraisal:** 4/9/2020

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

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

7. **Appraisal Narrative:**

   Chris Seeds contacted Public Records staff about creating a series for incomplete permit applications. Though completed applications are retained under series 0813-264 Industrial Stormwater Construction Files, a new series is necessary to ensure that incomplete applications can be destroyed once they no longer serve any administrative use. Katelyn Radloff also contacted agency staff regarding records of the Institutional Review Board (IRB), which reviews and monitors research involving human subjects. This series is heavily influenced by the national requirements for IRB records as outlined in CFR § 46.115.
Retention/Disposition Schedule Entries

264-002
Department of Health and Environment
Environment Division
Bureau of Water

Incomplete General Permit Applications (Series Unknown)
Incomplete applications and related documents for any National Pollutant Discharge Elimination System (NPDES) general permit for which there has been no activity within the last year.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 1 calendar year after expiration of permit
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 22 June 2020
Record Copy: Paper

264-003
Department of Health and Environment
Health Division
Institutional Review Board

Institutional Review Board (IRB) Records (Series Unknown)
Copies of all research proposals involving human subjects reviewed by the Institutional Review Board. Series may include, but is not limited to scientific evaluations, sample consent forms, statements of significant new findings, progress reports, reports of injuries to subjects, and correspondence with investigators.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 3 calendar years after research is completed
Disposition: Destroy
Restrictions: None
Comments: Pursuant to requirements of CFR Â§46.115.
Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 22 June 2020
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
1. **Agency:** Kansas State University

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

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

4. **Date of Appraisal:** 6/15/2020

5. a) **Total records – No. of Series:** 13  
   b) **New series – No. of Series:** 12  
   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:** 1  
   f) **Series superseded by general schedule entries – No. of Series:** 0

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

7. **Appraisal Narrative:**

   Ryan Leimkuehler contacted Public Records staff about creating 12 new series for Kansas State University’s Office of the University Registrar, McCain Auditorium, K-State Libraries, and the Office of Institutional Research. These additions are part of an ongoing effort by K-State to ensure all offices and departments are in compliance with records laws. Out of State Appeals Board Records was previously tabled at the January 16, 2020 meeting over concerns with the “pending no ongoing litigation” language in the comments. The electronic records associated with Transfer Transcripts for Current/Enrolled Students are maintained in ImageNow, while the Semester Honors List records are maintained in KSIS. Electronic Recordkeeping Plans for these two systems were approved by the Electronic Records Committee on December 20, 2016 and September 17, 2019.
<table>
<thead>
<tr>
<th><strong>DATE</strong></th>
<th>5/22/2020</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AGENCY</strong></td>
<td>Kansas State University, 367</td>
</tr>
<tr>
<td><strong>AGENCY CONTACT</strong></td>
<td>Ryan Leimkuehler – <a href="mailto:rleimkue@ksu.edu">rleimkue@ksu.edu</a></td>
</tr>
<tr>
<td><strong>AGENCY BUSINESS FUNCTIONS SUPPORTED BY SYSTEM</strong></td>
<td>Cohort and Preceptor management, Clinical rounds records and evaluation</td>
</tr>
<tr>
<td><strong>ELECTRONIC RECORDKEEPING SYSTEM OVERVIEW</strong></td>
<td></td>
</tr>
<tr>
<td><strong>NAME OF SYSTEM</strong></td>
<td>Exxat</td>
</tr>
<tr>
<td><strong>NEW SYSTEM OR SYSTEM UPGRADE?</strong></td>
<td>New system</td>
</tr>
<tr>
<td><strong>CLOUD OR ON-PREMISE STORAGE?</strong></td>
<td>Cloud</td>
</tr>
<tr>
<td><strong>VENDOR OVERVIEW</strong></td>
<td>The all-in-one education management software that streamlines handling data, documents, and relationships with students and clinical sites.</td>
</tr>
<tr>
<td><strong>LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP</strong></td>
<td></td>
</tr>
<tr>
<td><strong>PREVIOUSLY APPROVED RECORD SERIES</strong></td>
<td>Click or tap here to enter text.</td>
</tr>
<tr>
<td><strong>PROPOSED RECORD SERIES</strong></td>
<td>Click or tap here to enter text.</td>
</tr>
</tbody>
</table>
Retention/Disposition Schedule Entries

367-001
Kansas State University

Complimentary Ticket Records (Series Unknown)
Record series includes complimentary tickets list, personal contact information, show title, and list of criteria for receipt of tickets.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(30)

Comments: Retain 5 fiscal years then destroy, provided all audit requirements have been resolved. McCain Auditorium is the office of record.

Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 09 June 2020
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Institutional Research External Public Report Records (Series Unknown)
Reports generated for public reference regarding enrollment levels, department profiles, degrees conferred, Graduate Teaching Assistant/Graduate Research Assistant/Graduate Assistant salaries and demographics, and diversity and inclusion reports.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 5 academic years
Disposition: Destroy
Restrictions: None

Comments: The Office of Institutional Research is the office of record.

Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 09 June 2020
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Institutional Research Internal Report Records (Series Unknown)
Reports generated for internal reference regarding course grade distributions, enrollments by course and major, student demographic profiles (including maps), drop rates, movement between colleges and majors, etc.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 5 academic years
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(1), 20 U.S.C. 1232g; 34 CFR Part 99.
Comments: The Office of Institutional Research is the office of record.
Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 09 June 2020
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

KSU Official Transcript Request Records (Series Unknown)
Series includes all records regarding requests for official university transcripts.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 3 fiscal years
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(1), 20 U.S.C. 1232g; 34 CFR Part 99.
Comments: Office of the University Registrar is the office of record.
Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 15 June 2020
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Library Outreach Tracking Records (Series Unknown)
Records containing general information about in-person or virtual events whose primary purpose is to promote library services and collections. Information includes time, place, and purpose of the event, number of attendees, name or organizer, partners involved, and resources required to develop the event.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 3 calendar years
Disposition: Destroy
Restrictions: None
Comments: K-State Libraries is the office of record.
Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 09 June 2020
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Library Reference Requests (Series Unknown)
Series consists of reference requests received by library employees, transcriptions of electronic communications, and reference information provided to patrons.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 2 academic calendar years
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(7)(23)(30)(49)
Comments: K-State Libraries is the office of record.
McCain Show Box Office Report Records (Series Unknown)
Records relating to show sales statistics, including sales numbers, discounts, attendance, number of complimentary tickets, method of purchase, etc.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 5 fiscal years
Disposition: Destroy
Restrictions: None
Comments: McCain Auditorium is the office of record.

