

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 27, 2011**

1. **Agency:** Kansas Department of Transportation
2. **Records Officer:** Susan Maxon **Phone:** 296-8925
3. **Appraising Archivist:** Matt Veatch, Bob Knecht, Nancy Sherbert, Scott Leonard
4. **Date of Appraisal:** January 27, 2011
5. **Total records - No. of Series:** 4
6. **Archival/Permanent records - No. of Series:** 4
7. **Records Eligible for Immediate Transfer to Archives:**

No. of Series: 0

8. **Appraisal Based Upon:**

Discussions with agency records officer and staff.

9. **Appraisal Narrative:**

The Kansas Department of Transportation requests a revision to its current Retention & Disposition Schedule. The one of the proposed series will be retained electronically (Digital Videologs), while the others, which are created electronically, will be retained long-term in human readable formats. The Videolog series is covered by an Electronic Recordkeeping Plan, which has been reviewed by the Electronic Records Committee, but has not been endorsed due to concerns with the long-term storage of the records on optical media.

Retention/Disposition Schedule Entries

276-005

**Kansas Department of Transportation
Bureau of Construction and Maintenance
Maintenance**

Highway Use Permits (Series Unknown)

Highway Use of Right of Way Permit (DOT 304), Completion- Cancellation Revocation Notice (DOT304-A), and Attachment to Bridges Permits (DOT310).

Entry Status: Internal Review

Retention Period: Permanent

Disposition: Permanent

Restrictions: Public or other agency access restricted to open records requests processed by KDOT Office of Chief Counsel.

Comments: Paper copies are retained in the office for three calendar years, then microfilmed. A digital image of the microfilm is saved to CD and provided to the District Office. A working copy of the microfilm and a copy of the CD are retained in the office. Original microfilm is retained in permanent storage.

Record Copy: Microfilm

Remarks: 1/10/2011: New entry.

276-006

**Kansas Department of Transportation
Bureau of Design
Road Design
Plan File Vault**

Highway Plan Files (Series Unknown)

Highway plan files containing original design plans, and "as-built" plans of Kansas highway projects. The files contain detailed highway, bridge, railroad crossing, survey, and Intelligent Transportation System (ITS) construction information. Highway plan files are stored electronically in .tif and .pdf format on a hard drive. A backup is saved on CD with a duplicate sent to each District field office. Original historical plan files are on silver microfilm, a Diazo working copy of the microfilm is retained by KDOT, and the backup CD is retained for electronic format.

Entry Status: Internal Review

Retention Period: Permanent

Disposition: Permanent

Restrictions: Sensitive information. Public access restricted as recommended by the National Department of Homeland Security.

Comments: Original microfilm retained in permanent storage.

Record Copy: Microfilm

Remarks: 1/10/2011: New entry.

276-012

**Kansas Department of Transportation
Bureau of Transportation Planning**

State Traffic Flow Map/Count Map (Series Unknown)

Maps created from the electronic base roadway map and the most current traffic information showing the traffic flow and counts on KDOT maintained roadways. Maps are published to the KDOT public internet in PDF format. Paper versions are created for distribution and use.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain until superseded or no longer useful. At time of creation provide two copies, one rolled copy of the printed map and one copy in electronic PDF format, to the State Archives.

Record Copy: Paper

Remarks: 1/10/2011: New entry.

Traffic and Field Operations

Digital Videolog (Series Unknown)

Electronic images, along with location and travel data relevant to the image and conditions, of the KDOT maintained roadway system. The images provide a driver's-eye view, recorded at preset intervals from mounted vehicle cameras, to support various virtual windshield surveys, roadway environment photos, and generates several other incidental KDOT-wide products used to provide a historical perspective of how the roadway looked in the past. The entire roadway system is surveyed every three years with one-third of the state surveyed annually. A back-up is made annually after updates.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: See Comments

Restrictions: Sensitive information. Public access restricted as recommended by the National Department of Homeland Security.

Comments: Retain two complete three year cycles. When annual back-up is made transfer retired copy to State Archives.

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: 1/10/2011: New entry.

**KANSAS STATE RECORDS BOARD
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January 27, 2011**

1. **Agency:** Kansas Attorney General's Office
2. **Records Officer:** Christi Somers **Phone:** 296.2218
3. **Appraising Archivist:** Scott Leonard
4. **Date of Appraisal:** January 21, 2011
5. **Total records - No. of Series:** 18
6. **Archival/Permanent records - No. of Series:** 10
7. **Records Eligible for Immediate Transfer to Archives:**

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and e-mail messages with agency staff.

9. **Appraisal Narrative:**

The Attorney General's Office wishes to revise its previously approved retention and disposition schedule. The majority of the revisions are to either amend descriptions or add/change restrictions; other than new proposed series there are no changes to retention. There are two new series: Tobacco Files and Racial Profiling Reports.

Retention/Disposition Schedule Entries

082-003

Office of the Attorney General

Civil Division

Tobacco Enforcement Unit

Tobacco Files (Series Unknown)

Records relating to enforcement of the terms of the Master Settlement Agreement pursuant to K.S.A. 50-6a01 et seq. including escrow agreements, escrow bank statements, certification forms, testing documents, trademark information, federal compliance information, packaging samples, company organizational documents, corporate surety bonds, correspondence. Records also include other tobacco related issues (e.g. underage sales prevention and enforcement; consumer claims).

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(1)(11)(14)

Comments: Retain in office or at Records Center for a period of 30 years, then destroy. Paper documents will also be scanned into system where digital images are retained permanently.

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 1/21/2011: **New series**; covered by Electronic Recordkeeping Plan endorsed by ERC in December 2009.

082-004

Office of the Attorney General

Victim Services Division

Crime Victims Rights Conference Files (Series 0081-082)

Handbooks, financial records, local arrangements, schedules, etc. for annual conference administered by the Division or Units of the Division, designed for persons in law enforcement, health care, crisis intervention, etc.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain until no longer useful, then destroy.

Record Copy: Paper

Remarks: Revised entry. Modified retention (for remainder, from 3 years).

1/21/2011: Revised retention from "Send 1 copy of handbooks, handouts, etc. unique to conference and 1 copy of conference schedule to archives. Retain remainder until no longer useful, then destroy."

082-005

Office of the Attorney General Criminal Division

Case Files - Cases on Appeal (Series 0175-082)

Pleadings/filings, research, case notes, interviews, correspondence, and documents related to cases that have been appealed to state or federal courts. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

Restrictions: K.S.A. 22-4707, 38-2326,45-221(a)(1)(2)(3)(5)(10)(14)(20)(25)(29)(30)(47)

Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained permanently.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: New entry. 1/11/10: Revised entry to cover change in format; revised retention from "Retain until all appeals are exhausted. Then transfer to records center for 10 years. Then transfer to Archives."

1/21/2011: Revised Description to remove "evidence", add "Materials..."

Case Files - Homicide (Series 0176-082)

Pleadings/filings, research, case notes, interviews, correspondence, contracts, billings, complaint forms, and other supporting documentation relating to the prosecution of criminal homicide cases. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

Restrictions: KSA 22-4707, 38-2326, 45-221(a)(1)(2)(3)(5)(10)(14)(20)(25)(29)(30)(47)

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: New entry. 1/11/10: Revised entry to cover change in format; revised retention from "Retain in office until case is closed (include appeal, probation, and/or incarceration/parole time if applicable). Then transfer to records center for 60 years. Then transfer to archives."

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

Case Files - Outstanding Warrants (Series 0177-082)

Pleadings/filings, research, case notes, interviews, correspondence, and documents related to cases wherein warrants are still outstanding. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: K.S.A. 22-4707, 38-2326,45-221(a)(1)(2)(3)(5)(10)(14)(20)(25)(29)(30)(47)

Comments: Paper documents are scanned into system and paper is retained until quality

assurance is performed, then destroyed. Digital images in system are retained for 55 years, then destroyed.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 1/11/10: Revised to cover change in record copy; revised retention from "Retain for 5 years, then transfer to records center for 50 years. Then destroy."

1/21/2011: Revised Description to remove "evidence" and to include "Materials ...".

Case Files - Sex Offense (Series 0178-082)

Pleadings/filings, research, case notes, interviews, correspondence, contracts, billings, complaint forms, and other supporting documentation relating to the prosecution of criminal sex offense cases. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

Restrictions: KSA 22-4707, 38-2326, 45-221(a)(1)(2)(3)(5)(10)(14)(20)(25)(29)(30)(47)

Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained permanently.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 1/11/10: Revised entry to cover change in record copy; revised retention from "Retain in office until case is closed (include appeal, probation, and/or incarceration/parole time if applicable). Then transfer to records center for 60 years. Then transfer to Archives."

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

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

Pleadings/filings, research, case notes, interviews, correspondence, and documents related to cases where no charges were filed. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: K.S.A. 22-4707, 38-2326, 45-221(a)(1)(2)(3)(5)(10)(14)(20)(25)(29)(30)(47)

Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained for six (6) years, then destroyed.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 1/11/10: Revised entry to cover change in record copy; revised retention from "Retain for 1 year, then transfer to records center for 5 years, then destroy."

1/21/2011: Revised Description to remove "evidence", and include "Materials...".

082-006

Office of the Attorney General

Civil Litigation Division

Racial Profiling Reports (Series Unknown)

Records relating to racial profiling reports generated pursuant to K.S.A. 22-4610. Law enforcement agencies submit annual complaint reports to the attorney general. Annual reports are posted on attorney general website.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/21/2011: New series.

082-007

Office of the Attorney General Consumer Protection Division

Complaint Files (Series 0139-082)

Consumer complaint forms, initial correspondence, photos, notes, reports and other supporting documentation relating to complaints and actions taken by the division, including dispositions not resulting in litigation or enforcement efforts. (Otherwise see Case Files or Enforcement Action Files.) Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: Portions per KSA 45-221(a)(2)(3)(5)(10)(11)(25)(30)

Comments: At the close of an investigation, the AG may destroy or return to original source those records which were obtained by confidentiality agreement; original photos not covered by confidentiality agreement may be returned to source provided photocopies are retained in the file. Retain remaining paper documents until scanned into system and until quality assurance is performed, then destroy. Digital images in system are retained 5 calendar years, then destroyed.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Shortened retention (from 5 on-site, 5 at records center). Changed disposition. Supersedes Charitable Organization Information Files (0138-082). 1/25/10: Revised to cover change in format; covered by Electronic Recordkeeping Plan. 1/21/2011: Revised Description to include "Materials...".

Enforcement Action Files (Series 0141-082)

Legal documents, correspondence, reports, and other supporting documentation relating to consumer protection, anti-trust, and charitable organization cases in which collection of judgment or consent agreements were enacted. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

Restrictions: Portions per KSA 45-221(a)(2)(3)(5)(10)(11)(25)(30)

Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained permanently.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Shortened on-site retention (from 5 years). 1/25/10: Revised to cover change in format to digital, subject to Electronic Recordkeeping Plan; revised disposition from "Archives" to "Permanent."

1/21/2011: Revised Description to include "Materials..."; revised Comments to remove "At close of collection effort, the AG may destroy or return to source those records which were obtained as the result of a confidentiality agreement. Remaining".

Multi-State Actions (Series 0144-082)

Legal documents, pleadings/filings, research, correspondence, publications, reports, notes, contracts, billings, etc., relating to cooperation among states regarding consumer protection, anti-trust, and charitable organization issues. 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.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

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

Comments: Retain paper documents until scanned into system and until quality assurance is performed, then destroy. Retain digital images in system permanently.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Modified on-site/record center breakdown regarding retention.

1/25/10: Revised to include change in format, subject to Electronic Recordkeeping Plan; revised disposition from "Archives" to "Permanent."

