

AGENDA
STATE RECORDS BOARD
10/20/2022
1:00 p.m.
Kansas State Historical Society
6425 SW 6th Ave.
North Classroom, 1st Floor

Meeting Link:

<https://us02web.zoom.us/j/82351423535?pwd=T2VwRDFTQ1U3VXdjWFVQYXhhVEIEdz09>

Meeting ID: 823 5142 3535

Passcode: 385526

One tap mobile

+13462487799,,82351423535# US (Houston)

+16694449171,,82351423535# US

Dial by your location

+1 346 248 7799 US (Houston)

+1 669 444 9171 US

+1 669 900 9128 US (San Jose)

+1 253 215 8782 US (Tacoma)

+1 312 626 6799 US (Chicago)

+1 386 347 5053 US

+1 564 217 2000 US

+1 646 558 8656 US (New York)

+1 646 931 3860 US

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1. Introductions and Announcements
2. Minutes from Previous Meeting
3. Kansas State University
 - a. ERP – Cobblestone
 - b. New Series
4. Office of the Attorney General
 - a. Revised Series
5. Housekeeping Changes:
 - a. Superseded Series
 - Department of Transportation
6. Other Business:
 - a. Future Meetings:
 - January 19, 2023
 - April 20, 2023
 - July 20, 2023

State Records Board
July 21, 2022
Virtual Zoom Meeting
Meeting ID: 898 6249 4357

Participants: Lisa Mendoza, designee of the Attorney General (Chair)
Tanner Asbury, designee of the Secretary of Dept. of Administration (DofA)
Brett Rurode, Cataloging Librarian (State Library)
Patrick Zollner, Acting Executive Director (KSHS)
Jordan Brewer, Assistant Attorney General (AG)
Amber Cabrera, Attorney (Dept. of Commerce)
Michelle McCormick, Director of Victim's Service (AG)
Ryan Leimkuehler, University Records Manager (KSU)
Megan Burton, Senior Archivist – Public Services (KSHS)
Ethan Anderson, Government Records Archivist (KSHS)
Amber Draper, Library Assistant (KSHS)

Meeting called to order at 1:02 p.m. by Ms. Mendoza and introductions were made.

Minutes: Minutes from the April 21, 2022, meeting were reviewed.

Motion: Mr. Asbury made a motion to approve the April 21, 2022, meeting minutes as submitted. Ms. Rurode seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, and Ms. Mendoza all voted in favor. The motion passed.

Department of Commerce: Mr. Anderson presented one new series to the board on behalf of the Business Development Division. There were no further questions.

Motion: Ms. Rurode made a motion to approve the series as submitted. Mr. Asbury seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, Ms. Mendoza, and Ms. Cabrera all voted in favor. The motion passed.

Kansas State University: Mr. Anderson introduced the Electronic Recordkeeping Plan (ERP) for Slate, an enrollment management system. There were no further questions.

Motion: Mr. Asbury made a motion to approve the ERP as submitted. Ms. Rurode seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, Ms. Mendoza, and Mr. Leimkuehler all voted in favor. The motion passed.

Mr. Anderson presented the board with one new series from Kansas State University. Ms. Mendoza asked whether the significant event language in the comments section referred to the 2018 Hale Library fire. Mr. Leimkuehler answered in the affirmative. The University is retaining

environmental readings from before the fire and after the renovation to analyze how conditions have changed. There were no further questions.

Motion: Ms. Rurode made a motion to approve the new series as submitted. Mr. Asbury seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, Ms. Mendoza, and Mr. Leimkuehler all voted in favor. The motion passed.

Attorney General: Mr. Anderson presented the 17 series for the agency. Four of the series were new, three were revised, and two were superseded by other agency schedules. The board considered the four new series for the Safe at Home and Batterer Intervention Programs first. There were no further questions.

Motion: Mr. Asbury made a motion to approve the new series as submitted. Ms. Rurode seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, Ms. Mendoza, and Ms. McCormick, all voted in favor. The motion passed.

Mr. Anderson presented one revised series for the Tobacco Enforcement Unit and explained the changes made to the series. There were no further questions.

Motion: Ms. Rurode made a motion to approve the revised series as submitted. Mr. Asbury seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, Ms. Mendoza, and Mr. Brewer all voted in favor. The motion passed.

Mr. Anderson presented two revised series for the Victim Services Division and explained the changes made to the series. There were no further questions.