McCain Show Summary Report Records (Series Unknown)
Series includes summaries of show events, attendees, and incident reports.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 3 fiscal years
Disposition: Destroy
Restrictions: None
Comments: McCain Auditorium is the office of record.

McCain Volunteer List Records (Series Unknown)
Records relating to the activities of McCain volunteers, including lists of ticket credits, shows worked, show work requests, and personal contact information.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 2 fiscal years
Disposition: Destroy
Restrictions: KSA 45-221(a)(30)
Comments: McCain Auditorium is the office of record.
Out of State Appeals Board Records (Series Unknown)
Correspondence, student application packets, and decision letters sent by the office of the University Registrar to the Out of State Appeals Board, which hears student appeals for in-state tuition consideration.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: See Comments
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(1), 20 U.S.C. 1232g; 34 CFR Part 99.
Comments: Retain 5 calendar years from last attendance, pending no ongoing litigation.

The office of the University Registrar is the office of record.
Schedule Authority: Agency Schedule
KAR Number 53-2-205
Last Surveyed 16 January 2020
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 01/16/2020 eanderson: series tabled by SRB over concerns with 'ongoing litigation' language in comments.

Semester Honors List (Series Unknown)
Series includes the semester honors list recognizing students for academic achievement.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: Permanent
Disposition: Permanent
Restrictions: Portions may be restricted per KSA 45-221(a)(1), 20 U.S.C. 1232g; 34 CFR Part 99.
Comments: The office of the University Registrar is the office of record.
Schedule Authority: Agency Schedule
KAR Number 53-2-206
Last Surveyed 15 June 2020
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed

Transfer Transcripts for Current/Enrolled Students (Series Unknown)
Documents recording the course work completed at other institutions which are used to support admission or graduation qualifications.
Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 5 years after last attendance
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(1), 20 U.S.C. 1232g; 34 CFR Part 99.
Comments: Office of Undergraduate Admissions is the office of record for undergraduate records. Office of Graduate Admissions is the office of record for graduate records. Once a
student is enrolled, the Office of the University Registrar is the office of record.

**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-206  
**Last Surveyed** 15 June 2020  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Endorsed**
Retention/Disposition Schedule Entries

367-001
Kansas State University

Transfer Transcript Files (Series 0068-367)
Documents recording the course work completed at other institutions which are used to support admission or graduation qualifications.

Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: KSA 45-221(a)(1)
Schedule Authority: Agency Schedule
KAR Number 53-2-103
Last Surveyed 15 June 2020
Record Copy: Unknown
Remarks: 06/15/2020 eanderson: superseded by proposed series Transfer Transcripts for Current/Enrolled Students.
1. **Agency:** Sheriff’s Office

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

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

4. **Date of Appraisal:** 4/7/2020

5. 
   
   **a) Total records – No. of Series:** 2
   
   **b) New series – No. of Series:** 0
   
   **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:** 0

7. **Appraisal Narrative:**

   After a number of high-profile shootings and inaction by the state legislature, Kansas Historical Society staff deemed it necessary to revise series 0009-114 In-car Video Footage to include law enforcement body camera footage. The title, description, and comments of this series have been expanded. In keeping with the previous series and after careful review of national and regional trends, the retention period for non-evidential recordings was kept at 90 days. As evidential recordings are kept in the associated case file, it was also necessary to reword the description of series 0004-114 Case Files. Examples of video footage are now included, while references to descriptions of video footage and faxes have been deleted.

   Due to the sensitivity and implications of this issue, Kansas Historical Society staff sent a brief survey to members of both Law Enforcement Resource Allocation (LERA) and the Kansas Sheriffs Association. The results of the survey are included on the following pages.
**Body Camera Retention Schedule Survey Response Data**
Survey open and close dates: February 11 – March 6, 2020
Total survey responses: 18

This survey will ask for your input on the following proposed retention schedule:

SERIES: 0009-114
TITLE: Audio and Video Recordings
DESCRIPTION: Audio and video recordings created using mobile recording devices. This series may include, but is not limited to: dashboard cameras, body-worn cameras, dog cameras, and unmanned aerial vehicle (UAV) cameras.
RETENTION: See Comments
COMMENTS: Retain non-evidential recordings 90 days, then destroy. Retain evidential recordings with the associated case file (series 0004-114).
DISPOSITION: See Comments
RESTRICTIONS: KSA 45-221(a)(10)

***Please note that the description to Case Files (series 0004-114) will also be modified to clearly state that video footage may include footage from dashboard cameras, body-worn cameras, dog cameras, and unmanned aerial vehicle cameras.***

**Question 1: Is the proposed series description clear and concise?**

<table>
<thead>
<tr>
<th>ANSWER CHOICES</th>
<th>RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>94.44%</td>
</tr>
<tr>
<td>No</td>
<td>5.56%</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
</tr>
</tbody>
</table>

**Question 2: Is there anything you would like to change or add to the series description?**
Comments:
- “90 days for non-evidential footage is long and takes up storage space. 45 days is more in line.”
- “It would be helpful to include more clarification concerning retention of evidential recordings.”