1/21/2011: Revised Description to include "Materials..."; revised Comments to remove "At the end of litigation/action, the AG may destroy or return information obtained from a confidentiality agreement" & "remaining" (in reference to paper).

082-010

Office of the Attorney General

Legal Opinions & General Counsel (LOGIC) Division

Bond / Temporary Note Billings (Series 0186-082)

Billing statements associated with review of bonds and temporary notes. Includes copies of checks received.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy.

Record Copy: Paper

Remarks: New entry.

1/21/2011: Revised Retention from "5 years".

Informal Opinions (Series 0189-082)

Informal opinions are opinions requested by governmental officials (other than the Governor, members of the State Legislature, the Board of Education, the Secretary of State, State Treasurer, and Insurance Commissioner) that do NOT address matters of statewide significance. Informal opinions may be signed by the attorney general, an assistant attorney general, or a deputy attorney general.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained permanently.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 1/25/10: Revised to include change in format, subject to Electronic Recordkeeping Plan; revised retention from "Archives" to "Permanent."

1/21/2011: Revised Description to remove "Unlike Formal Opinions" & "contain a "regarding" indicator on the first page and" from the sentence beginning with "Informal opinions..."

Opinion Files (Series 0021-082)

Records related to the research, drafting, and issuance of formal and informal opinions by the division. Formal opinions are signed by the Attorney General and issued pursuant to KSA 75-704a. Informal opinions may be signed by an assistant or deputy attorney general. Includes correspondence, emails, faxes, research, and any other relevant materials.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

Restrictions: KSA 45-221(a)(14)(20)

Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained permanently.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Expanded description and retention, changed unit affiliation, and added restrictions. Supersedes Opinion Indices (0022-082), Opinion Request Correspondence (0023-082), Opinion Request Log (0024-082), and Opinion Research Files (0066-082).

1/25/10: Revised to cover change in format, subject to Electronic Recordkeeping Plan; retention changed from 10 calendar years, then to Archives.

1/21/2011: Revised Description to change "are" in the sentence beginning "Informal opinions..." to "may be", and to remove " and contain a "re" indicator on the first page of of the opinion" from the same sentence. Also removed "Also includes opinion request log and index cards identifying attorney, statute, requestor, opinion number, and request number."

Private Detective Records (Series 0193-082)

Records relating to the Attorney General's regulation of private detectives pursuant to KSA 75-

7b01 et seq.: correspondence, including emails and faxes, investigations, discipline, and administrative hearings.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(11)(14)(20)(30)

Comments: Retain until no longer useful, then destroy. May duplicate records in the possession of Kansas Bureau of Investigation.

Record Copy: Paper

Remarks: New entry.

1/21/2011: Revised Retention from "5 years".

State Agency Regulation Review (Series 0196-082)

Correspondence, including emails and faxes, drafts of regulations, and other records related to reviewing state agency regulations. KSA 77-420.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(14)(20)

Comments: Retain until no longer useful, then destroy.

Record Copy: Paper

Remarks: New entry.

1/21/2011: Revised Retention from 5 years.

082-XXX

Office of the Attorney General

Multiple subunits/subunit not defined

Case Files (Series 0172-082)

Pleadings/filings, research, case notes, interviews, correspondence, contracts, billings, complaint forms, appeal files, and other supporting documentation relating to criminal, consumer, antitrust, medicaid fraud, and civil cases. Includes cases handled by outside counsel, charitable trust, and amicus curiae cases; does NOT include any case files specifically outlined in other divisions-- including, but not limited to, Abuse, Neglect and Exploitation cases, Cases on Appeal, Outstanding Warrants cases, No-Charge Reports, Homicide cases, and Sex Offense cases. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Permanent

Restrictions: KSA 22-4707, 38-2326, 45-221(a)(1)(2)(3)(5)(10)(11)(14)(20)(25)(25)(29)(30)(47)

Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained permanently.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Revised entry. Modified applicable subunits, description, and comments. Added

restrictions. Supersedes Case Files - Litigation (0127), Litigation Records (0063-082), Case Records - General Criminal (0107-082), Case Files - Antitrust (0137-082), Amicus Curiae Records (0123-082), Case Files - Amicus Curiae (0126-082), and Investigation Files (0173-082). 1/11/10: Revised to cover reformatting to digital imaging; revised retention from "Retain in office until case is closed (include appeal, probation, and/or incarceration/parole time if applicable). Then transfer to Records center for 5 years. Then transfer to Archives for purging, unless requested by a law enforcement agency or federal agency."

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

Legislative Materials (Series 0062-082)

Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, etc., related to various legislative activities.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: K.S.A. 45-221(a)(1)(14)(20)(25)

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Paper

Remarks: Revised entry. Broadened applicable subunits. Supersedes Legislative Relations Files (0088-082), Legislative Relations Files (0143-082), Legislative Relations Files (0132-082), and Legislative Relations Files (0142-082), all formerly filed under individual divisions.

1/21/2011: Revised Restrictions from "None".

Retention/Disposition Schedule Entries -- OBSOLETE

082-001

Office of the Attorney General Administration Division

STARS Reports: Daily Financial (Series 0095-082)

Computer reports regarding agency financial status issued on a daily basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy. Schedule does not apply to the Division of Accounts and Reports. Replaces old CASK Reports. Includes: DAFR8010, DAFR8120, DAFR8210, DAFR8420, DAFR8101, etc.

Record Copy: Unknown

Remarks: 1/21/2011: Obsolete series.

STARS Reports: Monthly Financial (Series 0096-082)

Computer reports regarding agency financial status issued on a monthly basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy. Schedule does not apply to the Division of Accounts and Reports. Replaces old CASK Reports. Includes: DAFR8010, DAFR8120, DAFR8210, DAFR8420, DAFR8101, etc.

Record Copy: Unknown

Remarks: 1/21/2011: Obsolete series.

STARS Reports: Yearly Financial (Series 0097-082)

Computer reports regarding agency financial status issued on a yearly basis from the Division of Accounts and Reports to the Statewide Accounting and Reporting Systems.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy. Schedule does not apply to the Division of Accounts and Reports. Replaces old CASK Reports. Includes: DAFR8010, DAFR8120, DAFR8210, DAFR8420, DAFR8101, etc.

Record Copy: Unknown

Remarks: 1/21/2011: Obsolete series.

082-004

**Office of the Attorney General
Victim Services Division**

Clippings Files (Series 0075-082)

Newspaper clippings compiled regarding agency activities.

Entry Status: Draft

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain in office until no longer useful, then destroy. Duplicate of clippings provided by main office of Attorney General, maintained for convenience of reference.

Record Copy: Paper

Remarks: 1/21/2011: Obsolete series.

**KANSAS STATE RECORDS BOARD
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January 27, 2011**

1. **Agency:** Kansas Board of Regents
2. **Records Officer:** Theresa Schwartz **Phone:** 296-6254
3. **Appraising Archivist:** Scott Leonard
4. **Date of Appraisal:** January 19, 2011
5. **Total records - No. of Series:** 31
6. **Archival/Permanent records - No. of Series:** 18
7. **Records Eligible for Immediate Transfer to Archives:**

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and discussions with agency records officer.

9. **Appraisal Narrative:**

The Board of Regents has undergone a general review of their current Retention and Disposition Schedule, which has resulted in the clean up in a number of series. It has resulted in a large number of series being moved to "Superseded" or "Obsolete" status, as well as revising series titles, descriptions, or restrictions. There has also been some minor reorganization within the agency, resulting in revisions to series affected by the reorganization. Overall, the majority of the revisions are relatively minor, but there is one new series.

Retention/Disposition Schedule Entries

561-001

Kansas Board of Regents

Student Financial Aid Records (Series Unknown)

Applications, individual's financial information, correspondence, and other documents related to students who apply to receive one of the scholarships funded by the state and administered by the Board.

Entry Status: Internal Review

Retention Period: 005 fiscal years

Disposition: Destroy

Restrictions: Portions may be closed pursuant to K.S.A. 45-221(a)(1)(14)(30); 20 U.S.C. Â§ 1232g; 34 CFR Part 99,

Record Copy: Unknown

Remarks: 1/19/2011: New series.

Community Colleges

State Accreditation Files (Series 0023-561)

Correspondence, reports, regulations, etc. relating to the accreditation process of community and technical colleges to ensure that educational standards are met and maintained.

Entry Status: Internal Review

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Description to include "and technical" and removed "by the State Board of Education".

Community and Technical Colleges

History Files (Series 0016-561)

Accreditation documents, audits, reports, correspondence, evaluations, etc. relating to community and technical colleges.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/10/2011: Revised description to replace "junior" with "community and technical".

Log Sheet (Series 0017-561)

Log listing the title, date, and location of approved classes for each community and technical

college and maintained for tracking purposes.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful or superseded, then destroy.

Record Copy: Unknown

Remarks: 1/10/2011: Revised description to include "and technical".

Out District Instruction Forms (Series 0019-561)

Form submitted to the Board of Regents by community and technical colleges seeking approval to teach classes off campus.

Entry Status: Internal Review

Retention Period: 005 fisc yrs

Disposition: destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/10/2011: Revised description to include "and technical".

Executive Director

Presidents' and Chancellors' Goals (Series 0024-561)

Statements submitted by University Presidents and Chancellors setting their goals for the year and used as a basis for oral presentations given at the annual performance evaluations.

Entry Status: Internal Review

Retention Period: see comments

Disposition: see comments

Restrictions: Portions may be closed under K.S.A. 45-221(a)(4)

Comments: Transfer to University Presidents' and Chancellor's Employee Personnel Files when no longer useful and retain accordingly.

Record Copy: Unknown

Remarks: 1/19/2011: Added restriction.

Fiscal

Budget Requests - Universities (Series 0032-561)

Copies of budget requests submitted to the Board of Regents, Division of Budget, and the Legislature requesting funding; maintained for convenience of reference.

Entry Status: Internal Review

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain in office until no longer useful, then destroy. Record copy is maintained by individual institutions.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Description to remove "...books" following "budget request...", & added "Board of Regents".

Crumbling Classrooms, University Renovation, or Deferred Maintenance Files (Series 0036-561)

Budget and related materials concerning renovations at regents institutions used to monitor and ensure fulfillment of spending requirements.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain in office until renovation project is completed, and three years after any related bonds are redeemed, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Title to include "University Renovation, or Deferred Maintenance"; revised Comments from "transfer to the records center for 3 fiscal years" to "and three years after any related bonds are redeemed".

Data Collection Reporting, Work Papers (Series 0029-561)

Copies of reports prepared by individual universities and submitted to the American Association of University Professors and the Board of Regents providing information about faculty salaries.

Entry Status: Internal Review

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain in office until no longer useful, then destroy. This information is summarized and compiled in a Databook or similar publication.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Series Title from "American Association of University Professors (AAUP) Annual Salary Report"

GED

GED Forms (Series 0056-561)

Form submitted to the Board of Regents regarding individuals who took the GED test, who passed, when the test was taken, and the grade.

Entry Status: Internal Review

Retention Period: 001 month

Disposition: Destroy

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

Record Copy: Unknown

Remarks: 1/19/2011: Revised Restrictions from KSA 45-221(a)(9).

Legal

Institution Revenue Bond Files (Series 0062-561)

Correspondence, resolution, agenda, drafts, final transcript etc. relating to the sale of bonds by regents institutions for capital improvement projects.

Entry Status: Internal Review

Retention Period: see comments

Disposition: see comments

Restrictions: None

Comments: Retain supporting documentation until bond is paid in full, then destroy. Transfer final transcript to the regent institution after bond is paid in full.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Title to include "Institution".

Legal Inquiries Files - Internal (Series 0059-561)

Correspondence and supporting documentation relating to legal inquiries made within the agency and requesting a legal opinion.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: Portions may be closed as attorney client communications and/or attorney work product, pursuant to K.S.A. 45-221(a)(2), K.S.A. 60-426 and K.S.A. 45-221(a)(25).

