

AGENDA
STATE RECORDS BOARD

4/16/2015

8:30 a.m.

Kansas State Historical Society
Center for Historical Research
6425 SW 6th Ave.
Executive Conference Room, 2nd Floor

1. Introductions and announcements
2. Minutes from previous meeting
3. Kansas Dept. of Transportation: new entries
4. Kansas Dept. of Agriculture – Pesticide and Fertilizer Program: revised series
5. Kansas Insurance Department – Financial Surveillance Division: revised entries
6. Kansas Insurance Department – Legal Division: revised entries
7. Kansas Real Estate Commission
 - a. Revised entries
 - b. Superseded into other agency-specific schedule entries
8. Kansas Board of Nursing
 - a. Revised entries
 - b. Superseded into other agency-specific schedule entries
9. Kansas Dept. of Health and Environment – Bureau of Water
 - a. New entries
 - b. Revised entries
 - c. Superseded into other agency-specific schedule entries
10. Kansas Adjutant General's Office
 - a. Revised schedule entries
 - b. Superseded into other agency-specific schedule entries
11. Housekeeping changes:
 - a. Housekeeping
 - Adjutant General's Department
 - State Board of Healing Arts
 - Kansas Dept. of Labor
 - Kansas Insurance Department
 - b. Obsolete
 - Kansas Insurance Department
 - Kansas Board of Nursing
12. Other business:
 - a. Future meetings:
 - May 21, 2015
 - June 18, 2015
 - July 16, 2015
 - October 22, 2015

*State Records Board
26 March 2015
KSHS Executive Conference Room*

Present: Lisa Mendoza, chair, designee of the Attorney General
John Year, designee of the Secretary of Administration
Jennie Chinn, Executive Director of the Kansas State Historical Society
Bill Sowers, designee of the State Librarian
Matt Veatch, State Archivist (on conference call)

Also present: Heather Wilke, Kansas Dept. of Labor
Rick Scheuffler, Kansas Dept. of Agriculture (KDA)
Robert Large, KDA
Jennifer Cook, Kansas State Board of Healing Arts (KSBOHA)
Kelli Stevens, KSBOHA
Marcella Wiget, Kansas State Historical Society (KSHS)
Joanna Hammerschmidt, KSHS
Shawnel Neal, Kansas Dept. of Revenue

Ms. Mendoza brought the meeting to order at 8:35 a.m. and began the introductions.

Minutes: Ms. Mendoza had sent Ms. Wiget a few corrections.

Motion: Mr. Yeary moved approval, Mr. Sowers seconded, unanimous approval of meeting minutes as amended. Ms. Chinn abstained due to not being present at meeting.

State general schedule: Ms. Wiget described the online survey State Archives staff sent to all state agency and university records officers to determine whether or not they and program staff working with the records under discussion approved of the requested changes to the general schedule or not.

Discussion turned specifically to the new grant files records series. Ms. Wiget directed the board's attention to the comments on the administered grant files, noting the comments about the longer retention period. The board agreed that these retention periods are minimums and that agencies may internally require keeping records longer.

Motion: Ms. Chinn moved, Mr. Yeary seconded, unanimous approval of grant and budget files as presented.

The board then addressed the revisions to 0071-000, Litigation Case Files. Ms. Mendoza suggested adding several additional Kansas Open Records Act and other existing state statute exemptions from disclosure that may apply for a state agency. She stated she would email the exemptions after the meeting to ensure Ms. Wiget had them listed correctly.

Motion: Mr. Yeary moved approval, Mr. Sowers seconded, unanimous approval of Litigation Case files as amended.

The board addressed the question from the survey regarding whether or not restrictions applied to schedule entry 0074-000, memoranda of understanding or agreement. The board decided, based upon feedback from those individuals present at the meeting, that generally memoranda of understanding or agreement include not just the final versions but also drafts, correspondence, and amendments, and therefore the series entry should include that information in the description.

Motion: Ms. Chinn moved, Mr. Sowers seconded, unanimous approval of 0074-000 as amended.

Mr. Veatch pointed out that 0089-000, Programs and Invitations, should specify "transfer to the archives" in the disposition.