**Question 3: This schedule proposes a retention period of 90 days. Is this retention period too long, too short, or about right?**
Question 4: If you would like a different retention period, please specify what length of time you’d prefer.
Comments:
- “90 days is sufficient”
- “6 months”
- “30 days”
- “30-60 days”
- “30-45 days”
- “90 days is perfect”
- “If it is not evidentiary, then delete the footage at the end of shift.”
- “The 90 day for non-evidential recordings is reasonable.”

Question 5: Would your agency be capable of complying with a 90 day retention period?
Question 6: Is it clear what non-evidential and evidential recordings are?

![Bar chart showing responses to Question 6]

<table>
<thead>
<tr>
<th>ANSWER CHOICES</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>94.44%</td>
</tr>
<tr>
<td>No</td>
<td>5.56%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>18</td>
</tr>
</tbody>
</table>

Question 7: Do you have any other thoughts or comments on this retention schedule?

Comments:

- “Many of our in-dash cameras record constantly and continue to record over old data until a specific event where the user will pull that event off. I do not want to keep all the data.”
- “That matches our current policy.”
- “My agency is small, I don’t have the time, manpower or capabilities [to] deal with unnecessary footage. If it is evidentiary, download a copy and place in case file and move on.”
- “The retention schedule being attached to the case files category is concerning. The amount of storage space and the associated cost will be astronomical, and quite honestly, cost prohibitive to most small and medium sized departments.”
- “This is what our agency is currently using for our car and body worn policy.”
- “Looks good, and it’s great that the description for the case files retention will be updated to include this type of material.”
Retention/Disposition Schedule Entries

000-114
Local Government Records
Sheriff's Office

Audio and Video Recordings (Series 0009-114)
Audio and video recordings created using mobile recording devices. This series may include, but is not limited to: dashboard cameras, body-worn cameras, dog cameras, and unmanned aerial vehicle (UAV) cameras.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(10)
Comments: Retain non-evidential recordings 90 days, then destroy. Retain evidential recordings with the associated case file (series 0004-114).
Schedule Authority: Agency Schedule
KAR Number 53-3-133
Last Surveyed 15 June 2020
Record Copy: Electronic, Analog
Electronic Recordkeeping Plan Not Required
Remarks: 05/11/2016 jhammersch: corrected KAR number from 52-2-133. 06/15/2020 eanderson: expanded scope of series. Changed title from "In-car Video Footage" to "Audio and Video Recordings," changed series description to include footage from multiple devices, and tied evidential recordings to 0004-114 in the comments.

Case Files (Series 0004-114)
Files containing offense reports, statements, fingerprints from the scenes of crimes, evidence submission/custody sheets, photographs, video footage (which may include footage from dashboard cameras, body-worn cameras, dog cameras, and unmanned aerial vehicle (UAV) cameras), telephone notes, memos, etc. Includes Crime Lab Files and Investigative Files.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions may be restricted per KSA 45-221(a)(10)
Comments: Retain after statute of limitations expires, plus 20 calendar years for felonies or plus 5 calendar years for misdemeanors, then destroy. Retain murder cases for 80 calendar years, then destroy. Retain unsolved murder cases permanently.
Schedule Authority: Agency Schedule
KAR Number 53-2-133
Last Surveyed 15 June 2020
Record Copy: Paper, Electronic, Analog
Electronic Recordkeeping Plan Not Required
Remarks: 06/15/2020 eanderson: added examples of video footage to description and deleted "or description of video footage." Also deleted "faxes" from description and "See Attorney
General's Opinion 87-25" from comments.
1. **Agency**: State General Schedule

2. **Records Officer**: Phone:

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

4. **Date of Appraisal**: 6/19/2020

5. **a) Total records – No. of Series**: 18

   **b) New series – No. of Series**: 1

   **c) Revised existing series – No. of Series**: 11

   **d) Obsolete schedule entries – No. of Series**: 2

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

   **f) Series superseded by general schedule entries – No. of Series**: 4

6. **Archival/Permanent records – No. of Series**: 14

7. **Appraisal Narrative**:

   Staff at the Kansas Historical Society have undertaken a comprehensive update of the State General Schedule. Many of the series have not been updated in decades and some contain references to outdated practices and technologies. The goal of this project is not only to fix these issues but address a number of other issues. These include reorganizing the series into more appropriate categories, superseding or deleting obsolete series, and providing more objective and specific retention periods. To make this effort as transparent as possible, two surveys have been sent to all agency records officers for feedback. The results of these surveys are attached.

   In addition, in order to effectively capture records documenting the ongoing coronavirus pandemic, staff at the Kansas Historical Society have created a new series entitled Records of Unusual Importance or Exceptional Historical Interest. This series is based on a similar series developed by the United States Navy. It does not pertain to records covered by an existing retention schedule.
Question 1: The retention period for series 0004-000 Agency Director’s Files will be changed from “Retain until no longer useful, then transfer to the archives for purging” to “Retain until director leaves position, then transfer to the archives.” Do you agree with this proposed change?

![Bar chart showing survey responses]

<table>
<thead>
<tr>
<th>ANSWER CHOICES</th>
<th>RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>76.00%</td>
</tr>
<tr>
<td>No</td>
<td>24.00%</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
</tr>
</tbody>
</table>

Comments:

- “For continuation of operations, it’s important for files of prior director to be available to sit to the successor. The current language gives appropriate discretion to the agency. Agency discretion should be maximized.”
- “Because there may be times we need to refer to the previous director’s files for guidance on a current issue.”
- “Would suggest retain for period of time (maybe 6 months) after director leaves position until new director reviews and keeps what is pertinent to them.”
- “Generally OK, but the new director may need older files for reference, they should not be sent over before the transfer of office.”
- “Usefulness could end before the Director’s term or vice versa. It’s easier to purge based on use than a person’s tenure.”
Question 2: The retention of series 0005-000 Annual and Special Reports will be changed from “Retain until no longer useful, then transfer to the archives” to “3 fiscal years.” The disposition of the records will remain Archives. Do you agree with this proposed change?