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Restrictions from "None".

Legal Review Files (Series 0061-561)

Copies of correspondence, affidavits, etc. relating to various lawsuits suing regents institutions and maintained for convenience of reference.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(2)(4)(25) and K.S.A. 60-426

Comments: Retain five years after litigation is closed, then destroy. Originals are maintained in the Litigation Division of the Attorney General's Office.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Comments from "Retain until litigation is closed, transfer to the records center for 5 years, ..."; revised Restrictions to add subsection (2) to 45-221, & 60-426.

Merger Files (Series 0045-561)

Documents concerning the merger of one public postsecondary educational institution with another.

Entry Status: Internal Review

Retention Period: 003 cldr yrs

Disposition: Archives

Restrictions: None

Comments: Retain in office 3 calendar years, then transfer to archives.

Record Copy: Unknown

Remarks: 1/19/2011: Moved from Fiscal section to Legal; revised Description from "...regents..." to "public postsecondary educational" institution.

Reciprocal Agreement Files (Series 0046-561)

Agreements, routine correspondence, reports, etc. concerning the reciprocal exchange of tuition

rates for Kansas residents and residents of other states.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain for minimum of 3 fiscal years or until no longer useful, whichever is longest, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Moved from Fiscal Section to Legal; removed "Missouri" from Series Title; revised description to include "Agreements," & removed "Missouri and" to include "residents of other states".

Subject Files - State Universities (Series 0066-561)

Correspondence, drafts, orders, copies of leases, etc. relating to the administration and operation of the state universities.

Entry Status: Internal Review

Retention Period: see comments

Disposition: see comments

Restrictions: Some Portions may be closed pursuant to K.S.A. 45-221(a)(20).

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Title from "...Regents Institutions"; revised Description from "...regents institutions"; revised Restrictions from "None".

Private or Out-of-State Postsecondary Educational Institutions

Complaint Files (Series 0068-561)

Documents relating to complaints lodged against a private or out-of-state postsecondary educational institution which did not result in an investigation.

Entry Status: Internal Review

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Revised section name from "Proprietary Schools"; revised Description to match section name.

Minutes - Advisory Committee on Schools (Series 0069-561)

Minutes and agendas of regular or special meetings of the Advisory Committee on Schools.

Entry Status: Internal Review

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the archives.

Record Copy: Unknown

Remarks: 1/19/2011: Revised subagency name from "Proprietary Schools".

Private or Out-of-State Postsecondary Educational Institutions Files (Series 0071-561)

Applications, annual renewals, and supporting documentation submitted by private or out-of-state postsecondary educational institutions seeking authorization to operate a school or solicit students in the state of Kansas.

Entry Status: Internal Review

Retention Period: 050 fisc yrs

Disposition: See Comments

Restrictions: None

Comments: Retain in office 50 years, then transfer files for Kansas schools to the archives for purging and destroy the remainder.

Record Copy: Unknown

Remarks: 1/19/2011: Revised subagency name; revised Series Title from "Proprietary Schools..."; revised retention from 10 fiscal years.

Problem Private or Out-of-State Postsecondary Educational Institutions Files (Series 0070-561)

Correspondence, brochures, etc. relating to private or out-of-state postsecondary educational institutions operating in violation of the Kansas Proprietary School Act.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain for two years past date of problem resolution, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Revised all occurrences of "Proprietary Schools" to match new series title; revised Comments from "Retain until no longer useful,...".

Student Files - Private or Out-of-State Postsecondary Educational Institutions (Series 0072-561)

Correspondence, financial aid documents, transcripts, etc. relating to students previously enrolled in a private or out-of-state postsecondary educational institution which is now defunct.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: See Comments

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

Comments: Transfer to the records center and retain financial aid information for 3 fiscal years, then destroy. Retain student transcripts for 50 years, then transfer to the archives.

Record Copy: Unknown

Remarks: meets federal audit requirements

1/19/2011: Revised subagency name; revised Title & other references to "proprietary schools"; revised Comments from "...remaining documents 15 years, then transfer transcripts to the archives and destroy the remainder"; added "20 U.S.C. Â§ 1232g; 34 CFR Part 99" to Restrictions".

Transcripts - Copies (Series 0073-561)

Copies of student transcripts and correspondence maintained from closed private and out-of-state postsecondary educational institutions for convenience of reference. Original transcripts

are maintained in the appropriate Student File.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

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

Comments: Retain until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Revised subagency; revised Description to include "... from closed private and out-of-state postsecondary educational institutions"; added "20 U.S.C. Â§ 1232g; 34 CFR Part 99" to Restrictions.

University Programs

Access Reports (Series 0074-561)

Correspondence, reports, etc. submitted by state universities detailing continuing education courses offered by state universities and used to compile the final report.

Entry Status: Internal Review

Retention Period: 005 cldr yrs

Disposition: See Comments

Restrictions: None

Comments: Retain until no longer useful, then destroy supporting documentation. Transfer 1 copy of final report to the archives and destroy the remainder. A.K.A. Academic Extension Files.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Description from "...regents institutions..." to "...state universities...".

Accreditation Files (Series 0075-561)

Documents relating to the accreditation process for state university programs by various commissions or boards.

Entry Status: Internal Review

Retention Period: 005 cldr yrs

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Description from "...regents institutions" to "...state university".

Degree Granting Authority Files (Series 0079-561)

Minutes, correspondence, hearings, etc. relating to the authority to grant degrees at private or out-of-state postsecondary educational institutions, community colleges, and technical colleges.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Description from "proprietary and non regent schools" to "private or ...".

Degree and Certificate Inventory Files (Series 0078-561)

Documents used to track the degree programs and certificates offered by state universities.

Entry Status: Internal Review

Retention Period: 002 cldr yrs

Disposition: See Comments

Restrictions: None

Comments: Retain in office 2 calendar years, then destroy supporting documentation. Transfer 1 copy of final report to the archives for purging and destroy the remainder.

Record Copy: Unknown

Remarks: 1/19/2011: Changed "regents institutions" to "state universities" in Description.

New Degree Proposal Files (Series 0087-561)

Documents relating to state university proposals for new degree programs which require approval by the Board of Regents.

Entry Status: Internal Review

Retention Period: 002 cldr yrs

Disposition: Archives

Restrictions: None

Comments: Retain in office 2 calendar years, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Changed "regents institutions" in Description to "state university".

Program Proposals Files (Series 0088-561)

Correspondence, proposal form, minutes, etc. relating to requests from state universities to offer program concentrations, program name changes, new programs, etc. for approval.

Entry Status: Internal Review

Retention Period: 002 cldr yrs

Disposition: Archives

Restrictions: None

Comments: Retain in office 2 calendar years, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Changed "regents institutions" in Description to "state universities".

Program Review Files (Series 0089-561)

Correspondence, reports, statistical reviews, etc. compiled to monitor degree programs and quality at state universities.

Entry Status: Internal Review

Retention Period: 002 cldr yrs

Disposition: Archives

Restrictions: None

Comments: Retain in office 2 calendar years, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Changed "regents institutions" in Description to "state universities".

Regents Qualified Admissions Curricula Files (Series 0091-561)

Correspondence, course lists, form, log sheets, etc. relating to establishing admission standards for freshman applicants to state universities.

Entry Status: Internal Review

Retention Period: see comments

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Changed "regents institutions" in Description to "state universities".

Staff Vitae (Series 0093-561)

Documents relating to university program staff's vitae and maintained for convenience of reference.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(4)

Comments: Retain until no longer useful or superseded, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Revised Restrictions from "None".

University Libraries Files (Series 0101-561)

Correspondence, studies, requests, etc. relating to the state universities libraries' efforts to increase funding.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Changed "regents institutions" in Description to "state universities".

Retention/Disposition Schedule Entries -- SUPERSEDED/OBSOLETE

561-001

Kansas Board of Regents Community Colleges

Audit Files (Series 0014-561)

Audits conducted by the Board of Education which are used to calculate the repayment of funding to the community colleges.

Entry Status: Draft

Retention Period: 005 fisc yrs

Disposition: destroy

Restrictions: None

Comments: Retain 5 fiscal years, then destroy. Obsolete series.

Record Copy: Unknown

Remarks: 1/10/2011: Obsolete Series

Course Files (Series 0015-561)

Request form and supporting documentation submitted by community colleges requesting course approval by the Board of Regents.

Entry Status: Draft

Retention Period: see comments

Disposition: see comments

Restrictions: None

Comments: Obsolete series, transfer to the appropriate community college for appraisal, if not accepted by the college, then destroy.

Record Copy: Unknown

Remarks: 1/10/2011: Obsolete series

National Accreditation Files (Series 0018-561)

Correspondence, reports, regulations, etc. relating to the accreditation process by the National Accreditation Association to ensure that educational standards are met and maintained.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series - transfer to the archives immediately for purging. The State Board of Education now establishes accreditation standards.

Record Copy: Unknown

Remarks: 1/10/2011: Obsolete series.

Out District Tuition Release Forms (Series 0020-561)

Form submitted to the Board of Regents to approve an out district student's tuition reduction by verifying that the requested course is not available at the student's local community college.

Entry Status: Draft

Retention Period: 005 fisc yrs

Disposition: destroy

Restrictions: None
Record Copy: Unknown
Remarks: 1/10/2011: Obsolete series.

Executive Director

University President Recruitment Files (Series 0026-561)

Position descriptions, applications, search and screening committee minutes documenting the Board of Regent's proceedings in hiring a new University President or Chancellor.

Entry Status: Draft

Retention Period: see comments

Disposition: see comments

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

Comments: After hiring decision is made, transfer records for the successful applicant to University Presidents' and Chancellor's Employee Personnel Files. For those individuals not hired, records are returned to the University's personnel office.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by series 0096-000, "Recruitment Files".

University Presidents' and Chancellor's Employee Personnel Files (Series 0027-561)

Copies of applications, evaluations, etc. associated with employment of University Presidents and Chancellors and maintained for convenience of reference.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

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

Comments: Retain for length of employee's tenure plus 5 calendar years, then destroy. Record copy is maintained at individual university's personnel office.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by 0036-000, "Employee Personnel Files".

Fiscal

Board of Education Reports (Series 0031-561)

High school dropout rates, graduation rates, and additional information compiled by the Board of Education and used for reference purposes.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain in office until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Consolidated Faculty Reports (Series 0033-561)

Statistical reports submitted by each regents institution containing information about faculty's ethnicity, age, retirement, tenure status, and resignations used for comparison to peer

institutions.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain in office until no longer useful, then destroy. These reports are summarized in a Databook or other similar publication.

Record Copy: Unknown

Remarks: 1/19/2011: **Superseded by series 0034-561**, "Consolidated Faculty Tables".

Cost Study Reports and Work Papers (Series 0035-561)

Information compiled about and provided by peer institutions about their budgets, expenses, funding, etc. and used for reference purposes.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain in office until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete.

Enrollment Adjustments (Series 0039-561)

Reports submitted with copies of budget requests documenting enrollment changes at universities and used in determining the funding formula and maintained for convenience of reference.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain in office until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Formula Funding Reference Files (Series 0042-561)

Documents relating to the development of funding for regents institutions, based upon enrollment marking a significant change in the way these institutions were funded.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Graduate Tuition Survey - Work Papers (Series 0043-561)

Information compiled on graduate tuition at peer institutions and used in compiling the Databook or similar publication.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain in office until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Reallocation Reports (Series 0047-561)

Reports summarizing and reflecting changes in funding at each regents institution from year to year.