Motion: Mr. Asbury made a motion to approve the revised series as submitted. Ms. Rurode seconded. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, Ms. Mendoza, and Ms. McCormick all voted in favor. The motion passed.

Mr. Anderson presented the two superseded series. There were no further questions.

Motion: Ms. Rurode moved to approve the superseded series as submitted. Mr. Asbury seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, Ms. Mendoza, and Ms. McCormick all voted in favor. The motion passed.

Department of Administration: Mr. Anderson presented one new series for the Division of the Budget. Mr. Asbury provided additional details on the scope of the series. There were no further questions.

Motion: Ms. Rurode moved to approve the new series as submitted. Mr. Asbury seconded the motion. Mr. Anderson called the roll. Mr. Asbury, Ms. Rurode, Mr. Zollner, and Ms. Mendoza all voted in favor. The motion passed.

Housekeeping: Mr. Anderson briefly went over the housekeeping changes. The board reviewed and had no further questions.

Other Business: Mr. Anderson presented the board with the updated operational procedures approved at the last meeting. Ms. Mendoza elaborated that these revisions were meant to give support staff parameters to help guide their work with retention schedules. The board had no further questions.

The meeting was adjourned at 1:35 p.m.

DRAFT

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 20, 2022**

1. **Agency:** Kansas State University
2. **Records Officer:** Ryan Leimkuehler **Phone:** 785-532-5013
3. **Appraising Archivist(s):** Ethan Anderson
4. **Date of Appraisal:** 10/11/2022
5. **a) Total records – No. of Series:** 9
b) New series – No. of Series: 9
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 nine new series for K-State's University Research Compliance Office (7) and Human Capital Services' Employee Relations and Regulations (2). These additions are part of an ongoing effort by the University to ensure all offices and departments are in compliance with records laws. The electronic records associated with Occupational Health Form Records are retained in Catfiles. An ERP for this system was approved by the Electronic Records Committee on March 15, 2022. In addition, an ERP for the Cobblestone contract management system is being presented. This ERP was approved by the ERC on October 11, 2022.

Electronic Recordkeeping Plan Template (ERP) Cover Sheet

DATE

09/07/2022

AGENCY

Kansas State University, 367

AGENCY CONTACT

Ryan Leimkuehler – rleimkue@ksu.edu

AGENCY BUSINESS FUNCTIONS SUPPORTED BY SYSTEM

Contract lifecycle management and retention

ELECTRONIC RECORDKEEPING SYSTEM OVERVIEW

NAME OF SYSTEM

Cobblestone

NEW SYSTEM OR SYSTEM UPGRADE?

New

CLOUD OR ON-PREMISE STORAGE?

Cloud

VENDOR OVERVIEW

CobbleStone Software is feature-rich, enabling organizations to manage contracts easier, draft sell and buy-side contracts, mitigate risk, manage compliance, draft documents faster, track costs, receive alerts, sign documents with e-signature, and reduce contract management costs and lost productivity attributed to inefficient contract administration processes.

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

PREVIOUSLY APPROVED RECORD SERIES

Click or tap here to enter text.

Electronic Recordkeeping Plan Template (ERP) Cover Sheet

PROPOSED RECORD SERIES

Click or tap here to enter text.

Retention/Disposition Schedule Entries

367-001

Kansas State University

Annual Reports of Research Compliance Committee Meetings (Series Unknown)

Series contains the annual reports of the Institutional Animal Care and Use Committee (IACUC), Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC), Office of Laboratory Animal Welfare (OLAW), US Department of Agriculture (USDA), the Institutional Biosafety Committee (IBC), and reports (which are not annual) of the Institutional Review Board (IRB).

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 3 calendar years

Disposition: Destroy

Restrictions: Portions may be restricted per KSA 45-221(a)(1)(2)(12)(20)

Comments: The University Research Compliance Office is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Export Controls Form Records (Series Unknown)

Series contains Technology Control Plans (TCP), export licenses, visiting scholar forms, and international travel forms. Also included are restricted party screening results, curriculum vitae, and other supporting documents.

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)(2)(12)(20)

Comments: Retain 5 years after completion of the activity, then destroy. The University Research Compliance Office is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

IACUC, IBC, and IRB Applications (Series Unknown)

Series includes applications, consent forms, data collection instruments, recruitment material, and other supporting documents for the Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBC), and the Institutional Review Board (IRB).