Motion: Mr. Veatch moved, Mr. Sowers seconded, unanimous approval of schedule entry as amended.

Kansas Dept. of Agriculture – Division of Animal Health: Dr. Brown, division head, requested a revision to this schedule entry to clarify for which animals the Certificates of Veterinary Inspection need to be retained for a longer period. Small animals do not have the same disease transmission, bloodline, and other issues that large animals do. Mr. Scheuffler and Dr. Brown adopted language from the relevant statutes. Addressing this issue will also help the agency destroy records currently stored at the State Records Center, rather than transferring them to another records center.

Motion: Mr. Yeary moved approval, Ms. Chinn seconded, unanimous approval of revised schedule entry as presented.

Kansas State Board of Healing Arts: The closing of the State Records Center catalyzed State Archives staff to request the State Board of Healing Arts to revise the disposition requirements for investigative case files from transferring to the archives to destroy. In so doing, Ms. Stevens updated the description and restrictions on the schedule entry. These records are closed and will never be open to the public.

Ms. Mendoza questioned a couple restrictions listed in the revised entry. Based on the discussion, K.S.A. 45-221(a)(49) was removed and (a)(5) added. The board also discussed the transfer language in the comments; Ms. Stevens pointed out that typically a case has a high likelihood of being pulled within the first 3 years, but after that records are pulled less frequently. She also pointed out that 13 is a compromise for the investigative department, who would prefer to retain the records for a longer timeframe. Once removing the transfer information, the board and Healing Arts' legal counsel agreed that 10 fiscal years is a long enough minimum retention.

Motion: Mr. Sowers moved approval, Ms. Chinn seconded, unanimous approval of revised entry as amended.

Kansas Dept. of Labor: The board added K.S.A. 45-221(a)(1) to 0088-296, Non-Monetary Determination Record and K.S.A 45-221(a)(20) to 0084-296, Notes - Board Meetings. Discussion turned to whether or not (a)(25) for attorney work product needed to be included in 0108-296. Due to discussions in the Legislature currently that may abolish Public Employees Relations Board (PERB), Ms. Wilke wished to table discussions on 0052-296 until those discussions were completed. Mr. Veatch also confirmed that 0045-296 is both paper and electronic and requested a description for 0063-296. He pointed out that the data available in 0069-296 or in 0096-296, once de-identified, could be of great use to researchers. He didn't necessarily believe that this data needed to come to the archives immediately but pointed out that the open data movement is changing archival appraisal decisions. 0096-296, Quarterly Wage Report, includes names and Social Security Numbers provided by employers in data that has to be filed electronically with the Kansas Department of Labor. Ms. Wilke pointed out that so much data in that particular series is restricted that not much could be transferred to the archives.

Motion: Mr. Yeary moved approval, Ms. Chinn seconded, unanimous approval of revised entries as amended.

The board tabled discussing 0053-296 on the superseded entries due to waiting on all matters related to PERB.

Motion: Mr. Yeary moved, Mr. Sowers seconded, unanimous approval of superseding 0082-296 and 0083-296 into 0081-296, Litigant Filed – Tried Cases.

Office of the Attorney General: The Attorney General's office wishes to amend the schedule entry for the agency's general entry for case files not covered by other specific entries. This is in part to deal with records stored in paper form both at their office and out at the closing State Records Center. The 16

year retention is due to terms of office for the attorney general. Because the agency is a constitutional office and because the cases the agency generally deals with are of a statewide significance, the agency would prefer to work with the State Archives to ensure cases of enduring value are transferred to the archives, and the archives determines what can be destroyed because it is not deemed to have enduring value. Ms. Mendoza also noted that the two entries to be superseded are sub-sets of what should really be included in the general case files series, 0172-082.

Ms. Chinn questioned whether a pending case would simply be closed once a new attorney general is elected. Ms. Mendoza explained that there could be a substitution of defendants and that the newly-elected attorney general can decide whether or not to continue pursuing a case. Having the 16 year retention allows for perspective to determine whether a case will have enduring statewide significance. Mr. Veatch noted that it will be good to have continued involvement from the Attorney General's office because State Archives staff don't always have the subject matter expertise to determine whether or not a legal case may have enduring value.