Entry Status: Draft

Retention Period: 003 fisc yrs

Disposition: destroy

Restrictions: None

Comments: Obsolete series. Retain in office 3 fiscal years after date of report, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Sponsored Research Overhead Investigation Files (Series 0050-561)

Reports, data sheets, and related documentation concerning potential abuses of funding for Sponsored Research Overhead which serves as a monitoring function.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Retain in office for 3 calendar years after investigation is closed, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

State Higher Education Appropriations Reports (Series 0051-561)

Formal Hines/Chambers or Halsted/Chambers reports and supporting documentation comparing appropriations to higher education in each state.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Retain in office until no longer useful, then transfer to archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

University of Kansas Medical Center (KUMC) - Financial Reports (Series 0055-561)

Monthly reports of operating profit and loss from University of Kansas Medical Center.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Obsolete series. Retain in office for 3 fiscal years, then destroy.

Record Copy: Unknown

Remarks: Cindy will ask Marvin about disposition of these records.

1/19/2011: Obsolete series.

University of Kansas Medical Center (KUMC) - Financial Reports (Series 0054-561)

Monthly reports of operating profit and loss from University of Kansas Medical Center.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Obsolete series. Retain in office for 3 fiscal years, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

GED

Monthly Reports of GED Testing Sites (Series 0057-561)

Typed reports listing the names, ages, and test scores of GED applicants.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: KSA 45-221(a)(9)

Comments: Obsolete series - destroy immediately.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Legal

Revenue Bond Log (Series 0063-561)

Log used to track the revenue bonds issued at the various regents institutions.

Entry Status: Draft

Retention Period: see comments

Disposition: destroy

Restrictions: None

Comments: Retain until no longer useful or superseded, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Personnel

Applications for Examination (Series 0001-561)

Standardized form developed by the Department of Administration-Division of Personnel Services to determine if an applicant is qualified to take an examination for a specific classified position.

Entry Status: Draft

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0006-000, "Applications for Examination".

Correspondence - Routine (Series 0002-561)

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

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0028-000, "Correspondence - Routine".

Employee Personnel Files (Series 0003-561)

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

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

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

Comments: Retain in office for length of employee's tenure plus 3 calendar years. Purge documents to create abstracted work history (appointment data and change of status information), transfer to the records center for 62 calendar years, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0036-000, "Employee Personnel Files".

Employee Position Descriptions (Series 0004-561)

Formal descriptions of duties and other characteristics of particular employment positions: DA forms 281-2 and supporting documents.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until superseded plus 3 years, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0038-000, "Employee Position Descriptions".

Employee Time Report Records (Series 0005-561)

Records documenting time worked by individual employees on a daily, weekly, or monthly basis: time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, etc.

Entry Status: Draft

Retention Period: 005 fisc yrs

Disposition: Destroy

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

Comments: Internal agency forms. See also Leave Requests.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0039-000, "Employee Time Report Records".

Employee Training Course Materials (Series 0006-561)

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

Entry Status: Draft

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain until training program is obsolete, then transfer one copy of each manual, syllabus, and textbook to the archives, destroy the remainder. See also Employee Training Records.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0040-000, "Employee Training Course Materials".

Employee Training Records (Series 0007-561)

Correspondence, reports and other records relating to the operation of agency sponsored training programs and to employee participation in training programs sponsored by training programs and to employee participation in training programs sponsored by external organizations.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 5 calendar years or until superseded, whichever is sooner, then destroy. See also Employee Training Course Materials.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0041-000, "Employee Training Records".

Employee Withholding Allowance Certificates (Series 0008-561)

Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer in effect, then destroy provided four years have passed since date tax was due or paid (whichever is later).

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0042-000, "Employee Withholding Allowance Certificates".

Employment Applications - Not Hired (Series 0009-561)

DA forms 203 and supplementary materials submitted by unsuccessful candidates for employment.

Entry Status: Draft

Retention Period: 003 cldr yrs

Disposition: Destroy

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

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0043-000, "Employment Applications - Not Hired".

Employment Eligibility Verification Form (Series 0010-561)

Immigration and Naturalization Service (INS) form 1-9 completed by the employee verifying eligibility to work in the United States.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

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

Comments: Retain for length of employee tenure plus 3 years, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0044-000, "Employment Eligibility Verification Form".

KPERS Forms (Series 0011-561)

Documents relating to employees' application, reenrollment, retirement and/or death and their participation in the Kansas Public Employees Retirement System (KPERS).

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

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

Comments: Retain for length of employee's tenure plus 3 years, then destroy.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0078-000, "Payroll Deduction Authorization Records - General".

SHaRP Reports (Series 0012-561)

Computer reports concerning agency payroll issued on a periodic basis from the Division of Accounts and Reports to agencies in the Statewide Human Resources and Payroll Project.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain electronic or paper copy 3 fiscal years, then destroy. Not applicable to the Division of Accounts and Reports.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0102-000, "SHaRP Reports".

University Programs

Commission on Reform of Education Governance Files (Series 0077-561)

Minutes, correspondence, constitution, studies, final report, relating to a review of the Kansas Constitution Article 6 which was charged with recommending any modifications in education governance.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

Degrees Conferred Files (Series 0080-561)

Charts, graphs, correspondence, statistics, etc. submitted by regents institutions and used to compile the final report.

Entry Status: Draft

Retention Period: see comments

Disposition: see comments

Restrictions: None

Comments: Retain until no longer useful, then destroy supporting documentation. Transfer 1 copy of the final report to the archives.

Record Copy: Unknown

Remarks: 1/19/2011: **Superseded by series 0078-561**, "Degree and Certificate Inventory Files".

Faculty Performance Evaluations Task Force Files (Series 0083-561)

Correspondence, agendas, reports, minutes, etc. relating to the performance evaluation process and final recommendation made to the Board of Regents for reviewing and assessing faculty performance.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Honors Academy Files (Series 0084-561)

Correspondence, minutes, etc. relating to efforts to encourage exceptional high school juniors and seniors to attend a regents institution.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

Kansas Council on the Future of Post Secondary Education Files (Series 0085-561)
Minutes, correspondence, research material, etc. relating to the statewide coordination of post secondary education in Kansas to restructure higher education in Kansas.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

Mission Study Task Force Files (Series 0086-561)

Minutes, reports, correspondence, etc. relating to the regents institutions developing their unique missions, roles and aspirations.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Retreat Issue Papers (Series 0092-561)

Documents relating to formal discussions on various topics under consideration regarding the challenges facing regent institutions.

Entry Status: Draft

Retention Period: 002 cldr yrs

Disposition: archives

Restrictions: None

Comments: Retain in office 2 calendar years, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Superseded by General Schedule series 0015-000, "Board Packets".

Statewide Committee on Qualified Admissions Files (Series 0094-561)

Correspondence, reports, resolution, etc. relating to a commission appointed to review pre-college curricula at the state high schools to ensure that students are prepared for college.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

Technical Advisory Committee on Faculty Evaluations (Series 0098-561)

Minutes, correspondence, student rating forms, etc. relating to merit increases for faculty based upon their annual evaluation which resulted from Task Force recommendations.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

Tenure Review Files (Series 0099-561)

Minutes, correspondence, etc. relating to the tenure review process for evaluating regents institutions' faculty.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Transfer Students Committee Files (Series 0100-561)

Minutes, correspondence, etc. relating to students transferring from one institution to another and used to assess student performance.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

University of Kansas Faculty Grievance Committee Files (Series 0102-561)

Correspondence, reports, etc. relating to allegations of misconduct by one KU faculty by another KU faculty member which resulted in an investigation.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: KSA 45-221(1), (4), (25), (30)

Comments: Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Obsolete series.

Vision 20/20 Performance Indicators Files (Series 0104-561)

Minutes, correspondence, etc. relating to performance indicator measures for the Vision 2020 plan.

Entry Status: Draft

Retention Period: see comments

Disposition: archives

Restrictions: None

Comments: Obsolete series. Transfer to the archives immediately for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

Vision 20/20 Plans (Series 0103-561)

Correspondence, reports, evaluations, etc. relating to a comprehensive strategy for preparing regents institutions to meet the challenges of the 21st century.

Entry Status: Draft

Retention Period: 005 fisc yrs

Disposition: archives

Restrictions: None

Comments: Obsolete series. Retain in office 5 fiscal years, then transfer to the archives for purging.

Record Copy: Unknown

Remarks: 1/19/2011: Moved to Obsolete status.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 27, 2011**

1. **Agency:** Kansas Department of Social and Rehabilitation Services

2. **Records Officer:** Sandy Powell **Phone:** 235-8284

3. **Appraising Archivist:** Scott Leonard

4. **Date of Appraisal:** January 20, 2011

5. **Total records - No. of Series:** 30

6. **Archival/Permanent records - No. of Series:** 7

7. **Records Eligible for Immediate Transfer to Archives:**

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and discussions with agency records officer.

9. **Appraisal Narrative:**

The Department of Social & Rehabilitation Services wishes to revise its previously approved retention and disposition schedule. Due to reorganization, there are some revised functions which have resulted in new or revised series for the Department. The majority of these series come from the Disability & Behavioral Health Services Division.

Retention/Disposition Schedule Entries

629-002

Department of Social and Rehabilitation Services Disability & Behavioral Health Services Addiction and Prevention Services

1915(b)(c) Waiver Approval and Renewals (Series Unknown)

Final Waiver documents and CMS approval documents related to substance abuse community based managed care programs.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

All Other Addiction and Prevention Services (AAPS) Policies and Procedures (Series Unknown)

All final policy and procedure documents for AAPS programs.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Archives

Restrictions: None

Comments: Retain for 10 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

External Quality Review Organization Reports (Series Unknown)

All final reports related to the Prepaid Inpatient Health Plan (PIHP) program.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Independent Assessment Reports (Series Unknown)

All final reports for the 1915(b)(c) waiver.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Licensing Treatment Provider Files (Series Unknown)

Site visit reports, licenses, complaints, Medicaid applications/approvals, waivers, and license applications for treatment providers.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Prepaid Inpatient Health Plan (PIHP) Contracts (Series Unknown)

All contracts and amendments related to the PIHP program.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Prepaid Inpatient Health Plan (PIHP) Policy and Procedures (Series Unknown)

All final Policy and Procedure documents for the PIHP program.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Project Applications (Series Unknown)

Provider applications to provide specialty services.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Substance Abuse/Prevention Services Block Grant Application (Series Unknown)

All annual Block Grant applications related to substance abuse/prevention services.

Entry Status: Internal Review

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Community Supports & Services

Official Letters and Memoranda (Series Unknown)

Correspondence stating policy, rules and regulations, interpretive guidelines, and the like related to any Community Supports & Services program.

Entry Status: Internal Review

Retention Period: 5 Fiscal Years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Plans of Care, Extraordinary Funding and Home Modifications (Series Unknown)

Documents related to MR/DD waiver, Money Follows the Person, Traumatic Brain Injury, and Technology Assisted, and other Community Supports & Services programs.

Entry Status: Internal Review

Retention Period: 6 fiscal years

Disposition: Destroy

Restrictions: None

Comments: Maintain in office one (1) year, then transfer to State Records Center for five (5) years, then destroy.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Policy Statements and Procedure Manuals (Series 0040-629)

Official policies and procedure manuals related to any Community Supports & Services program

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain in office 5 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: Combines series 0040-629, "Policy Statements" with series 0742-629, "Procedure Manuals"; revised Description from "Original copies of formal explanations of agency policies and procedures issued in individual statement formats including SRS commissioners' letters" (0040-629); revised Comments from "Retain until superseded or no longer in effect, then transfer to the archives. Retain convenience copies until no longer useful, then destroy."

Program Grants (Series Unknown)

Records related to Traumatic Brain Injury Program, Money Follows the Person Program, the Systems Transformation Program, and any other Community Supports & Services program grants.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Program manager to maintain records for 1 year following close of grant. Then transfer grant records to State Records Center for 5 years. Intra-agency contact for potentially additional related information is DBHS/Management Operations.