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)(2)(12)(20)

Comments: Retain 3 calendar years after completion of the study, then destroy. The University Research Compliance Office is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Lab Inspection Records (Series Unknown)

Records include all Institutional Animal Care and Use Committee (IACUC) semiannual inspection records, Institutional Biosafety Committee (IBC) lab inspection records, and US Department of Agriculture (USDA) inspection records of animal housing, procedure rooms, and locations. Includes inspections findings, resolutions, program reviews, letters to the institutional official, and post approval monitoring reports.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 3 calendar years

Disposition: Destroy

Restrictions: Portions may be restricted per KSA 45-221(a)(1)(2)(12)(20)

Comments: The University Research Compliance Office is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Labor Union Negotiation Records (Series Unknown)

Series consists of emails, memoranda of agreement, and addendum for union negotiations with the Kansas Association of Public Employees (KAPE) and the Fraternal Order of Police (FOP).

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)

Comments: Retain 6 years after expiration of agreement or final resolution, then destroy. Human Capital Services, Employee Relations and Engagement is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 20 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Minutes of Research Compliance Committee Meetings (Series Unknown)

Records include all full committee meeting details from the Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBC), and Institutional Review Board (IRB).

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 6 calendar years

Disposition: Destroy

Restrictions: Portions may be restricted per KSA 45-221(a)(1)(2)(12)(20)

Comments: The University Research Compliance Office is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Occupational Health Form Records (Series Unknown)

Series contains basic information about individual's animal use activities and will help in assessing occupational hazards or risks that may occur during work activities.

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)(2)(12)(20)

Comments: Retain 3 calendar years after employee leaves position, then destroy. The University Research Compliance Office is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

PHS FCOI Form Records (Series Unknown)

Series contains Financial Conflict of Interest (FCOI) disclosures specifically for Public Health Service (PHS) and, if needed, management plans.

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)(2)(12)(20)

Comments: Retain 3 years from date of final expenditures report, then destroy. The University Research Compliance Office is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

University Support Staff Appeal Hearing Packet Records (Series Unknown)

Series includes letters from Employee Relations and Engagement (ER&E) Director proposing action (if disciplinary) or performance management forms (if evaluation); written appeals from employees; employee letters and department letters signed by ER&E staff regarding appeal

times, documentation sheets, witness tip sheets, and panel members; department and employee documentation; committee signature sheets; hearing checklists; PPM Chapter 4030 used during hearings; hearing statements; facilitator guides; committee letters; and associated 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)(3)(4)(6)(9)(30)

Comments: Retain 7 years after all appeals are exhausted, then destroy. Human Capital Services, Employee Relations and Engagement is the office of record.

Schedule Authority: Agency Schedule

KAR Number 53-2-215

Last Surveyed 16 September 2022

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 20, 2022**

1. **Agency:** Office of the Attorney General
2. **Records Officer:** Lisa Mendoza **Phone:** 785-368-8063
3. **Appraising Archivist(s):** Ethan Anderson
4. **Date of Appraisal:** 10/13/2022
5. **a) Total records – No. of Series:** 1
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 1
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Appraisal Narrative:**

Lisa Mendoza contacted Public Records staff about updating one retention schedule for the Office of the Attorney General's Medicaid Fraud and Abuse Division. The comments of this series have been updated to reflect current business practices.

Retention/Disposition Schedule Entries

082-009

Office of the Attorney General Medicaid Fraud and Abuse Division

Assessment Files (Series 0174-082)

Interviews, reports, correspondence, notes, legal documents, etc., regarding investigations that did not result in formal cases.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(1)(2)(3)(5)(10)(11)(14)(20)(25)(30)

Comments: Record copy may be paper or electronic. Paper documents are scanned into system and paper is retained until quality assurance is performed. Materials, including records obtained from others, may be returned to their source or otherwise disposed of in accordance with a court order, court rule, or agreement. Retain remaining paper records and materials, as well as digital images in system, until investigation is inactive plus 5 calendar years, then destroy unless requested by a law enforcement agency or federal agency.

Schedule Authority: Agency Schedule

KAR Number 53-2-157

Last Surveyed 15 September 2008

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Added restrictions.

10/13/2022 eanderson: Updated scanning language in comments section.

Housekeeping Changes Since 21 July 2022
20 October 2022

Superseded Series

276-007

Department of Transportation

Office of Chief Counsel

Office of Chief Counsel

Request for Access to Records (Series 0007-276)

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