

AGENDA
STATE RECORDS BOARD
10/21/2021
8:30 a.m.
Kansas State Historical Society
6425 SW 6th Ave.
North Classroom, 1st Floor

Meeting Link:

<https://us02web.zoom.us/j/89528012122?pwd=MGsxelJta3N5Rm5OdkQ0WEdjVEQ4dz09>

Meeting ID: 895 2801 2122

Passcode: 935794

One tap mobile

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1. Introductions and Announcements
2. Minutes from Previous Meeting
3. Department of Revenue
 - a. Revised Series
4. Kansas State University
 - a. ERP – Accessible Information Management (AIM)
 - b. ERP – Mediasite Video Platform
 - c. ERP – OneDrive/SharePoint
 - d. ERP – Outlook/Exchange
 - e. New Series
5. State General Schedule
 - a. New Series
6. Housekeeping Changes:
 - a. Obsolete Series
 - Pooled Money Investment Board
 - b. Superseded Series
 - Kansas Bureau of Investigation
 - Department of Revenue
7. Other Business:
 - a. KAR Meeting Numbers
 - b. Future Meetings:
 - January 20, 2022
 - April 21, 2022
 - July 21, 2022

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 21, 2021**

1. **Agency:** Department of Revenue
2. **Records Officer:** Sarah Fulton **Phone:** 785-296-3081
3. **Appraising Archivist(s):** Ethan Anderson
4. **Date of Appraisal:** 9/15/2021
5. **a) Total records – No. of Series:** 6
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e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 4
6. **Archival/Permanent records – No. of Series:** 4
7. **Appraisal Narrative:**

Sarah Fulton contacted Public Records staff about revising two series: 0030-565 Drivers' License Applications and 0003-565 Licensing Files. The former was expanded to accommodate medical and vision forms, which had previously been misclassified in agency storage. As these records have no lasting historical significance, this change will allow the Department of Revenue to destroy them. Series 0003-565 has also been expanded to include denied liquor license applications so that these materials can be destroyed. Electronic records associated with this series are stored in ABC System Upgrade (ASU), an ERP for which was approved by the Electronic Records Committee on September 17, 2013. In addition, four series covering litigation files have been superseded by series 0071-000 Litigation Case Files.

Retention/Disposition Schedule Entries

565-001

Department of Revenue

Division of Alcoholic Beverage Control

Licensing Files (Series 0003-565)

Records relating to licenses issued to retail liquor and drinking establishments to ensure compliance with state and federal regulations. Records may contain information about administrative hearing actions and litigation related to investigations of licensees as well as records reviewed during the application process for issuance and/or denial of the liquor license.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 75-5133

Comments: Retain licensing records 3 years after entity is no longer licensed or the application was denied, then destroy and/or delete. Retain information about administrative hearing actions for 5 years after case is closed, then destroy and/or delete. Retain information about litigation activities for 10 years after case is closed, then destroy and/or delete.

Schedule Authority: Agency Schedule

KAR Number 53-2-178

Last Surveyed 07 May 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 05/15/2013 mwiget: revised entry to include information about administrative hearings and litigation activities; revised retention comments also to include this information; and revised disposition from Archives to Destroy.

10/14/2021 eanderson: expanded comments and description to include records for denied applications.

565-005

Department of Revenue

Division of Vehicles

Driver License Examination Bureau

Drivers' License Files (Series 0030-565)

Copies of application forms relating to drivers' licenses issued or reissued for the driver license examining stations. Includes medical and vision forms, correspondence, and clearance-related documents that clear drivers to begin/continue driving or take action on driving privileges.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 2 calendar years

Disposition: Destroy

Restrictions: KSA 45-221(a)(1)(6)(9), 5 USC Sec. 522a

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 15 September 2021

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/15/2021 eanderson: changed title from "Drivers' License Applications" to "Drivers' License Files," added to description "Includes medical and vision forms, correspondence, and clearance-related documents that clear drivers to begin/continue driving or take action on driving privileges," changed retention period from 002 cldr yrs to 2 calendar years, and added 45-221 to restrictions.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 21, 2021**