Record Copy: Unknown
Remarks: 1/20/2011: New series.

Management Operations

Audit Reports/Responses & Financial Management Reviews/Responses (Series 0019-629)

Results of audits conducted by the Legislative Division of Post-Audit and other state and/or federal auditing agencies.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain 6 fiscal years beyond final report, then transfer to State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: Revised Title; lengthen retention from 5 fiscal years; needs Restrictions?

Bond Records (Series Unknown)

Supporting documentation relating to payments and reconciliation of bonds.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 5 fiscal years beyond life of bond.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Contracts/Grants Awarded by DBHS to Contractors/Grantees (Series Unknown)

Legal agreements with individuals and organizations including all associated documentation.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 6 fiscal years after final payment.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Grants Awarded to DBHS (Series Unknown)

Applications and associated documents for federal, state, and private grants.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain 6 fiscal years beyond final grant transaction, then transfer original applications and annual and final performance reports to the archives for purging, destroy remaining documents.

Record Copy: Unknown

Remarks: 1/20/2011: New series; based on General Schedule series 0049-000, "Grant Files -

Funded".

ICF/MR, NF/MH, and PRTF Forms (Series Unknown)

Intermediate Care Facility for Persons with Mental Retardation (ICF/MR), Nursing Facility for Mental Health (NF/MH), and Psychiatric Review Technique (PRTF). Informational documents relating to cost reports, certifications, appeals and rate setting.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 6 fiscal years following rate implementation.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Managed Care Organization (MCO) Contracts (Series Unknown)

Contract agreements, performance and all other reports, correspondence relating to performance, contract scope or deliverables, service payments under such contracts, policy and procedures of MCO, financial and settlement reports.

Entry Status: Internal Review

Retention Period: 6 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Parent (Family) Fee Program Manuals and Printed Materials (Series Unknown)

Program manual, sliding fee scales, and other published program documents.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain sliding fee scales for 10 years. Retain all other program material one year beyond date superseded or no longer in effect. Transfer one copy of each to State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Parent (Family) Fee Program Participants (Series Unknown)

Informational documents relating to eligible children, income for fee base, fee variances requests, and supporting documents.

Entry Status: Internal Review

Retention Period: 6 fiscal years

Disposition: Destroy

Record Copy: Unknown

Remarks: 1/20/2011: New series; needs restriction citation(s).

Mental Health Services

Constituent Complaint Files (Series Unknown)

All correspondence and memoranda, case logs, and intake logs relating to complaints submitted by constituents.

Entry Status: Internal Review

Retention Period: 5 fiscal years

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(14)

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Customer Relations and Referral Services Program Files (Series Unknown)

Correspondence, area office plans, and other documents relating to the establishment and administration of the Customer Relations and Referral Services Program.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain 5 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Facility Licenses (Series Unknown)

All licensing and supporting documentation for Community Mental Health Centers (CMHC), Residential Care Facilities (RCF), Psychiatric Residential Treatment Facilities (PRTF), and Private Psychiatric Hospitals (PPH).

Entry Status: Internal Review

Retention Period: 5 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 1/20/2011: New entry; Electronic Recordkeeping Plan not required.

Medicaid Funded Programs (Series Unknown)

Official reports, determinations, contracts, and policies/procedures related to Medicaid funded mental health programs, including Community Based Managed Care Services, waiver exceptions for Serious Emotional Disturbances (SED), and Psychiatric Residential Treatment Facilities (PRTF).

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Archives

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

Comments: Retain for 6 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 10/25/2010: New entry.

Nursing Facilities Mental Health Screens (Series Unknown)

Entry Status: Internal Review

Retention Period: 5 fiscal years
Disposition: Destroy
Restrictions: K.S.A. 45-221(a)
Record Copy: Unknown
Remarks: 1/20/2011: New series.

Subject Files (Series Unknown)

Correspondence, notes, reports, and other documents related to SRS programs, policies, and procedures.

Entry Status: Internal Review
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
Record Copy: Unknown
Remarks: 1/20/2011: New series.

629-003

**Department of Social and Rehabilitation Services
Human Resources**

Client Case Files - Employment Preparation Services (Series 0068-629)

Application, action plan, determination notification, fiscal materials, etc. relating to Employment Preparation Services eligibility determination and administration of benefits.

Entry Status: Internal Review
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Retain 3 years after closure of file, then destroy.
Record Copy: Unknown
Remarks: 1/20/2011: Revised retention from "Retain 5 years after closure of file,...".

Client Fraud Files (Series 0071-629)

Investigation form, client notification form, budget, and payment records relating to clients who may have committed fraud to gain SRS services or benefits.

Entry Status: Internal Review
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Retain 5 years after investigation is closed, and overpayment recovery is complete, then destroy.
Record Copy: Unknown
Remarks: 1/20/2011: Added the phrase "and overpayment recovery is complete," to the Comments.

629-007

Department of Social and Rehabilitation Services

State Hospitals and Facilities

State Hospitals

Medical Record - Adult Patients (Series 0457-629)

Documents concerning individual patient care including: medical, psychiatric, social, and legal information, as well as correspondence, progress notes, and response to treatment.

Entry Status: Internal Review

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(3) & 65-5602

Comments: Retain for 10 years after the date of last discharge. Destroy or retain consistent with facility policy.

Record Copy: Unknown

Remarks: 1/20/2011: Revised Comments from "..., strip chart. Destroy except basic 4 or 5 pages of data. Every 100th file transfer to the archives."

Retention/Disposition Schedule Entries -- SUPERSEDED

629-002

Department of Social and Rehabilitation Services Disability & Behavioral Health Services

Procedures Manuals (Series 0742-629)

Original copies of agency procedures issued in a collective manual.

Entry Status: Draft

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.

Record Copy: Unknown

Remarks: 1/20/2011: Superseded by revised series 0040-629.

629-003

Department of Social and Rehabilitation Services Human Resources

Applications for Examination (Series 0053-629)

Standardized form developed by the Department of Administration-Division of Personnel Services to determine if an applicant is qualified to take an examination for a specific classified position.

Entry Status: Draft

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 10/25/2010: Superseded by General Schedule series 0006-000.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 27, 2011**

1. **Agency:** Kansas Department of Social and Rehabilitation Services

2. **Records Officer:** Sandy Powell **Phone:** 235-8284

3. **Appraising Archivist:** Scott Leonard

4. **Date of Appraisal:** January 20, 2011

5. **Total records - No. of Series:** 30

6. **Archival/Permanent records - No. of Series:** 7

7. **Records Eligible for Immediate Transfer to Archives:**

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and discussions with agency records officer.

9. **Appraisal Narrative:**

The Department of Social & Rehabilitation Services wishes to revise its previously approved retention and disposition schedule. Due to reorganization, there are some revised functions which have resulted in new or revised series for the Department. The majority of these series come from the Disability & Behavioral Health Services Division.

Retention/Disposition Schedule Entries

629-002

Department of Social and Rehabilitation Services Disability & Behavioral Health Services Addiction and Prevention Services

1915(b)(c) Waiver Approval and Renewals (Series Unknown)

Final Waiver documents and CMS approval documents related to substance abuse community based managed care programs.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

All AAPS grants and contracts (Series Unknown)

All program specific grants and contracts.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Paper

Remarks: 1/21/2011: New entry.

All Other Addiction and Prevention Services (AAPS) Policies and Procedures (Series Unknown)

All final policy and procedure documents for AAPS programs.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Archives

Restrictions: None

Comments: Retain for 10 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

External Quality Review Organization Reports (Series Unknown)

All final reports related to the Prepaid Inpatient Health Plan (PIHP) program.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Independent Assessment Reports (Series Unknown)

All final reports for the 1915(b)(c) waiver.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Licensing Treatment Provider Files (Series Unknown)

Site visit reports, licenses, complaints, Medicaid applications/approvals, waivers, and license applications for treatment providers.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Prepaid Inpatient Health Plan (PIHP) Contracts (Series Unknown)

All contracts and amendments related to the PIHP program.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Prepaid Inpatient Health Plan (PIHP) Policy and Procedures (Series Unknown)

All final Policy and Procedure documents for the PIHP program.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Project Applications (Series Unknown)

Provider applications to provide specialty services.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Substance Abuse/Prevention Services Block Grant Application (Series Unknown)

All annual Block Grant applications related to substance abuse/prevention services.

Entry Status: Ready for SRB

Retention Period: 10 fiscal years
Disposition: Destroy
Restrictions: None
Record Copy: Unknown
Remarks: 1/20/2011: New series.

Community Supports & Services

Official Letters and Memoranda (Series Unknown)

Correspondence stating policy, rules and regulations, interpretive guidelines, and the like related to any Community Supports & Services program.

Entry Status: Ready for SRB

Retention Period: 5 Fiscal Years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Plans of Care, Extraordinary Funding and Home Modifications (Series Unknown)

Documents related to MR/DD waiver, Money Follows the Person, Traumatic Brain Injury, and Technology Assisted, and other Community Supports & Services programs.

Entry Status: Ready for SRB

Retention Period: 6 fiscal years

Disposition: Destroy

Restrictions: None

Comments: Maintain in office one (1) year, then transfer to State Records Center for five (5) years, then destroy.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Policy Statements and Procedure Manuals (Series 0040-629)

Official policies and procedure manuals related to any Community Supports & Services program

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain in office 5 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: Combines series 0040-629, "Policy Statements" with series 0742-629, "Procedure Manuals"; revised Description from "Original copies of formal explanations of agency policies and procedures issued in individual statement formats including SRS commissioners' letters" (0040-629); revised Comments from "Retain until superseded or no longer in effect, then transfer to the archives. Retain convenience copies until no longer useful, then destroy."

Program Grants (Series Unknown)

Records related to Traumatic Brain Injury Program, Money Follows the Person Program, the

Systems Transformation Program, and any other Community Supports & Services program grants.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Program manager to maintain records for 1 year following close of grant. Then transfer grant records to State Records Center for 5 years. Intra-agency contact for potentially additional related information is DBHS/Management Operations.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Management Operations

Audit Reports/Responses & Financial Management Reviews/Responses (Series 0019-629)

Results of audits conducted by the Legislative Division of Post-Audit and other state and/or federal auditing agencies.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain 6 fiscal years beyond final report, then transfer to State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: Revised Title; lengthen retention from 5 fiscal years; needs Restrictions?

Bond Records (Series Unknown)

Supporting documentation relating to payments and reconciliation of bonds.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 5 fiscal years beyond life of bond.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Contracts/Grants Awarded by DBHS to Contractors/Grantees (Series Unknown)

Legal agreements with individuals and organizations including all associated documentation.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 6 fiscal years after final payment.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Grants Awarded to DBHS (Series Unknown)

Applications and associated documents for federal, state, and private grants.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain 6 fiscal years beyond final grant transaction, then transfer original applications and annual and final performance reports to the archives for purging, destroy remaining documents.

Record Copy: Unknown

Remarks: 1/20/2011: New series; based on General Schedule series 0049-000, "Grant Files - Funded".

ICF/MR, NF/MH, and PRTF Forms (Series Unknown)

Intermediate Care Facility for Persons with Mental Retardation (ICF/MR), Nursing Facility for Mental Health (NF/MH), and Psychiatric Review Technique (PRTF). Informational documents relating to cost reports, certifications, appeals and rate setting.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 6 fiscal years following rate implementation.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Managed Care Organization (MCO) Contracts (Series Unknown)

Contract agreements, performance and all other reports, correspondence relating to performance, contract scope or deliverables, service payments under such contracts, policy and procedures of MCO, financial and settlement reports.