Comments:
- “At times, legislative requests are made for historical data – looking for trends up to ten years. While some are predictable where data can be collected for these specific requests, some require the use of annual reports to collect or validate data for the requests. The current language allows the flexibility in each Agency to determine if such reports need to be retained longer.”

Question 3: The retention of series 0015-000 Board Packets will be changed from “Retain until no longer useful, then transfer 1 packet to the archives and destroy the remainder” to “Retain 3 fiscal years, then transfer 1 packet to the archives and destroy the remainder.” Do you agree with this proposed change?

Answers:

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<th>ANSWER CHOICES</th>
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<tr>
<td>Yes</td>
<td>96.00%</td>
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<td>No</td>
<td>4.00%</td>
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<tr>
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<td>80.00%</td>
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<td>No</td>
<td>20.00%</td>
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Comments:
- “Prior board packets are sometimes useful for reference. The usefulness of these packets will vary greatly from agency to agency, and it’s appropriate to give the agency the discretion.”
- “An agency may have reasons to have close at hand the packet. I think 5 years would be a better retention period.”
- “We are not sure our board packets are very relevant beyond even a year because the cumulative effect is that anything decided in Year 1 has been displaced by Year 2 or Year 3. However, if this is a minimum timeline for historical reasons, we understand KSHS’ reasons.”
- “For the Elections Objections Board we keep everything back several decades for reference. Generally the change seems reasonable.”

Question 4: The retention of series 0052-000 Hearing and Meeting Transcripts and Electronic Media Recordings will be changed from “Retain until no longer useful, then contact the archives for appraisal – if not accepted by the archives, then destroy” to “Retain 90 days, then transfer transcripts to the archives, destroy the remainder.” Do you agree with this proposed change?

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<th>ANSWER CHOICES</th>
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<td>72.00%</td>
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Comments:
- “It’s often necessary to retain hearing or meeting transcripts significantly longer, especially for appealed cases. Again, the discretion should be with the agency.”
- “There are times we need to refer back to prior transcripts or recordings.”
- “Agree so long as that is a minimum and we can keep longer if we need the information.”
- “Need to retain hearing transcripts much longer than 90 days.”
Question 5: The retention of series 0069-000 Legislative Relations Files will be changed from “Retain until no longer useful, then transfer to the archives for purging” to “3 calendar years.” The disposition will remain Archives. Do you agree with this proposed change?

![Bar chart showing responses]

**Answer Choices**
- Yes: 96.00% (24)
- No: 4.00% (1)

**Total**: 25

Comments:
- “Discretion should be with the agency.”

Question 6: The comments for series 0074-000 Memorandum of Understanding or Agreement – Interagency will be changed from “Retain until agreement becomes inactive plus 5 calendar years, then contact the archives for appraisal – if not accepted for transfer to the archives then destroy” to “Retain until agreement becomes inactive plus 5 calendar years, then transfer to the archives.” The disposition will also change from “See Comments” to Archives. Do you agree with these changes?

![Bar chart showing responses]

**Answer Choices**
- Yes: 100.00% (25)
- No: 0.00% (0)

**Total**: 25
Question 7: The retention of series 0075-000 Minutes will be changed from “Retain until no longer useful, then transfer to the archives” to “3 calendar years.” The disposition will remain Archives. Do you agree with this change?

![Bar chart showing responses to the question]

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<tr>
<th>ANSWER CHOICES</th>
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<tr>
<td>Yes</td>
<td>80.00%</td>
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<tr>
<td>No</td>
<td>20.00%</td>
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Comments:
- “It’s effective and efficient for the agency to have discretion.”
- “There are times when we refer back to minutes.”
- “I would prefer 5 years.”
- “Minutes should be retained by the Agency for future directors to review.”

Question 8: The retention of series 0084-000 Policy Statements will be changed from “Retain until no longer useful, then transfer to the archives…” to “Retain until superseded or no longer in effect, then transfer to the archives.” Do you agree with this proposed change?

![Bar chart showing responses to the question]

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<tr>
<th>ANSWER CHOICES</th>
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<tr>
<td>Yes</td>
<td>100.00%</td>
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<td>No</td>
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</table>
Question 9: The description of series 0095-000 Records Management Records will be expanded to include destruction notices. The comments will be changed to “Retain destruction notices permanently. Retain all other materials until superseded, then destroy.” Do you agree with these changes?

Comments:
- “This should be more limited to avoid unnecessary burden on agencies.”
General Schedule Update – Administrative Section, Part II Survey Response Data
Survey open and close dates: June 22 – July 7, 2020
Total survey responses: 20

Question 1: The comments for series 0099-000 Schedules – Office Activities will be changed from “Retain until no longer useful, then destroy or delete” to “Retain until business is completed, then destroy. Schedules of agency directors should be retained according to series 0004-000.” Do you agree with this proposed change?

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<td>No</td>
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<td>TOTAL</td>
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Question 2: The retention period for Series 0108-000 Strategic Planning Files will be changed from “Retain until no longer useful or superseded, then transfer to the archives for purging” to “Retain until superseded, then transfer to the archives.” Do you agree with this proposed change?

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<td>100.00%</td>
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<td>TOTAL</td>
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Question 3: Series 0058-000 Internal Memos – Policy Related will be superseded by 0027-000 Correspondence – Policy Related. Do you agree with this proposed change?

Comments:
- "My only concern is whether people will know that ‘correspondence’ includes internal memos."

Question 4: Series 0059-000 Internal Memos – Routine will be superseded by series 0028-000 Correspondence – Routine. Do you agree with this proposed change?

Comments:
- “Same as above. My concern goes away if it is clearly stated.”
Question 5: Series 0062-000 Kansas Public Disclosure Commission Statements of Substantial Interest will be marked obsolete (these forms are now kept electronically with the Secretary of State's Office). Do you agree with this proposed change?

![Bar Chart]

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<td>100.00%</td>
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Question 6: Series 0063-000 Kansas Quality management (KQM) Files will be marked obsolete. Do you agree with this proposed change?