1. **Agency:** Kansas State University
2. **Records Officer:** Ryan Leimkuehler **Phone:** 785-532-5013
3. **Appraising Archivist(s):** Ethan Anderson
4. **Date of Appraisal:** 10/13/2021
5. **a) Total records – No. of Series:** 6
b) New series – No. of Series: 6
c) Revised existing series – No. of Series: 0
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Appraisal Narrative:**

Ryan Leimkuehler contacted Public Records staff about creating six new series for three departments at Kansas State University: K-State Libraries, International Student and Scholar Services, and the Student Access Center. These additions are part of an ongoing effort by the University to ensure all offices and departments are in compliance with records laws. Electronic records related to series F-1 or J-1 International Student Records are retained in ImageNow and KSIS, those for Library Patron Records are stored in Alma, and electronic records associated with Student Access Center Case Files are retained in KSIS and Accessible Information Management (AIM). An ERP for ImageNow was approved by the Electronic Records Committee on December 20, 2016, an ERP for KSIS was approved October 17, 2019, Alma's ERP was approved June 15, 2021, and ERPs for AIM, Mediasite Video Platform, OneDrive/SharePoint, and Outlook/Exchange were approved September 21, 2021.

Electronic Recordkeeping Plan Template (ERP) Cover Sheet

DATE

8/4/2021

AGENCY

Kansas State University, 367

AGENCY CONTACT

Ryan Leimkuehler – rleimkue@ksu.edu

AGENCY BUSINESS FUNCTIONS SUPPORTED BY SYSTEM

The system houses student documentation, correspondence, and letters of accommodation associated with student accommodations due to disability.

ELECTRONIC RECORDKEEPING SYSTEM OVERVIEW

NAME OF SYSTEM

AIM

NEW SYSTEM OR SYSTEM UPGRADE?

New system as of May 2020 – moved from W:Drive (Shared-Drive/Folders)

CLOUD OR ON-PREMISE STORAGE?

Cloud

VENDOR OVERVIEW

Accessible Information Management (AIM) <https://www.accessiblelearning.com/Features.aspx>

LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP

PREVIOUSLY APPROVED RECORD SERIES

No current series.

PROPOSED RECORD SERIES

Student Access Center – Case Files

Electronic Recordkeeping Plan Template (ERP) Cover Sheet

DATE

8/27/2021

AGENCY

Kansas State University, 367

AGENCY CONTACT

Ryan Leimkuehler – rleimkue@ksu.edu

AGENCY BUSINESS FUNCTIONS SUPPORTED BY SYSTEM

Academic, administrative, and research media management, delivery and support

ELECTRONIC RECORDKEEPING SYSTEM OVERVIEW

NAME OF SYSTEM

Mediasite Video Platform

NEW SYSTEM OR SYSTEM UPGRADE?

Current System

CLOUD OR ON-PREMISE STORAGE?

On-premise storage

VENDOR OVERVIEW

Vendor info: <https://mediasite.com/product/>

LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP

PREVIOUSLY APPROVED RECORD SERIES

Click or tap here to enter text.

PROPOSED RECORD SERIES

Click or tap here to enter text.

Electronic Recordkeeping Plan Template (ERP) Cover Sheet

DATE

6/17/2021

AGENCY

Kansas State University, 367

AGENCY CONTACT

Ryan Leimkuehler – rleimkue@ksu.edu

AGENCY BUSINESS FUNCTIONS SUPPORTED BY SYSTEM

Most agency business functions will be supported or working with Onedrive/SharePoint and Exchange.

ELECTRONIC RECORDKEEPING SYSTEM OVERVIEW

NAME OF SYSTEM

OneDrive/SharePoint

NEW SYSTEM OR SYSTEM UPGRADE?

Current System

CLOUD OR ON-PREMISE STORAGE?