Entry Status: Ready for SRB

Retention Period: 6 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Parent (Family) Fee Program Manuals and Printed Materials (Series Unknown)

Program manual, sliding fee scales, and other published program documents.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain sliding fee scales for 10 years. Retain all other program material one year beyond date superseded or no longer in effect. Transfer one copy of each to State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Parent (Family) Fee Program Participants (Series Unknown)

Informational documents relating to eligible children, income for fee base, fee variances

requests, and supporting documents.

Entry Status: Ready for SRB

Retention Period: 6 fiscal years

Disposition: Destroy

Record Copy: Unknown

Remarks: 1/20/2011: New series; needs restriction citation(s).

Mental Health Services

Constituent Complaint Files (Series Unknown)

All correspondence and memoranda, case logs, and intake logs relating to complaints submitted by constituents.

Entry Status: Ready for SRB

Retention Period: 5 fiscal years

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(14)

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Customer Relations and Referral Services Program Files (Series Unknown)

Correspondence, area office plans, and other documents relating to the establishment and administration of the Customer Relations and Referral Services Program.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain 5 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Facility Licenses (Series Unknown)

All licensing and supporting documentation for Community Mental Health Centers (CMHC), Residential Care Facilities (RCF), Psychiatric Residential Treatment Facilities (PRTF), and Private Psychiatric Hospitals (PPH).

Entry Status: Ready for SRB

Retention Period: 5 fiscal years

Disposition: Destroy

Restrictions: None

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 1/20/2011: New entry; Electronic Recordkeeping Plan not required.

Grants and Contracts - Funded (Series Unknown)

Pertinent documents relating to applications for federal, state, and private grants and their subsequent implementation.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: 5 fiscal years beyond end of grant or contract period.

Record Copy: Paper

Remarks: 1/21/2011: New series.

Medicaid Funded Programs (Series Unknown)

Official reports, determinations, contracts, and policies/procedures related to Medicaid funded mental health programs, including Community Based Managed Care Services, waiver exceptions for Serious Emotional Disturbances (SED), and Psychiatric Residential Treatment Facilities (PRTF).

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Archives

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

Comments: Retain for 6 fiscal years, then transfer to the State Archives for purging.

Record Copy: Unknown

Remarks: 10/25/2010: New entry.

Nursing Facilities Mental Health Screens (Series Unknown)

Entry Status: Ready for SRB

Retention Period: 5 fiscal years

Disposition: Destroy

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

Record Copy: Unknown

Remarks: 1/20/2011: New series.

Subject Files (Series Unknown)

Correspondence, notes, reports, and other documents related to SRS programs, policies, and procedures.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until no longer useful, then destroy.

Record Copy: Unknown

Remarks: 1/20/2011: New series.

629-003

**Department of Social and Rehabilitation Services
Human Resources**

Client Case Files - Employment Preparation Services (Series 0068-629)

Application, action plan, determination notification, fiscal materials, etc. relating to Employment Preparation Services eligibility determination and administration of benefits.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 39-709b

Comments: Retain 3 years after closure of file, then destroy.

Record Copy: Unknown

Remarks: 1/20/2011: Revised retention from "Retain 5 years after closure of file,...".

Client Fraud Files (Series 0071-629)

Investigation form, client notification form, budget, and payment records relating to clients who may have committed fraud to gain SRS services or benefits.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 39-709b

Comments: Retain 5 years after investigation is closed, and overpayment recovery is complete, then destroy.

Record Copy: Unknown

Remarks: 1/20/2011: Added the phrase "and overpayment recovery is complete," to the Comments.

629-007

Department of Social and Rehabilitation Services

State Hospitals and Facilities

State Hospitals

Medical Record - Adult Patients (Series 0457-629)

Documents concerning individual patient care including: medical, psychiatric, social, and legal information, as well as correspondence, progress notes, and response to treatment.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(3) & 65-5602

Comments: Retain for 10 years after the date of last discharge. Destroy or retain consistent with facility policy.

Record Copy: Unknown

Remarks: 1/20/2011: Revised Comments from "..., strip chart. Destroy except basic 4 or 5 pages of data. Every 100th file transfer to the archives."

Retention/Disposition Schedule Entries -- SUPERSEDED

629-002

Department of Social and Rehabilitation Services Disability & Behavioral Health Services

Procedures Manuals (Series 0742-629)

Original copies of agency procedures issued in a collective manual.

Entry Status: Draft

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.

Record Copy: Unknown

Remarks: 1/20/2011: Superseded by revised series 0040-629.

629-003

Department of Social and Rehabilitation Services Human Resources

Applications for Examination (Series 0053-629)

Standardized form developed by the Department of Administration-Division of Personnel Services to determine if an applicant is qualified to take an examination for a specific classified position.

Entry Status: Draft

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 10/25/2010: Superseded by General Schedule series 0006-000.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 27, 2011**

1. **Agency:** University of Kansas
2. **Records Officer:** Denise Stephens **Phone:** 785-864-4999
3. **Appraising Archivist:** Matt Veatch, Scott Leonard
4. **Date of Appraisal:** January 5, 2011
5. **Total records - No. of Series:** 167
6. **Archival/Permanent records - No. of Series:** 31
7. **Records Eligible for Immediate Transfer to Archives:**

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and discussions with agency records officer.

9. **Appraisal Narrative:**

The University of Kansas in 2009 created a university-wide Retention & Disposition Schedule, but it had not been formally reviewed & approved by the State Records Board. The Kansas Historical Society became aware of the schedule as a result of reviewing a proposed information technology project and worked with the University to bring it before the Board. All of the records listed as archival will go to the University Archives.

University of Kansas General Records Retention Schedule

[Introduction to KU General Records Retention Schedule](#)

[Records Retention Schedule Mapping \(Graphic\)](#)

[Record Class: General Administrative Records](#)

[Record Class: Accounting & Financial Records](#)

[Record Class: Legal Records](#)

[Record Class: Personnel Records \(Faculty, Staff, Students\)](#)

[Record Class: Student & Course Records](#)

[Record Class: Library Records](#)

[Record Class: Information Technology Records](#)

Record Class: GENERAL ADMINISTRATIVE RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Accreditation Records - External	Reports made by accrediting associations, recommendations by said committees, and institutional responses to committee observations and suggestions	University, College/School, Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Accreditation Reports and Review Records - Internal	Variety of documents relating to the accreditation review process for the separate colleges or professional organizations to ensure that academic or professional standards are met and maintained	University, College/School, Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	

Activity Report Records/Job Flows	Internal documents used to compile statistics on department activities: traffic reports, activity logs, etc.	Department or Office	Retain 2 fiscal years	Secure destruction	
Administrative Files	Central files documenting the daily activities of an office. This does not include record types specifically identified elsewhere in this schedule.	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives	
Annual Reports	Annual report of the activities of the originating office or department	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Committee Records	Agendas, minutes, correspondence, reports, etc. relating to committees, task forces, commissions, and other standing or ad hoc groups	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Conference Files	Documents relating to various conferences sponsored by the university	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Correspondence & Memos - Policy Related	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 university or an office or department	Department or Office	Retain 5 calendar years or until no longer useful, then transfer to University Archives.	University Archives	
Correspondence & Memos - Routine	Incoming and outgoing letters, memoranda, and email pertaining to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.	Department or Office	Retain until no longer useful, then destroy.	Secure destruction	
Lectures - Visiting	Documents relating to lectures delivered by visiting speakers.	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	

Policy Statements	Original copies of formal explanations of department policies and procedures.	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Statistical Reports	Statistical records of university activities/functions used in compiling and publishing monthly, quarterly, and/or annual reports.	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives	
Strategic Planning Files	Variety of documents relating to the strategic planning process	Department or Office	Retain until no longer useful or superseded, then transfer to the University Archives for purging.	University Archives	
Public Relations Materials	Clippings and press releases; documents related to official functions; internally produced newsletters, pamphlets, leaflets, and brochures; documents commemorating anniversaries, etc.; final versions of department related speeches and other formal public communications	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Photographic & Video Materials	Photo-prints, negatives, slides, films, videotapes, etc. This does not include photographic or video materials used/compiled for medical/research purposes.	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	

Record Class: ACCOUNTING & FINANCIAL RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Financial Statements and Reports - External	This includes but is not limited to statements and reports issued to the State, bonding agencies and other financial institutions, and federal agencies. The supporting general ledger files and work papers should be retained.	Comptroller's Office and Office of Research & Graduate Studies	Retain permanently.	Permanent	

Tax Returns & Reports	This includes but is not limited to tax returns filed with the Internal Revenue Service, and state and local tax authorities. This includes tax information provided to the State and the Board of Regents. The supporting work papers should be retained.	Comptroller's Office and Office of Research & Graduate Studies	Retain 7 fiscal years.	Secure destruction	
Audit Reports & Work papers - <i>Internal</i>	Internal Audit work products include Audit Reports and Work papers for all audit, investigation, and advisory service projects - which may be in electronic or hardcopy form.	Internal Audit office	Retain 1 signed copy of the final report permanently. Work papers are held 5 fiscal years.	University Archives/Secure destruction	Audit work products are the property of the university. Internal Audit maintains custody of all audit work products, which are subject to the retention requirements set forth above.
Audit Reports & Work papers - <i>External</i>	External Audit work includes, but is not limited to, Audit Reports issued by the State Legislative Post Audit, public accounting firms, and tax authorities.	Internal Audit office	Retain 7 fiscal years. Keep final reports issued by Legislative Post Audit permanently.	University Archives/Secure destruction	Audit work products are the property of the university. Internal Audit maintains custody of all audit work products, which are subject to the retention requirements set forth above.
Accounts Payable Records	Documents related to the payment for goods and services, including but not limited to purchase orders, contracts, invoices, vouchers, correspondence, and subsidiary ledgers. This includes SOV and Interfund transactions used to make payments between university departments and other State agencies. This also includes transactions completed via business procurement cards.	Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 4 fiscal years.	Secure destruction	

Accounts Receivable Records	Documents related to the assessment, billing, and collection of amounts due to the university, including but not limited to fee schedules, contracts, collection efforts, correspondence, and subsidiary ledgers. This includes SOV and Interfund transactions used to make payments between university departments and other State agencies. This also includes transactions completed via merchant credit cards.	Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 4 fiscal years.	Secure destruction	
Asset Records	Documents related to the purchase, maintenance, repair, improvement, and depreciation of capital assets.	Comptroller's Office and Office of Research & Graduate Studies	Retain for the life cycle of the related asset plus 1 year, then destroy.	Secure destruction	
Payroll Records	These records are required for the traditional payroll, including tax and immigration status, and funding of positions. Much of this information is shared with the State's Payroll.	Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 5 years after termination of the employee, then destroy.	Secure destruction	
Student Financial Records	These records support the student's financial account with the university. They include tax and immigration status; assessment, billing and collection information; and FERPA-related information.	Comptroller's Office and Offices of Student Success	Retain for 4 fiscal years after date of graduation or last attendance, then destroy.	Secure destruction	
KU Card	These records include employee and student information as well as financial information if the individual has opted to use the debit card function of the KU Card.	KU Card Center	Retain until employee or student leaves the university.	Secure destruction	

Machine-produced files	Master files produced by business machines during accounting, including but not limited to PeopleSoft and DEMIS databases, stand-alone accounting software hosted by departments, and interfaces with the State and other external parties.	Comptroller's Office, Office of Research & Graduate Studies, Office of Institutional Research & Planning, and Information Technology	Retain 4 fiscal years.	Secure destruction	
Cash Management Records	Records to manage business with all types of financial services providers, including cash, check, credit card, and other forms of receipt and payment transactions. This includes, but is not limited to bank statements and reconciliations, deposit registers, and check registers.	Comptroller's Office and Office of Research & Graduate Studies	Retain 4 fiscal years.	Secure destruction	
Budget Preparation Files - Annual	Documents used in the preparation of annual university and department budgets, including but not limited to budget requests, and final forecasts and analyses	Budget Office, Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 5 fiscal years, then contact University Archives for appraisal.	Securely destroy if not accepted by the University Archives.	
Bid Records	Documents related to procuring goods and services, including but not limited to requests for proposals, requests for information, bids, quotations, and estimates	Comptroller's Office and Office of Research & Graduate Studies	Retain 4 fiscal years.	Secure destruction	