Motion: Ms. Chinn moved, Mr. Sowers seconded, unanimous approval of revised entry as amended.

Motion: Mr. Yeary moved, Mr. Sowers seconded, unanimous approval of superseding entries into the revised entry 0172-082.

Housekeeping report: The board accepted the report.

Mr. Veatch thanked the board for helping by holding additional meetings to deal with records stored at the State Records Center, and noted that the SRC is on schedule to close at the end of fiscal year.

Meeting adjourned at 10 a.m.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Department of Transportation
2. **Records Officer:** Megan Murray **Phone:** 785-296-2279
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Bob Knecht
4. **Date of Appraisal:** February – April 2015
5. **a) Total records – No. of Series:** 8
b) New series – No. of Series: 8
c) Revised existing series – No. of Series: 0
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 6
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 4
8. **Appraisal Based Upon:**
Review of records series, discussions with agency program staff.
9. **Appraisal Narrative:**

The Kansas Department of Transportation is updating its retention and disposition schedule to reflect current recordkeeping practices and needs. These are all new entries that did not previously exist on their schedule.

Retention/Disposition Schedule Entries

276-013

**Kansas Department of Transportation
Division of Planning and Development
Bureau of Traffic and Field Operations**

Digital Videolog (Series Unknown)

Films, video discs, DVDs recording every 10 meters of highway from video cameras installed in vans traveling across one-third of the state in three year cycles which provides a driver's eye picture of KDOT's roadway system. Supports various virtual-windshield surveys, provides photos of the roadway environment for legal purposes, and generates several incidental KDOT-wide products. The historical photo-video logs provide a perspective of how the roadway looked in the past.

Entry Status: Draft

Retention Period: Retain 1 or 2 cycles, then transfer to the archives.

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

Last Surveyed 23 August 2006

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: new entry

Traffic Counts (Series Unknown)

Paper and electronic records collected from 103 sites across the state capturing daily traffic counts and vehicle classifications and used to project future roadway projects.

Entry Status: Draft

Retention Period: Permanent

Disposition: Permanent

Restrictions: None

Schedule Authority: Agency Schedule

Last Surveyed 23 August 2006

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: new entry

**Bureau of Transportation Planning
Geographic Information System Unit**

Cross Section Report (Series Unknown)

A report including state highway system route segment identifiers with description of the geometry along segments including begin/end description by abstract or physically identifiable features (city limits/intersections), city/rural, lane class, mileage, shoulder type and width, additional lane features (type code and width), median (type code and width), last major grading project year, and historical pavement layer descriptions including year, Material code, thickness

& width sequentially from the surface to major grading below the pavement.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: Until Superseded

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

Last Surveyed 02 April 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Element Chain Report (Series Unknown)

A report that describes the state highway system by listing highway sections by mileage and descriptive references to intersections, crossings, city limits, county lines, railroads, bridges, and other features that can be physically or abstractly identified along the route mileage, including "carrying" and "riding" routes, which describe where one segment of pavement is represented by multiple numbered highway routes, for example, where I-70 is carrying US-24 and US-40 riding routes.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: Until Superseded

Disposition: Archives

Restrictions: 23 USC 409

Comments: At time of creation provide two copies, one printed and one copy in electronic PDF format, to the State Archives.

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Enhanced Priority Formula Pavement Remaining Life Report (Series Unknown)

The pavement remaining life report is a part of the Enhanced Priority Formula solution that prioritizes highway projects using the best available data for the state highway system. The report shows historical pavement actions and estimates the remaining useful life of pavement for sections of highway described by County, route number, begin and end point descriptions, and mileage.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: Until Superseded

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

Record Copy: Paper

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

Enhanced Priority Formula Programmed Projects Report (Series Unknown)

Enhanced Priority Formula Solution is a data driven process that takes many weighted data variables into an equation to produce a prioritization of projects for enhancing and preserving the state highway transportation system. Once these projects are identified and can be funded,

they are programmed into a schedule.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: Until Superseded

Disposition: Archives

Restrictions: 23 USC 409

Comments: At time of creation provide two copies, one printed and one copy in electronic PDF format, to the State Archives.