Cloud

VENDOR OVERVIEW

Link Vendor Info: <https://www.microsoft.com/en-us/microsoft-365>

LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP

PREVIOUSLY APPROVED RECORD SERIES

Click or tap here to enter text.

PROPOSED RECORD SERIES

Click or tap here to enter text.

Electronic Recordkeeping Plan Template (ERP) Cover Sheet

DATE

6/17/2021

AGENCY

Kansas State University, 367

AGENCY CONTACT

Ryan Leimkuehler – rleimkue@ksu.edu

AGENCY BUSINESS FUNCTIONS SUPPORTED BY SYSTEM

Most agency business functions will be supported or working with Onedrive/SharePoint and Exchange.

ELECTRONIC RECORDKEEPING SYSTEM OVERVIEW

NAME OF SYSTEM

Outlook/Exchange

NEW SYSTEM OR SYSTEM UPGRADE?

Current System

CLOUD OR ON-PREMISE STORAGE?

Cloud

VENDOR OVERVIEW

Link Vendor Info: <https://www.microsoft.com/en-us/microsoft-365>

LONG-TERM RECORDS (10+ YEAR RETENTION) COVERED BY ERP

PREVIOUSLY APPROVED RECORD SERIES

Click or tap here to enter text.

PROPOSED RECORD SERIES

Click or tap here to enter text.

Retention/Disposition Schedule Entries

367-001

Kansas State University

F-1 or J-1 International Student Records (Series Unknown)

Series includes F-1 or J-1 international student records and supporting documentation such as: I-20, DS-2019, financial documentation, copies of passports, copies of I-94s, copies of visa stamps, family member documentation for those who accompany as a dependent, Employment Authorization Documentation (EAD), transcripts, Student & Exchange Visitor Information System (SEVIS) transactions, and application records.

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, 22 CFR 62.10(g)

Comments: Retain until graduation or last enrollment plus 6 calendar years, then destroy. International Student & Scholar Services is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-211

Last Surveyed 13 October 2021

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

H1B Employee Records (Series Unknown)

Series includes H1B employee records and supporting documentation such as: biographical data, salary information, position descriptions, documentation of past and/or current immigration status, curriculum vitae/resume, educational documentation, passport/visa copies, labor conditions application, comparable salaries, and family records for dependents.

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)(4), 20 CFR 655.760(c)

Comments: Retain until end date of the H1B plus 5 calendar years, then destroy. International Student & Scholar Services is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-211

Last Surveyed 21 July 2021

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

H1B Public Access File Records (Series Unknown)

Series includes H1B Public Access File records and supporting documentation such as: Labor Conditions Application (LCA), comparable salaries, prevailing wage determination, verification of LCA posting, cover letter, and verification of LCA receipt.

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)(4), 20 CFR 655.760(c)

Comments: Retain until end date of the LCA plus 1 calendar year, then destroy. International Student & Scholar Services is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-211

Last Surveyed 21 July 2021

Record Copy: Paper

J-1 Scholars and Student Intern Records (Series Unknown)

Series includes J-1 Scholars and Student Intern records and supporting documentation such as: DS-2019, financial documentation, copies of passports, copies of I-94s, copies of visa stamps, family member documentation for those who accompany as a dependent, Student & Exchange Visitor Information System (SEVIS) transactions, and copies of curriculum vitae/resume.

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)(4), 20 U.S.C. 1232g, 34 CFR Part 99, 22 CFR 62.10(g)

Comments: Retain until end date of the DS-2019 plus 3 calendar years, then destroy. International Student & Scholar Services is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-211

Last Surveyed 13 October 2021

Record Copy: Paper

Library Patron Records (Series Unknown)

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

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Destroy

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

Comments: Retain until inactive plus 1 calendar year, then destroy unless outstanding balance or checked out items. K-State Libraries is the office of record. Patrons include: current enrolled students, current staff/faculty, emeritus status faculty, community patrons, and visiting scholars.

Schedule Authority: Agency Schedule

KAR Number 53-2-211

Last Surveyed 21 July 2021

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Student Access Center Case Files (Series Unknown)

Case File records consist of all case notes, student documentation and correspondence, needed accommodations, testing records, etc.