![Bar Chart]

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Question 7: Series 0097-000 Reorganization Studies will be superseded by series 0076-000 Organizational Charts. The new description for the latter series will read “Records documenting the agency’s current and proposed organizational structure.” Do you agree with this change?

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<tbody>
<tr>
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Retention/Disposition Schedule Entries

000-001
State General Retention and Disposition Schedule
Administrative

Records of Unusual Importance or Exceptional Historical Interest (Series Unknown)
Records that depict important unique situations of continuing interest, important policy transactions or decisions, or unusual noteworthy events.

Entry Status: Ready for SRB
Recommended Status: Approve As New
Retention Period: 1 calendar year
Disposition: Archives
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 19 June 2020
Record Copy: Paper, Electronic, Analog
Electronic Recordkeeping Plan Not Required
Retention/Disposition Schedule Entries

000-001
State General Retention and Disposition Schedule
Administrative

Agency Leadership Files (Series 0004-000)
Correspondence, reports, budgets, schedules, etc. of agency directors, assistant directors, or key policy decision-makers relating to the administration and operation of the agency.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Comments: Retain until individual leaves position, then contact archives for appraisal - if not accepted, then destroy.

Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 06/30/2020 eanderson: renamed series from Agency Director’s Files to Agency Leadership Files, expanded description to include schedules and files from individuals other than just agency directors, and spelled out applicable restrictions. Lastly, changed comments from "Retain until no longer useful, then transfer to the archives for purging" to "Retain until individual leaves position, then contact archives for appraisal - if not accepted, then destroy."

Annual and Special Reports (Series 0005-000)
General and specific reports on agency activities.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 3 fiscal years
Disposition: Archives
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 06/30/2020 eanderson: deleted comments and changed retention period to 3 fiscal years.

Board Packets (Series 0015-000)
Agenda, minutes, background information, etc. relating to meetings of a board or commission.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions may be restricted per KSA 75-4319
Comments: Retain 3 calendar years, then transfer 1 packet to the archives and destroy the remainder.
Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 06/30/2020 eanderson: spelled out applicable restrictions and changed comments from "Retain until no longer useful..." to "Retain 3 calendar years..."

Hearing and Meeting Transcripts and Electronic Media Recordings (Series 0052-000)
Transcripts, notes, and audio/visual recordings of agency hearings and meetings.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain 90 days, then transfer transcripts to the archives, destroy the remainder.
Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic, Analog
Electronic Recordkeeping Plan Not Required
Remarks: 06/30/2020 eanderson: reworded description and changed "audiotapes, videotapes" to "audio/visual recordings", changed comments from "Retain until no longer useful, then contact the archives for appraisal - if not accepted by the archives, then destroy" to "Retain 90 days, then transfer transcripts to the archives, destroy the remainder."

Legislative Relations Files (Series 0069-000)
Copies of bills, drafts of legislation, notes, correspondence, testimony etc. relating to various legislative activities.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: 3 calendar years
Disposition: Archives
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 06/30/2020 eanderson: deleted comments and changed retention period to 3 calendar years.

Memoranda of Understanding or Agreement - Interagency (Series 0074-000)
Formal agreements reached between state, local, and/or federal agencies. Includes correspondence and other materials related to the adoption of an agreement or any amendments.

**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** See Comments  
**Disposition:** Archives  
**Restrictions:** Portions may be restricted per KSA 45-221(a)(14)(20)(25)  
**Comments:** Retain until agreement becomes inactive plus 5 calendar years, then transfer to the archives.  

**Schedule Authority:** General Schedule  
**KAR Number** 53-2-206  
**Last Surveyed** 30 June 2020  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Not Required**

**Remarks:** 03/12/2015: added restriction, based upon initial discussions with Department of Administration's legal services.  
06/30/2020:anderson: changed disposition to Archives and removed appraisal language from comments.

**Minutes** (Series 0075-000)  
Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** 3 calendar years  
**Disposition:** Archives  
**Restrictions:** None  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-206  
**Last Surveyed** 30 June 2020  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Not Required**

**Remarks:** 06/30/2020: anderson: deleted comments and changed retention period to 3 calendar years.

**Procedures Manuals** (Series 0087-000)  
Original copies of policies and procedures which govern the operations of the agency.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** See Comments  
**Disposition:** See Comments  
**Restrictions:** None  
**Comments:** Retain until superseded or no longer in effect, then transfer 1 copy to the archives, destroy the remainder.  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-206  
**Last Surveyed** 30 June 2020
Records Management Records (Series 0095-000)
Documents related to the management of agency records including completed survey forms, inventories, schedules, destruction notices, and other miscellaneous materials such as correspondence or reference materials.

Electronic Recordkeeping Plan Not Required

Remarks: 06/30/2020 eanderson: changed title from Procedures Manuals to Polices and Procedures, reworded description, and changed sub-agency from Reference to Administrative.

Records Management Records (Series 0095-000)
Documents related to the management of agency records including completed survey forms, inventories, schedules, destruction notices, and other miscellaneous materials such as correspondence or reference materials.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain destruction notices permanently. Retain all other materials until superseded, then destroy.

Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 06/30/2020 eanderson: added 'destruction notices' to the description, and changed comments from "Retain survey forms, schedules, and inventories until superseded, then destroy. Contact the archives for appraisal of other documents - if not accepted for transfer to the archives, then destroy" to "Retain destruction notices permanently. Retain all other materials until superseded, then destroy."

Schedules - Office Activities (Series 0099-000)
Internal forms, appointment books, paper and electronic calendars used to schedule employees, office activities, vehicles, meeting rooms, etc.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until business is completed, then destroy. Schedules of agency directors should be retained according to series 0004-000.

Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 06/30/2020 eanderson: changed comments from "Retain until no longer useful, then destroy or delete" to "Retain until business is completed, then destroy. Schedules of agency directors should be retained according to series 0004-000."