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Planning Roadway Geometry and Linear Referencing Systems Data (Series Unknown)

A data system that processes, analyzes, and reports on traffic data, roadway information, and classifications including official state highway certified mileage. It is a comprehensive system performing roadway spatial and temporal data management, system planning, summarization, calculations, reporting, and database management. It analyzes a wide range of traffic data types including traffic volumes, roadway classifications, roadway facilities, speed limits, geometric configurations, and calculations for capacity, level of service, system planning and Highway Performance Monitoring System (HPMS) reporting.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 008 Calendar Years

Disposition: Archives

Restrictions: 23 USC 409

Schedule Authority: Agency Schedule

Last Surveyed 02 April 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: When FHWA annually releases the official HPMS electronic files from its HPMS website, transfer the electronic files for Kansas to the state archives.

Traffic & Field Services

Digital Video Log (Series Unknown)

Films, video discs, DVDs recording every 10 meters of highway from video cameras installed in vans traveling across one-third of the state in three year cycles.

Entry Status: Draft

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain 1 or 2 cycles, then transfer to the archives.

Schedule Authority: Agency Schedule

Last Surveyed 23 August 2006

Record Copy: Unknown

Remarks: new entry

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Dept. of Agriculture – Pesticide and Fertilizer Program
2. **Records Officer:** Robert Large **Phone:** 785-564-6715
3. **Appraising Archivist(s):** Marcella Wiget, Matt Veatch, Joanna Hammerschmidt
4. **Date of Appraisal:** March 2015
5. **a) Total records – No. of Series:** 4
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 4
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 1
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 1
8. **Appraisal Based Upon:**

Review of records, discussions with agency staff.
9. **Appraisal Narrative:**

At the request of the State Archives, Pesticide and Fertilizer program staff revised these schedule entries. Most of these records series had been scheduled for archival disposition and will now instead be destroyed.

Retention/Disposition Schedule Entries

REVISED ENTRIES

046-005

Department of Agriculture Pesticide and Fertilizer Program

Chemigation Permit Files (Series 0148-046)

Applications, correspondence, chemical use reports, copies of permits and other supporting documentation related to the permitting of wells or other water sources to be used for chemigation purposes.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: None

Comments: Paper documents shall be scanned then, upon quality assurance verification, destroyed. Electronic file records of applications, use reports, and permits shall be retained permanently in DocuWare, which has an endorsed ERP. Ten years after file closure, electronic copies shall be offered to Archives for appraisal. The electronic file records of correspondence and other supporting documents shall be destroyed after 5 years. Paper records not scanned will follow the same retention and disposition.

Schedule Authority: Agency Schedule

KAR Number 53-2-116

Last Surveyed 16 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 03/17/2015: revised retention and disposition and associated comments.

Inspections Files - Violations (Series 0151-046)

Documents relating to mandated inspections conducted by field agents of pesticide manufacturers, dealers, distributors, and users who have violated statutory or regulatory requirements. These records regard investigations in which no enforcement actions were filed.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-116

Last Surveyed 16 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 03/17/2015: revised retention and disposition from archives to destroy.

Investigation Complaint - Enforcement Action (Series 0149-046)

Documents relating to investigations into possible pesticide use violations and any resulting action taken by the agency to ensure compliance with statutes and regulations.

Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: 010 cldr yrs following closure of enforcement action
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-116
Last Surveyed 17 March 2015
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 03/17/2015: revised retention period and disposition from archives to destroy.

Pesticide Management Area Plans (Series 0145-046)
Documents relating to the state's mechanism for managing pesticide use as mandated by federal law to ensure compliance with those federal standards.
Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until superseded, then contact the State Archives for appraisal - if not accepted, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-116
Last Surveyed 16 March 2015
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 03/17/2015: revised retention and disposition comments.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Insurance Department – Financial Surveillance Division
2. **Records Officer:** Diane Haverkamp **Phone:** 296-7855
3. **Appraising Archivist(s):** Matt Veatch, Marcella Wiget, Joanna Hammerschmidt
4. **Date of Appraisal:** March 2015
5. **a) Total records – No. of Series:** 7
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 6
d) Obsolete schedule entries – No. of Series: 1 (see housekeeping report)
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Review of records series, discussions with agency staff.
9. **Appraisal Narrative:**

The Financial Surveillance Division of the Kansas Insurance Department is updating its retention and disposition schedule to reflect current recordkeeping requirements. Some disposition language has been changed at the request of the State Archives, who have determined that certain records do not hold enduring value to the State of Kansas.