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 academic years since the last date student is active with the University, then destroy. The Student Access Center is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-211

Last Surveyed 11 August 2021

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 21, 2021**

1. **Agency:** State General Schedule

2. **Records Officer:**

Phone:

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

4. **Date of Appraisal:** 7/27/2021

5. **a) Total records – No. of Series:** 1

b) New series – No. of Series: 1

c) Revised existing series – No. of Series: 0

d) Obsolete schedule entries – No. of Series: 0

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

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

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

7. **Appraisal Narrative:**

Staff at the Kansas Historical Society are continuing their comprehensive update of the State General Schedule. After consulting with officials from the Department of Administration's Office of Personnel Services (OPS), it was deemed necessary to add a series to the Personnel section covering Family and Medical Leave Act (FMLA) Records. This series was previously tabled by the State Records Board at the July 15, 2021 meeting until more information could be obtained regarding the retention period for medical records. Clarification was added stating that only medical records of workplace injuries that lead to OSHA investigations should be kept for the duration of employment plus 30 calendar years.

Retention/Disposition Schedule Entries

000-005

State General Retention and Disposition Schedule Personnel

Family and Medical Leave Act (FMLA) Records (Series Unknown)

Employee requests and agency determinations for use of extended medical leave for personal or family-related emergencies.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(1)(3) and 29 CFR 825.500(g)

Comments: Retain 3 calendar years after completion or denial, then destroy. Retain any medical records pertaining to a workplace injury, illness, or exposure that leads to an OSHA investigation for the duration of employment plus 30 calendar years, then destroy.

Schedule Authority: General Schedule

KAR Number 53-2-211

Last Surveyed 27 July 2021

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 07/15/2021 eanderson: tabled by the SRB until more information available on retention of medical records.

07/27/2021 eanderson: added "...pertaining to a workplace injury, illness, or exposure that leads to an OSHA investigation..." to the comments.

Housekeeping Changes Since 15 July 2021 21 October 2021

Obsolete

671-001

Pooled Money Investment Board

Application Activity Summary Reports (Series 0031-671)

Description: Monthly reports by the Office of the State Bank Commission summarizing changes in Kansas banks, such as name changes or mergers.

Municipal Investment Pool Web Requests (Series 0051-671)

Description: Printed copy of web-based transaction instructions generated by participants to process transactions on their accounts.

Municipal Investment Pool Daily Reports (Series 0053-671)

Description: Reports generated from Municipal Investment Pool software used to confirm balances and activity in the Municipal Investment Pool (MIP).

Daily Rate Sheets (Series 0056-671)

Description: Compilation of investment rates for the Municipal Investment Pool (MIP), Kansas Bank certificates of deposit (CDs), Agricultural Production Loan Program, and Home Loan Deposit Program (rates pulled from Bloomberg).

Superseded Series

083-003

Kansas Bureau of Investigation Special Operations Division

Grant Files – Funded (Series 0013-000)

Description: Variety of documents relating to applications for federal, state, and private grants and to the implementation of those received.

565-006

Department of Revenue Office of the Secretary Legal Services

Litigation Files – All Other Tax Types (Series 0174-565)

Description: Records regarding specific tax related legal cases, other than Corporate Income tax: correspondence, legal documents, reports, notes, publications, and miscellaneous reference materials.

Litigation Files – Corporate Income Tax (Series 0175-565)

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

Litigation Files – Personnel, Damages, Miscellaneous (Series 0176-565)

Description: Records regarding specific legal cases concerning the following issues: Personnel, Damages, and miscellaneous issues not specifically addressed in other Department of Revenue record series. Files may include the following: correspondence, legal documents, reports, notes, publications, and miscellaneous reference materials.

Litigation Files – Vehicle Related (Series 0177-565)

Description: Records regarding specific motor vehicle and or Dealer Licensing related legal cases: correspondence, legal documents, reports, notes, publications, and miscellaneous reference materials.