Strategic Planning Files (Series 0108-000)
Variety of documents relating to the strategic planning process for the agency.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until superseded, then transfer to the archives.
Schedule Authority: General Schedule
KAR Number 53-2-206
Last Surveyed 30 June 2020
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 06/30/2020 eanderson: changed comments from "Retain until no longer useful or superseded, then transfer to the archives for purging" to "Retain until superseded, then transfer to the archives."
Housekeeping Changes Since 17 January 2020
16 July 2020

Obsolete

000-001
State General Retention and Disposition Schedule
Administrative

Kansas Public Disclosure Commission Statements of Substantial Interest (Series 0062-000)
Description: Agency copies of statements of substantial interest requested on a yearly basis and filed with the Secretary of State’s office.

Kansas Quality Management (KQM) Files (Series 0063-000)
Description: Variety of documents relating to the planning, implementation, and documentation of KQM for the agency.

Housekeeping Edit

000-001
State General Retention and Disposition Schedule
Administrative

Administrative rules and regulations files (Series 0228-000)
Description: Records related to the process of proposing administrative rules and regulations (KARs) for adoption. May include drafts and final copies of proposed, revised, and/or revoked regulations, correspondence, legislation and bills affecting creation of regulations, meeting minutes and sign-in sheets from public hearings, notices of meetings, tape recordings, and other related records.

Audit Reports (Series 0009-000)
Description: Results of audits conducted by Legislative Division of Post-Audit and other state and/or federal auditing agencies.

Budget Preparation Files – Annual (Series 0016-000)
Description: Documents used in the preparation of annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.

Budget Requests and Appeals – Annual (Series 0017-000)
Description: Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 through 518 and associated supporting documents.
Committee Files (Series 0022-000)
Description: Records relating to the establishment, organization, membership, policies, activities and accomplishments of internal, interagency, and advisory committees.

Customer Surveys Forms (Series 0029-000)
Description: Surveys compiled on customer satisfaction with the quality of service provided.

Inter-Agency Work Orders (Series 0057-000)
Description: Forms used to request and record the performance of services from another state agency.

Lists of Outstanding Obligations (Series 0070-000)
Description: Copies of DA forms 118 submitted to Division of Accounts and Reports to encumber funds from current fiscal year to pay for goods or services to be received during the following fiscal year.

Litigation Case Files (Series 0071-000)
Description: Correspondence, court documents, research materials, reports, press releases, etc. documenting agency litigation activities.

Organizational Charts (Series 0076-000)
Description: Records documenting the agency’s current organizational structure.

Professional Organizations Files (Series 0088-000)
Description: Documents relating to membership/participation in professional organizations.

Request for Access to Records (Series 0098-000)
Description: Documents related to requests for access to state agency records and agency responses prepared pursuant to KSA 45-218.

Work Orders and Logs (Series 0130-000)
Description: Internal documents used to request and record requests for the performance of maintenance or other services.

Grant Files – Grants Applied for by State Agencies (Series 0238-000)
Description: Applications, supporting documentation, correspondence, and other records relating to federal, state, and private grants applied for by a Kansas state agency. Includes both funded and unfunded/unaccepted grant application records.

Grant Files – Grants Administered by State Agencies (Series 0239-000)
Description: Records regarding the administration of grants awarded by a Kansas state agency to other state agencies and/or local entities. May include applications, correspondence, financial documentation, reports, and other related materials from
managing individual grants. Also includes records related to the overall grant program administration, which may include but is not limited to drafts of materials, dissemination information, reference information, grant program rules and guidelines, and summary reports of program outcomes.

Training Records (Series 0246-000)
Description: Correspondence, reports, and other records relating to the operation of agency sponsored training programs to external organizations and individuals.

Superseded Series

000-001
State General Retention and Disposition Schedule
Administrative

Internal Memos – Policy Related (Series 0058-000)
Description: Internal memos, e-mail, and other correspondence that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.

Internal Memos – Routine (Series 0059-000)
Description: Internal memos, e-mail, or other correspondence which pertain to routine matters.

Policy Statements (Series 0084-000)
Description: Original copies of formal explanations of agency policies and procedures.

Reorganization Studies (Series 0097-000)
Description: Records documenting actual and proposed agency organizational structure.
1 Scope

All state and local government entities in the State of Kansas are encouraged to use these guidelines.

2 Purpose and Intent

The State Records Board and the Information Technology Executive Council present these guidelines as an overview of current principles and best practices for managing electronic mail (email) records. Their purpose is to ensure that Kansas state and local government email records are retained for as long as they have legal, fiscal, administrative, or historical value. The guidelines are intended to complement existing retention schedules and to serve as a common starting point for state agencies and local governments in formulating their own email records management policies and procedures. Kansas state and local government entities should adapt the guidelines to meet their specific needs and capabilities.

3 Definitions

3.1 Government records

The Government Records Preservation Act (K.S.A. 45-402(d)) defines government records as “all volumes, documents, reports, maps, drawings, charts, indexes, plans, memoranda, sound recordings, microfilms, photographic records and other data, information or documentary material, regardless of physical form or characteristics, storage media or condition of use, made or received by an agency in pursuance of law or in connection with the transaction of official business or bearing upon the official activities and functions of any governmental agency.”

3.2 Email

Email is an asynchronous message sent via a computer network that includes a header, body, and, optionally, attachments.

3.3 Email records

Email sent or received in the conduct of government business is considered a government record and is subject to records retention requirements and open records requests. Email is not a type of record with a single retention period. Email is a method of communication and the retention period for an email depends upon the content of the message.

3.4 Non-record email
Non-record email includes listserv messages, advertisements, news articles, personal messages, and spam. Non-record emails may be destroyed immediately.