Purchase Orders	Purchase orders used by both the university's Central Purchasing Offices and departments to request purchases of goods and services. This includes but is not limited to contracts and agreements, and subsidiary ledgers. See also Bid Records.	Comptroller's Office and Office of Research & Graduate Studies	Retain 4 fiscal years.	Secure destruction	
Grant Files - Funded	Documents relating to applications for federal, state, and private grants and to the implementation of those received	Office of Research & Graduate Studies and research centers, and Department or Office	Retain for 5 years after final payment, then destroy financial records. Transfer remaining documents to University Archives.	University Archives	
Grant Files - Unfunded	Applications and supporting documentation relating to federal, state, and private grants that were submitted but not funded	Office of Research & Graduate Studies and research centers, and Department or Office	Retain electronic copy until no longer useful, then archive. Hard copy proposals are returned to the Principal Investigator (PI) or destroyed dependent upon their instruction.	University Archives	

Record Class: LEGAL RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Grievance & Administrative Hearing Files	Documents relating to actions taken by or against employees or students. Includes records of grievances, hearings, and appeals	Department responsible for the action or proceeding.	Retain for 5 years after case is closed or until no longer useful (whichever period is longer), then transfer to University Archives for purging.	University Archives	

Litigation Records	Documents and reference materials (including court transcripts) regarding cases litigated by the Office of the General Counsel or outside counsel for the university	Office of the General Counsel	Retained by the Office of General Counsel until no longer useful, then destroy.	Secure destruction	
Legal - Deeds for Real Estate	Documents pertaining to ownership of real property	Office of the General Counsel	Retain permanently.	Permanent	Original copy forwarded by the Office of the General Counsel to Board of Regents per Board of Regents policy.
Easements	Easements for the use of real estate	Office of the General Counsel	Retain permanently.	Permanent	
Legal - Vehicle Ownership Records	Legal documents pertaining to ownership of department vehicles, including titles	Comptroller's Office	Retain for 5 years after ownership terminated, then destroy.	Secure destruction	
Legal - Contracts	Legal agreements with individuals/entities and associated documents (DA-146 series)	Department or Office	Retain for 5 years after the close of contract, then destroy.	Secure destruction	Sponsored research agreements and research licensing agreements involving KU technology are generally kept at KUCR or at KUCTC.
Legal - Patents, Trademarks and Copyright	Documents relating to Patent, trademark, and copyright registrations or the original documents themselves	Office of the General Counsel	Retain for 5 years after expiration of patent or registration, then transfer to University Archives.	University Archives	
Legal - Investigation or Inspection Reports	Reports of findings associated with investigations of complaints or incidents, and/or reports of inspections made that can include identifying information, general inspection results, and remarks	Department or Office	Retain for 5 years after inspection or the close of the investigation, then destroy.	Secure destruction	

Medical Records	Patient/client medical or treatment records of campus clinics, mental health facilities, and Watkins Memorial Health Center	Department or Office	Retain 10 years beyond age 21, deceased, or case closed, then destroy.	Secure destruction	
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Record Class: PERSONNEL RECORDS (Faculty/Staff/Students)

Series Title	Description	Official Copy	Retention	Disposition	Comments
Employee Evaluation Form and records regarding disciplinary actions	Documentation on an individual employee's work progress or problems and other records regarding disciplinary action	HREO (USS) Dept. Provost, VP, Deans' offices for other types of employees	Retain 62 years after termination of employment, then destroy.	Secure destruction	If non-USS employees' evaluations are sent to HREO, they will be retained in the Employee Personnel File.
Teaching Performance Evaluations	Final course evaluations by students; peer teaching evaluations as conducted by unit	Department or Office	Retain 62 years after termination of employment, then destroy.	Secure destruction	Upon termination, employee may request copies of the teaching evaluations as needed for subsequent employment.
Employee Personnel Files - Office Copies	Copies of documents in Employee Personnel Files associated with employment of specific personnel (applications, evaluations, forms, etc.), maintained in the department for convenience	Department or Office	Retain 62 years after termination of employment, then destroy.	Secure destruction	Departments may send their documents to be included in the Employee Personnel File if they choose.
Employee Position Descriptions	Formal descriptions of duties and other characteristics of particular employment positions	HREO (USS/UPS), Provost/Depts (Faculty, Academic Staff), Dept (students)	Retain until superseded, plus 62 years, then destroy.	Secure destruction	PA = PeopleAdmin for HREO

Employee Time Report Records - Departmental Files	Records documenting time worked by individual employees on a daily, weekly, or monthly basis: time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, etc.	Department	Retain for 6 fiscal years, then destroy.	Secure destruction	
Employee Withholding Allowance Certificates	Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks	Payroll	Retain until no longer in effect then destroy, provided four years have passed since date tax was due or paid (whichever is later).	Secure destruction	Part of Employee Personnel Files
Employment Applications - Not Hired	Application and supplementary materials submitted by unsuccessful applicants for employment	HREO (USS/UPS - Students hired through PA) & Depts, Provost (Faculty, Academic Staff, Students)	Retain for 6 fiscal years, then destroy.	Secure destruction	PA = PeopleAdmin for HREO
Leave Requests	(Internal) departmental forms used to request and authorize the taking of leave by employees	Department or Office	Retain for 6 fiscal years, then destroy.	Secure destruction	
Promotion and Tenure Files	Information gathered to support tenure and promotion decisions	Provost	Retain 7 calendar years after date of decision, then destroy.	Secure destruction	
Recruitment Files	Documents relating to the recruitment process to fill vacant positions	HREO (USS/UPS - Students hired through PA) & Depts, Provost (Faculty, Academic Staff, Students)	Retain for 5 fiscal years, then destroy.	Secure destruction	PA = PeopleAdmin for HREO

Search Committee Records	Job postings, lists of candidates, final reports, etc.	HREO (USS, UPS) & Depts (All), Provost	Retain for 5 fiscal years, then destroy.	Secure destruction	PeopleAdmin for HREO. Dept must keep notes and documents not stored in PeopleAdmin.
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Record Class: STUDENT & COURSE RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Organizations - Student	Records documenting activities of student organizations affiliated with university departments	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives	
Organizations - Student Government	Records documenting the activities of the Student Governing Association, Student Senate, etc.	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives	
Admission Files - Students Who Did Not Enroll	Applications, transcripts, and ACT scores for students who applied for admission but did not enroll	Department or Office	Retain for 1 year after application term, then destroy.	Secure destruction	
Admissions Files - Enrolled Students	Applications, transcripts, letters of recommendation, financial aid, English scores, immigration documents, autobiographical statements, etc. required for admission. (Current & Past Students)	Department or Office	Retain for 5 years after graduation or date of last attendance, then transfer autobiographical statements to the "Autobiographical Statements" series and retain accordingly. Destroy the remainder of the file.	Secure destruction	
Academic Advising Records	Records documenting students' interactions with academic advisors, including academic tracking records and correspondence	Department or Office	Retain online advising tool indefinitely; retain hard copies until no longer useful, then destroy.	Secure destruction	

Attendance Forms	Attendance records, including last day of attendance forms, reporting students who never attended or ceased attending classes	Department or Office	Retain 1 calendar year after applicable semester, then destroy.	Secure destruction	
Student Enrollment Files	Enrollment forms, student status changes, and related documents concerning an individual student's enrollment in a course	University Registrar	Retain for 3 calendar years, then destroy.	Secure destruction	
Class Syllabi	List of readings and requirements for a particular course	Department or Office	Retain for 5 years after class last taught, then destroy.	Secure destruction	
Theses and Dissertations	Record copies of Master's theses and Ph.D. dissertations submitted to fulfill graduation requirements	Department or Office	Permanent	Libraries	
Faculty Grade Books	Used by faculty to record class participation, attendance, homework, grades, test grades, and other items concerning students in classes	Department or Office	Retain 2 calendar years after grades assigned, then destroy.	Secure destruction	
Faculty Grade Reports	Reports prepared by faculty members recording the grade each student received for a course	Department or Office	Retain 1 calendar year after grades assigned, then destroy.	Secure destruction	
Application for Graduation	Application submitted by a prospective graduate several months prior to graduation, resulting in an administrative check of student records to confirm that the student is eligible for graduation	University Registrar	Retain 1 calendar year after date of graduation or date of last attendance, then destroy.	Secure destruction	Electronically retained
Application for Readmission	Form required to update student information when there is a break in attendance and student requests readmission	Department or Office	Retain 5 calendar years after graduation or date of last attendance, then destroy.	Secure destruction	
Change of Course Forms	Student requests to drop or add a course	University Registrar	Retain 1 calendar year after student's graduation or date of last attendance, then destroy.	Secure destruction	

Change of Grade Request	Forms completed by instructor to change a course grade	University Registrar	Retain for 7 fiscal years, then destroy.	Secure destruction	
Class Rosters	List of students enrolled in a particular course	University Registrar	Retain departmental/instructor copies 1 calendar year, then destroy.	Secure destruction	Permanent on SRIS
Class Schedules - Students	Class schedule generated each semester for each student	University Registrar	Retain departmental/advising copies 1 academic year after graduation or date of last attendance, then destroy.	Secure destruction	Permanent on Student Information System
Class Schedules - Forms	Form used by the student and the advisor to determine the classes in which a student will enroll for a given term and to update addresses and other information	Advising unit creating	Retain for 1 year after graduation or date of last attendance, then destroy.	Secure destruction	Permanent on Student Information System
Correspondence - Student Related	Incoming and outgoing letters and memoranda which relate to student records issues, such as academic status, graduation, registration, etc.	Department creating	Retain 5 academic years after date of graduation or date of last attendance, then destroy.	Secure destruction	
Course Catalogs	Catalog (law, medicine, graduate, and undergraduate)	University Registrar	1.) Departmental units retain until new catalog is issued, then destroy if no longer useful. 2.) University Archives and University Registrar retain copies permanently.	See Comments	University Archives and University Registrar retain permanently. All other departments, destroy.

Coursework - Students	Student quizzes, tests, exams, papers, homework, and projects	Department or Office	If not returned to student, retain 1 calendar year after grades assigned, then destroy.	Secure destruction	
Credit/No Credit	Applications for credit/no credit option	University Registrar	Retain for 5 calendar years, then destroy.	Secure destruction	
Curriculum Change Authorization	Form documenting change of a student's academic minor, major, or emphasis	University Registrar	Retain 5 calendar years after date of graduation or date of last attendance, then destroy.	Secure destruction	Departments/Advising units may wish to retain in advising file for ease of reference for similar timeframe.
Department Specific content with student related information	Any document with non-directory information of student in the content. Examples can include but may not be limited to advising notes, requests for exceptions, misconduct files, fee assessment information, certification forms, etc.	Varies -- contact University Registrar	Varies -- contact University Registrar	Secure destruction	
Withdrawal Authorizations	Student requests to withdraw from a class that have been granted	University Registrar	Retain 2 years after graduation or date of last attendance, then destroy.	Secure destruction	

Record Class: LIBRARY RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Accession Records (Spencer Library)	Record for each manuscript and photographic collection, providing basic information about the collection, where it came from, what it is, when it arrived, special issues, etc.	Spencer Library	Retain permanently.		