Retention/Disposition Schedule Entries

331-000

Insurance Department All Divisions

Annual Statements - Domestic (Series 0001-331)

Detailed annual financial statements of Kansas insurance companies authorized to do business in the state.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-127

Last Surveyed 26 February 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/23/2015: revised disposition from archives to destroy, based upon reappraisal of records series.

331-004

Insurance Department Financial Surveillance Division

Financial Examination Reports and Workpapers - Domestic (Series 0033-331)

Reports and work papers prepared by Kansas Insurance Department examiners describing the operation and financial condition of Kansas insurance companies and violations of insurance law discovered during the exam.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain reports and work papers until superseded, then destroy work papers. Retain the 2 most recent reports in office, destroy remainder.

Schedule Authority: Agency Schedule

KAR Number 53-2-124

Last Surveyed 08 April 2015

Record Copy: Paper

Remarks: 10/27/2010: Revised Title from "...Reports - Domestic"; changed Retention from "See Comments" & Disposition to "Destroy"; changed Comments from "Retain reports and work papers until superseded, then transfer reports to the archives and destroy work papers." 04/08/2015: revised series title, description, and comments.

Financial Statement Reviews - Domestic (Series 0029-331)

Audit guides, work papers, and other documents relating to the department's financial review of Kansas insurance companies prepared in monitoring compliance with state statutes and regulations.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-165

Last Surveyed 08 April 2015

Record Copy: Paper

Remarks: 10/22/2010: Revised title from "Annual Statement Reviews - Domestic"; revised retention from six years; revised comments to remove "Retain in office 1 year, transfer to the records center for 5 calendar years, then destroy."

04/08/2015: revised series title; shortened retention.

Holding Company Filings (Series 0035-331)

Detailed reports generally filed by domestic and selected foreign insurers describing their relationship with affiliated companies.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain domestic filings 005 fiscal years, then destroy. Retain foreign filings in office until no longer useful, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-124

Last Surveyed 26 February 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 10/27/2010: Revised Retention from "See Comments"; changed Comments from "Retain in office 2 fiscal years, then transfer domestic companies to the archives, destroy the remainder."

03/23/2015: October 2010 revisions apparently never completed. Revised series title, retention, and changed disposition from archives to destroy.

Mergers and Acquisitions Files (Series 0036-331)

Documents relating to the department's review of proposed insurance company mergers or acquisitions that involve a domestic company which were reviewed to determine compliance with state statutes.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Purge file, then retain the remainder in office for 5 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-124

Last Surveyed 08 April 2015

Record Copy: Paper

Remarks: 04/08/2015: shortened retention, revised comments.

Risk-Based Capital Reports (Series 0070-331)

Report used to assess the minimum capitalization of an insurer given its overall business operations in consideration of its size and risk profile.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-165

Last Surveyed 08 April 2015

Record Copy: Paper

Remarks: 10/22/2010: New entry.

04/08/2015: shortened retention.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Insurance Department – Legal Division
2. **Records Officer:** Diane Haverkamp **Phone:**
3. **Appraising Archivist(s):** Marcella Wiget, Matt Veatch, Joanna Hammerschmidt
4. **Date of Appraisal:** February-March 2015
5. **a) Total records – No. of Series:** 2
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 2
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 1
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 1
8. **Appraisal Based Upon:**

Review of records series and agency website, discussions with agency's records officer.
9. **Appraisal Narrative:**

At the request of the State Archives, the Legal Division reviewed these two records series and revised their retention and disposition so that some records will no longer be transferred to the archives, and other records will be transferred electronically.