3.5 Capstone approach
The Capstone approach to email management bases records retention requirements on the account owner’s role or position rather than individual email content. Email accounts are designated as either permanent or temporary, based on the reasoning that email with permanent value in documenting the agency’s core functions is most likely to be produced by certain account holders such as senior officials and other key decisionmakers, while much of the rest is either duplicate or temporary. The National Archives and Records Administration developed the Capstone approach in 2013 as a means of simplifying and automating email management.

4 Capstone Email Management

4.1 Identifying a Capstone account
Capstone is an approach to managing email, it is not a type of technology. When adopting the Capstone approach, agencies should identify those email accounts most likely to contain records that should be preserved as permanent. Agencies will determine Capstone accounts based on their business needs. They should identify the accounts of individuals who, by virtue of their work, office, or position, are likely to create or receive permanently valuable government records. Capstone officials will generally be the top-level senior officials of an agency but may also be other key decision makers at lower levels of the agency. The Kansas Capstone Accounts Identification Worksheet will help agencies identify relevant accounts.

4.2 Agency responsibilities for maintaining email
Capstone can reduce the burden on individual end-users by encouraging the greater use of automated methods for managing email accounts. Agencies are responsible for managing Capstone email records in accordance with retention and disposition schedules. When using the Capstone approach for capturing and managing email, agencies must continue to:

4.2.1 Ensure email records are scheduled
Agencies should work with the State Archives to ensure email records are covered by a retention schedule. This may include creating new schedules, using existing schedules, or using an applicable General Records Schedule.

4.2.2 Ensure proper retention and disposition of records
In addition to developing retention schedules, agencies should ensure the proper maintenance of active records. Once the retention period has been met, agencies should ensure the proper transfer or storage of permanent email records and destruction/deletion of non-permanent email records.
4.2.3 Prevent the unauthorized access, modification, or deletion of declared records
Agencies must ensure the email repository has appropriate security measures in place to prevent unauthorized access to and/or destruction of records. Records must retain authenticity, reliability, and trustworthiness throughout capture, maintenance, and transfer.

4.2.4 Ensure all records in the repository are retrievable and usable
Email records maintained in a repository must be accessible to appropriate staff for as long as needed to conduct agency business. Agencies should also consider retrievability and usability when migrating from one repository to another.

4.2.5 Consider whether email records and attachments can or should be associated with related records under agency guidance
As a supplement to the Capstone approach, an agency may need to connect email records, such as those associated with case files or project files, with other related records. This may be accomplished by:

- Using electronic pointers (such as metadata tags) to establish linkages, or
- In select cases, filing with associated paper or electronic case or project files.

4.2.6 Capture and maintain required metadata
An agency should ensure that email metadata are preserved. Standard metadata elements include the date of the email and the names and email addresses of all senders and recipients particularly if the system uses nicknames, distribution lists, or a blind copy feature. The agency may wish to retain and preserve additional metadata for legal and business purposes. Regardless of the repository, agencies should examine email upon transfer to another repository or to the State Archives to ensure that names and addresses are appropriately associated with each email. Agencies should also work with vendors and their information technology departments to confirm that their repository is capturing and can export the necessary metadata elements.

4.3 Managing a Capstone email account
Following Capstone, an agency should schedule all the email in Capstone accounts as permanent records.

At the end of an employee’s tenure in a Capstone position, Capstone email accounts should be preserved permanently by the agency or transferred to an archives following resolution of any litigation or legal hold issues.

4.4 Managing a non-Capstone email account
Non-Capstone users are responsible for managing their email according to retention and disposition schedules.
5 Email Classifications

5.1 Correspondence – Policy Related (Permanent)
These records are defined as:

Incoming and outgoing letters, memoranda, and email records that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency. These may include Capstone or non-Capstone account correspondence.

Agencies must retain records in office until the employee leaves the position, then records are kept permanently or transferred to an archives.

5.2 Correspondence – Routine
These records are defined as:

Incoming and outgoing letters, memoranda, and email records that pertain only to routine matters and are not identified in another record series.

Agencies should retain records until the business is completed, then destroy.

5.3 Correspondence – Retention schedule specific – retained in accordance with retention schedule
These records are defined as:

Incoming and outgoing letters, memoranda, and email records that pertain to a specific government function.

Agencies should retain these records according to the associated general or agency schedule entry. (EX: Retain correspondence related to budget preparation files according to series 0016-000.)

6 Best Practices

6.1 Agency email policy
Business functions of individual agencies vary, so a one-size-fits-all email policy is nearly impossible to create. The information in this document is intended as a guideline for email management. Agencies should develop their own agency-specific email policies using these guidelines that address key issues. These issues include:

• Email ownership – email is a government record and is subject to the Kansas Open Records Act.
• Appropriate use of email – agencies should indicate what is considered appropriate use
• Email security – the policy should address passwords, phishing, ransomware, and other security issues the agency deems important.
• Records management expectations – agency policy should address the end-user’s role in managing their email for proper records management techniques.
• Transmission of confidential and sensitive information - agency policy should address proper transmittal of sensitive or confidential information through email.

6.2 Email threads
An email thread is a group of related email records consisting of replies to or forwards of an original email. Since email threads often contain important contextual information about agency activities, the full thread should be maintained in accordance with the applicable retention requirements. It is best practice to avoid deleting individual messages from an email thread and to refrain from changing the subject line in the middle of a thread.

6.3 Attachments
Attachments are electronic files associated, transmitted, and stored with an email record. Attachments may include essentially any file format including text, graphics, spreadsheets, video, and audio files. Agencies should ensure that attachments maintain their association with the original email record throughout the required retention period. If an email is transferred from the email system to an external electronic recordkeeping system, any attachments should be moved and remain associated with the original email record.

6.4 Filing system (folders)
Each user should organize email to aid in the filing and retrieval of messages. This should be done through a system of folders and subfolders. After a brief period in the user’s inbox, messages should be transferred to properly titled folders or subfolders related to a specific work function, project, or program. Tags or labels may also be used.