Bibliographic & Holdings Records	Library catalog records providing finding aids to library collections	Online in the integrated library management system	Retain for life of material.	Secure destruction	
Borrower Application Forms	Borrower card application forms which are entered into the computer circulation system	Department or Office	Retain current year, plus 3.	Secure destruction	Store in secure paper file.
Borrower Notices & Correspondence	Overdue, fines/fees, lost book, item availability, search, hold, borrower card renewal notices	Department or Office for print and online as part of library management systems	Retain 3 years.	Secure destruction	
Circulation Records (Automated)	Items checked out to individual borrower through the computer circulation system	Online in the integrated library management system	Retain until transaction is complete unless related fines or fees occur. Transactions with fines and fee records are retained permanently.	System delete	
Course Reserve Lists (Automated)	Lists of item on reserve in the online course reserve system, placed on reserve status by teaching faculty and instructors	Online in the electronic course reserve system	Retained permanently in automated system.		
Deeds of Gift	Records of donor information	Department or Office	Retain permanently.		
Electronic Reference	Questions from patrons via electronic reference service	Online in the electronic reference system	Retain 90 days, then strip personal information and retain indefinitely.		

Fines & Fees Records	Documents fees charged and collected for overdue books, lost books, interlibrary loan requests, etc.	Online in the integrated library management and interlibrary loan systems	Retain permanently within automated system.		
Master Digital Files	Original master files from digital scanning and conversion projects	Online on the digimaster server on the IT floor	Retain permanently.		Retained on IT server/storage.
Patron Comments	Comments received via web, e-mail, and correspondence	Online in email, both group and individual accounts. In print in Department or Office	Retain until no longer useful.	Secure destruction	
Patron Records	Any record that links library use or requests to an individual library user. Includes records held by library and in some cases accessible to external vendors under software support agreements. May include name and address information	Online in the integrated library management and interlibrary loan systems.	Retain expired records with no outstanding obligations for 5 years.	IT staff purge as part of routine maintenance.	
Patron Requests - Permission to Publish Forms	Request by patron to publish reproductions of materials	Spencer Library	Retain permanently.		
Patron Registration Records for Spencer Library Use	Patron name, address, phone number, and signature attesting compliance with copyright law	Spencer Library	Retain permanently.		
Patron Online Search Records	Any record that links the search of an individual to keywords, topics, or materials in the library catalog	Voyager and apache log files on library management system web server	Retain 90 days then strip information and retain indefinitely.	IT staff run scripts to strip information monthly.	IT will need to set up processing.

Record Class: INFORMATION TECHNOLOGY RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed	Department or Office	Retain by Office until closed, terminated, completed, expired, or settled, and when reconciliation confirmed.	Secure destruction	
Charge-back Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.		Retain 3 fiscal years. Retain summary reports until no longer useful, then transfer to University Archives.	Destroy detail records University Archives	
Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed	Department or Office	Retain for 3 months.	Secure destruction	
Computer Security Incident Documentation	Reports, logs, extracts and compilations of data regarding incidents involving unauthorized attempted entry, probes, and/or attacks on data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. Comply with applicable provisions of federal and state laws and regulations including HIPAA and FERPA regarding confidentiality of computer-related and privacy records.	Department or Office	Retain by Office until incident is resolved, plus 5 years.	Secure destruction	

Computer System Review	Firewall logs, system auditing logs, reports, and review reports regarding the maintenance and security of the computer system. Comply with applicable provisions of federal and state laws and regulations including HIPAA and FERPA regarding confidentiality of computer-related and privacy records.	Department or Office	Retain review report and supporting data for 3 years.	Secure destruction	
Data System Audit Trails Files	<p>Consisting of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle. Retained to create a management audit trail for and to ensure the quality of data.</p> <p>Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of online updates to application files, or security logs.</p>	Department or Office	Retain 5 fiscal years after closed, terminated, completed, expired, or settled and all audit requirements have been met.	Secure destruction	
Data System Users Access Records	Records created to control or monitor individual access to a system for security purposes, including but not limited to user account records, security logs, and password files	Department or Office	Retain until individual no longer has access to the system, plus 1 year.	Secure destruction	

Data Systems Backup Files	Copies of master files or databases, application software, logs, directories, and other documentation needed to restore a system in case of a disaster or inadvertent destruction	Department or Office	<p>Pending new backup file recommendations by KSHS.</p> <p>After closed, terminated, completed, expired, or settled after completion of the 3rd verification cycle; or audit completion confirming successful transaction updates; or required audit trail maintenance; or the ability to restore or migrate when errors are detected or when hardware or software changes occur.</p> <p>CAUTION: Records Management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</p>	Secure destruction	Backups used to document transactions should be scheduled separately by the responsible program unit. For fiscal systems, monthly system backups are retained for the entire fiscal year to provide an audit trail and meet annual requirements in lieu of copies. If these records are covered by specific Federal requirements on longer records retention, they should be scheduled separately by the appropriate program unit.
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Data Systems Documentation - Application Development Files	Records created and used in the development, redesign, or modification of an automated system or application. These may include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Conversion / Migration Plans	Records that deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Data Documentation / Metadata	Records or metadata necessary to access, retrieve, manipulate, and interpret data in an automated system. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	

Data Systems Documentation - Data Flow Documentation	Documentation regarding the movement of data within and/or between automated systems. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Data Systems Specifications	User and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Hardware Documentation	Records documenting the use, operation, and maintenance of an agency's data processing equipment	Department or Office	Retain by Office 3 years after discontinuance/disposal of equipment.	Secure destruction	Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records.

Data Systems Documentation - Source Code	Source Code	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Test Databases / Files	Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system	Department or Office	Retain by Office until system acceptance, plus 1 year.	Secure destruction	
Destruction of Files Reports		Department or Office	Retain by Office until superseded or obsolete, plus 1 year.	Secure destruction	
Disaster Preparedness and Recovery Plans	Plans and other documents related to reestablishment of data processing services following a disaster	Department or Office	Retain by Office until superseded, then transfer to University Archives.	University Archives	
Equipment Support - Network / Site	Site visit reports, trouble reports, service history, correspondence	Department or Office	Retain by Office service histories and other summary records until superseded or obsolete. Retain by Office remaining records until administrative value ends.	Secure destruction	Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records.

Equipment Support Files - Data Systems	Information on data processing equipment, software, and other products and their vendors. Record of support services provided for specific data processing equipment, including site visit reports, service reports, service histories, and correspondence.	Department or Office	Retain by Office service histories and other summary records until superseded or obsolete. Retain by office remaining records for 3 years.	Secure destruction	Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records.
Finding Aids, Indexing, Tracking Systems	Automated indexes, lists, registers, and other finding aids used to provide access to records	Department or Office	Retain by Office until related paper or electronic records have been destroyed or transferred in accordance with the disposition of the related paper or electronic records as appropriate.	Varies based on disposition of related data / documents	Finding aides, indexes, and tracking systems of program units other than data processing units should be scheduled by the responsible program unit in conjunction with related program records.

Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems	Department or Office	<p>Retain by Office until closed, terminated, completed, expired, or settled and until electronic records are transferred to and made usable in a new hardware environment, or there are no electronic records that require the hardware in order to be retrieved and read are retained to meet an approved retention period.</p> <p>CAUTION: Software needed for access to the electronic records must be retained for the period of time required to access the records.</p>	Secure destruction	
Help Desk Logs and Reports	Consists of records used to document requests for technical assistance and responses to these requests, as well as to collect information on the use of computer equipment to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes	Department or Office	<p>Retain by Office until closed, terminated, completed, expired, or settled and when reconciliation confirmed, plus 2 years.</p> <p>Retain by Office, summary reports, until no longer administratively useful.</p>	Secure destruction	

History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of a user's progress	Department or Office	Retain by Office until closed, terminated, completed, expired, or settled and when reconciliation confirmed. Retain by Office, summary reports, until no longer administratively useful.	Secure destruction	
Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers		After closed, terminated, completed, expired, or settled.	Secure destruction	
Network / Circuit Installation and Service	Work orders, correspondence, work schedules, building / circuit diagrams	Department or Office	Retain by Office until completion of work, plus 2 years.	Secure destruction	
Network Circuit Inventories	Circuit number, vendor, cost per month, type of connection, terminal series, software	Department or Office	Retain in Office until superseded or obsolete, plus 2 years.	Secure destruction	
Network Implementation Projects	Reports, justifications, working diagrams, wiring schematics	Department or Office	Retain in Office until superseded or obsolete, plus 2 years.	Secure destruction	
Off-Line Storage Control Records		Department or Office	Retain by Office until superseded or obsolete, plus 1 year.	Secure destruction	

Off-line Storage System Automated	List of backup tapes	Department or Office	Retain by Office until related records or media are destroyed or withdrawn from the media library.	Secure destruction	
Operating System & Hardware Conversion Planning	Replacement of equipment or computer operating systems that support the creation of non-permanent records	Department or Office	Retain in Office until completion of conversion, plus 1 year.	Secure destruction	
Polices, Procedures, and Related Documentation - Data Processing	Documents establishing policies, procedures, and guidelines for data processing, including access, security, systems development, data retention and disposition, and data ownership. Manuals or records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation	Department or Office	Retain by Office until superseded or obsolete, plus 3 years. OR Retain in Office until superseded or obsolete, plus 10 years.	Secure destruction	
Polices, Procedures, and Related Documentation - IT Security	Documents establishing IT security policies, procedures, standards, guidelines, or plans in areas such as physical access and security, systems access and security, information security, systems monitoring, etc.	Department or Office	Retain by Office until superseded or obsolete, plus 3 years.	Secure destruction	
Quality Assurance Records and Reports	Adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations, and deadlines. Documentation includes reviews and assessments.	Department or Office	Retain by Office until source code is upgraded or becomes obsolete, plus 3 years.	Secure destruction	

Software Registration, Warranties, License Agreements, Contracts		Department or Office	Retain by Office for life of the asset, plus 3 years.	Secure destruction	Retain until expiration of contract plus 5 calendar years, then destroy. See also Purchasing Records, Vendor Files, Accounts Payable Records, Bid Records, and Vouchers and Requisitions.
System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	Department or Office	Retain by Office as long as administratively valuable.	Secure destruction	
Usage Files - Data Systems	Records created to monitor computer system and network usage including but not limited to log-in files, system usage files, charge-back information, data entry logs, security logs, and records of individual computer program usage	Department or Office	Retain by Office until completion of applicable review and verification procedures. OR Retain in Office until completion of applicable review and verification procedures, plus 1 year .	Secure destruction	If no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.

Usage Files - Internet Services (internal)	Records created to monitor access and use of services provided via the Internet including Website logs, mail server logs, FTP logs, Telnet logs, and antivirus/anti-spam mail service logs	Department or Office	Retain by Office until completion of applicable review and verification procedures. OR Retain in Office until completion of applicable review and verification procedures, plus 1 year .	Secure destruction	If no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.
Usage Files - Network & Telecommunications (internal)	Records created to monitor computer system and network usage including but not limited to log-in files, system usage files, charge-back information, data entry logs, security logs, and firewall logs	Department or Office	Retain by Office until completion of applicable review and verification procedures OR Retain in Office until completion of applicable review and verification procedures, plus 1 year.	Secure destruction	If no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.
Usage Files - Summary Reports	Summary reports documenting computer usage for reporting of cost recovery purposes	Department or Office	Retain 3 fiscal years.	Secure destruction	Compare against Financial Records Schedule.
Telephone Accounting System Reports	Computer generated reports listing all telephone calls made or received from individual extensions within the agency	Information Technology	Retain 3 fiscal years.	Secure destruction	
Voice Mail Messages	Sound recordings produced by a voice mail system designed to leave messages for the receiver	Information Technology	Retain until no longer useful, then destroy.	Secure destruction	

Telephone Billing Records	Copies of computer billings and supporting documents concerning the use of a telecommunications service provider	Information Technology	Retain 3 fiscal years.	Secure destruction	
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KEYWORDS:
Record, Record Retention, Records Retention, Archive, Disposition