Retention/Disposition Schedule Entries

331-002

Insurance Department

Legal Division

Disciplinary Files - Agents/Agencies/Companies (Series 0021-331)

Hearing transcripts, copies of orders and correspondence relating to disciplinary actions and investigations of insurance agents, agencies and companies suspected of violating state insurance laws.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(a)(25) & KSA 40-3308

Schedule Authority: Agency Schedule

KAR Number 53-2-124

Last Surveyed 26 February 2015

Record Copy: Paper

Remarks: 03/23/2015: revised disposition from archives to destroy, after reappraisal of records series.

Final Orders (Series 0024-331)

Final orders issued by the department relating to formal actions taken against insurance agents, companies, or agencies that have violated state insurance laws.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: None

Comments: Transfer electronic copy of final order to the State Archives once the order is finalized and posted to the Kansas Insurance Department's website.

Schedule Authority: Agency Schedule

KAR Number 53-2-165

Last Surveyed 26 February 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 10/26/2010: Changed title from "Official Orders"; changed "Official" to "Summary" in description.

03/23/2015: revised retention and disposition comments.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Real Estate Commission
2. **Records Officer:** Stacey Serra **Phone:** 296-2166
3. **Appraising Archivist(s):** Marcella Wiget
4. **Date of Appraisal:** September 2014, March 2015
5. **a) Total records – No. of Series:** 7
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 6
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 1
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Review of records series, discussions with agency staff.
9. **Appraisal Narrative:**

The Kansas Real Estate Commission wishes to revise its retention and disposition schedule to reflect current recordkeeping practices and needs. State Archives staff at the same time requested changing the disposition of certain records series from archives to destroy.

Retention/Disposition Schedule Entries

REVISED ENTRIES

549-001

Real Estate Commission

Action Files (Series 0007-549)

Documents relating to licensure, audits, and complaints; subsequent investigations; and any disciplinary action taken by the Real Estate Commission against a real estate agent.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 010 fisc yrs after case closed

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-144

Last Surveyed 11 March 2015

Record Copy: Paper

Remarks: 03/12/2015: revised title and description, retention, and disposition from archives to destroy. Agency intends to convert to fully electronic record-keeping but is not there yet.

Approved Credit for Courses (Series 0001-549)

Documents relating to which courses are approved for continuing education.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-085

Last Surveyed 11 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/12/2015: clarified retention period, noted record copy formats.

Audit Files - No Action (Series 0008-549)

Contracts, check bank balance report, form cover sheets, etc. relating to annual examinations completed by Commission examiners on each real estate firm required by statute.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-144

Last Surveyed 20 September 2005

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/12/2015: revised series title, noted record copy format.

Continuing Education Certificates (Series 0005-549)

Certificates filed by real estate licensees to verify satisfactory completion of continuing education courses required for license renewal.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 11 March 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/12/2015: clarified retention period, noted record copy formats.

License Application Files (Series 0009-549)

Documents relating to applicants applying for a real estate license.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

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

Comments: Retain files 10 years after licensee fails to renew or is deceased, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-085

Last Surveyed 11 March 2015

Record Copy: Paper

Remarks: 03/12/2015: revised retention and disposition comments. Agency intends to move to a more fully electronic recordkeeping system but is not quite there yet.

Recovery Fund Files (Series 0011-549)

Claims made by the Real Estate Commission to seek compensation from the Real Estate Recovery Revolving Fund.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 3 fiscal years after file is closed, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-144

Last Surveyed 11 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/12/2015: clarified retention, noted record copy formats.

Retention/Disposition Schedule Entries

**SUPERSEDED BY ANOTHER
AGENCY-SPECIFIC ENTRY**

549-001

Real Estate Commission

Summary Proceeding Files (Series 0012-549)

Summary Procedures Orders issued during the application process denying a license or license renewal and the applicant chose not to request a hearing.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(d)

Comments: Retain in office 1 year, transfer to the records center for 2 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-111

Last Surveyed 11 March 2015

Record Copy: Unknown

Remarks: 03/12/2015: should be superseded to 0007-549, Action files.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Board of Nursing
2. **Records Officer:** Carol Moreland **Phone:** 296-5036
3. **Appraising Archivist(s):** Marcella Wiget, Joanna Hammerschmidt, Matt Veatch
4. **Date of Appraisal:** March-April 2015
5. **a) Total records – No. of Series:**
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 9
d) Obsolete schedule entries – No. of Series: 1 (see housekeeping report)
e) Series superseded by other schedule entries – No. of Series: 1
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 3
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:**
8. **Appraisal Based Upon:**

Review of records series, discussions with agency records officer.
9. **Appraisal Narrative:**

The Kansas Board of Nursing is partially updating its retention and disposition schedule in order to remove records from the State Records Center. The agency intends to complete an Electronic Recordkeeping Plan to begin keeping several of its records strictly electronically and will discuss with State Archives staff what records should continue to be transferred to the archives.