6.5 Managing email outside of the email system
Agencies should manage records within the email system as much as possible. Printing or saving email records as PDFs is not encouraged, as that requires more work for the end-user. Utilizing proper filing systems with tags and labels will ensure proper records management of records within the email system. If an agency has a document management system, email records may be stored in that system.

6.6 What happens to an email account when an employee leaves a Capstone position and/or leaves the agency?

6.6.1 Capstone Accounts
When an employee leaves a Capstone position the agency should collaborate with the Office of Information Technology Services (OITS) or their IT staff to:

• place the account on litigation hold;
• generate a data file for the account;
- transfer the data file to the State Archives or retain permanently.

### 6.6.2 Non-Capstone Accounts
When an employee leaves a non-Capstone position the agency should collaborate with OITS or their IT staff to:

- generate a data file for the account;
- transfer the data file to the agency, which is responsible for retaining the email records in accordance with retention requirements.

### 6.6.3 Other Considerations
- Email records in active use by an agency will likely need to remain accessible to the agency. If possible, the original record source (i.e. user mailbox) should be kept in an immutable (read-only) state. Depending on the environment and agency needs, records may need to be copied to another location (another user’s mailbox, file share, collaboration system, etc.) to maintain accessibility, but this may result in the creation of a “new” record that will also be subject to retention policies.
- It is advisable for agencies to take steps to prevent accidental or malicious destruction of records when an email user leaves employment. These steps should include putting into practice policies and procedures appropriate for the agency’s environment as well as providing users adequate training. For example, it may be wise to caution users against simply deleting all of their stored email as "housecleaning" before leaving the agency, but to instead make an effort to avoid unintentionally destroying records that need to be retained.
- Records intended for long-term retention would ideally be kept in a format that can be accessed even without the originating system, but this may not be possible or practical for all agencies. Therefore, it is recommended that agencies at least consider format compatibility for new and existing records when planning changes to their email and archival environments.

### 6.7 KORA and Public Records

#### 6.7.1 Purpose
The Kansas Open Records Act (KORA), K.S.A. 45-215 et seq., governs access to public records. Under the KORA, public records are open for inspection and copying by any person unless otherwise provided by law.

#### 6.7.2 Application
The KORA applies to any public records, regardless of form, characteristics or location. This includes emails.
A public agency must search for all records that are covered by a KORA request, including emails. When searching email, the public agency should establish and document the search terms used to locate responsive records.

6.7.3 Limitations
The KORA only requires a public agency to provide access to or copies of records it has at the time the request is made. It does not require a public agency do research, create a record, or answer questions.

6.7.4 Discretionary exemptions
The KORA contains some 55 categories of records that public agencies may, but are not required to disclose. There are many other Kansas laws that mandatorily close certain records.

*Agencies are strongly encouraged to consult with legal counsel regarding the KORA’s requirements.*

6.8 E-discovery

6.8.1 What is e-discovery?
E-discovery is a pretrial legal process used to obtain and review electronically stored information (ESI). ESI can include any data or data compilations. This includes email records.

6.8.2 Rules governing e-discovery
The rules governing discovery of, and the process used to obtain, ESI vary by jurisdiction (e.g., federal or state). They also vary by the nature, size and type of case (e.g., civil, criminal or class action).

6.8.3 Consequences for improper handling of ESI.
The consequences for improper handling of ESI in the context of litigation can be dire, up to and including adverse inference instructions following loss or destruction of ESI. In its most severe form, a court may instruct a jury that certain facts are deemed admitted and must be accepted as true. Such an instruction can be an outcome-determinative sanction.

6.8.4 Best practices
At a minimum, an agency must work with its legal counsel and IT staff to establish information and data governance processes. Such processes should:

- recognize and plan for the possibility of litigation and discovery, including e-discovery;
- ensure that relevant records are, and remain, available and usable for the duration of any litigation and any appeals;
• protect and secure the integrity of any ESI or other data;
• give consideration to ESI in legacy data and email systems; and
• ensure the preservation of the records for later use if necessary.

This guidance is not intended to be a substitute for informed legal advice. Agencies are strongly encouraged to consult with legal counsel concerning e-discovery.

6.9 Litigation or Legal Holds

6.9.1 What is a legal hold?
A litigation or legal hold is a process for preserving paper and electronic records, and other related information, when litigation is reasonably anticipated. This includes email records.

A legal hold suspends normal destruction practices to guard against spoliation of evidence. Spoliation can involve the destruction or alteration of evidence. Spoliation of evidence carries a substantial risk of sanctions for failure to preserve ESI or other information/records.

6.9.2 Identify events that may trigger a legal hold.
An agency should designate its general counsel or other member(s) of its legal department to be responsible for identifying events that may indicate the potential for litigation and the corresponding need to suspend destruction of records.

6.9.3 Communication about the legal hold.
The agency’s general counsel or designee should establish a process for communication about, and periodic review of, legal holds. Legal holds may be reissued or amended as necessary, depending on the circumstances.

6.9.4 Some things to consider if a legal hold is necessary.
If a legal hold is warranted, the general counsel or designee(s) should work with IT staff and others as necessary to:

• communicate written notice of the legal hold to affected individuals;
• obtain a written acknowledgment of the legal hold from affected individuals;
• identify, collect and preserve all potentially relevant information/records, including ESI;
• sequester or segregate information/records from normal retention processes to prevent destruction or deletion of records either inadvertently or deliberately; and
• take steps, including compliance audits, to ensure legal hold information/records are not destroyed until resolution of any litigation, including any appeals.
6.9.5 **Things to consider once a legal hold is no longer necessary.**

Once the need for a legal hold has been resolved, the agency’s general counsel or designee should:

- release the legal hold;
- allow normal retention and disposition processes to resume; and
- provide written confirmation to the affected individuals that the legal hold has been released and normal record disposition processes may resume.

*This guidance is not intended to be a substitute for informed legal advice. Agencies are strongly encouraged to consult with legal counsel regarding legal holds.*