Retention/Disposition Schedule Entries

REVISED ENTRIES

482-001

Board of Nursing

Advanced Practice Registered Nurse Application Files (Series 0003-482)

Applications and supporting documentation relating to the issuance of licenses to qualified advanced registered nurse practitioners who intend to practice in the state.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: KSA 45-221(a)(1)(9)

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: Revised series title, description, retention, and disposition. Agency will be completing Electronic Recordkeeping Plan.

Investigative Files (Series 0021-482)

Documents relating to board investigations of possible violations by nursing professionals of the Nurse Practice Act and the Mental Health Technicians Licensure Act.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: KSA 45-221(a)(10) & HB 10 & 2073

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised retention and disposition. Agency will be working on an Electronic Recordkeeping Plan.

Licensed Mental Health Technician Application Files (Series 0028-482)

Applications and supporting documentation relating to the issuance of licenses to qualified licensed mental health technicians who intend to practice in the state.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: KSA 45-221(a)(1)(9)

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: Revised series title, description, and retention and disposition. Agency will be working on an Electronic Recordkeeping Plan.

Licensed Practical Nurse Application Files (Series 0030-482)

Applications and supporting documentation relating to the issuance of licenses to qualified licensed practical nurses who intend to practice in the state.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: KSA 45-221(a)(1)(9)

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised series title, description, and retention and disposition information. Agency will be working on an Electronic Recordkeeping Plan.

Nursing Program Files (Series 0001-482)

Documents relating to the approval process for professional nursing programs offered by Kansas colleges and universities conducted to ensure that standards are met as required by KSA 65-119.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Image and retain through one approval cycle, then transfer to the State Archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 04/07/2015: revised series title, description, and comments. Agency will be working on an Electronic Recordkeeping Plan.

Nursing School Files - Closed (Series 0038-482)

Documents containing information on colleges and universities no longer offering nursing programs.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: None

Comments: Retain until no longer useful, then contact the State Archives for appraisal - if not accepted, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised retention and disposition comments. Agency will be working on an Electronic Recordkeeping Plan.

Registered Nurse Anesthetist Application Files (Series 0040-482)

Applications and supporting documentation relating to the issuance of licenses to qualified registered nurse anesthetists who intend to practice in the state.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: KSA 45-221(a)(1)(9)

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised series title, description, retention, and disposition. Agency will be working on an Electronic Recordkeeping Plan.

Registered Nurse Application Files (Series 0042-482)

Applications and supporting documentation relating to the issuance of licenses to qualified registered nurses who intend to practice in the state.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: KSA 45-221(a)(1)(9)

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised series title, description, retention, and disposition. Agency will be working on an Electronic Recordkeeping Plan.

Subject Files - Administration (Series 0046-482)

Wide variety of documents relating to the administration of the various programs.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: None

Comments: Retain until no longer useful, then contact the State Archives for appraisal - if not accepted, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised disposition comments.

Retention/Disposition Schedule Entries

**SUPERSEDED INTO
ANOTHER AGENCY-
SPECIFIC ENTRY**

482-001

Board of Nursing

Disciplinary Hearing Case Files (Series 0016-482)

Documents relating to hearings held on nursing professionals for alleged misconduct or malpractice and any action taken by the board against the individual.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain in office 5 years after case is closed, transfer to the records center for 5 years, then transfer to the archives. (a.k.a. "Agency Records")

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 07 April 2015

Record Copy: Unknown

Remarks: 04/07/2015: supersede into 0021-482, Investigative Files.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Department of Health and Environment – Division of Environment – Bureau of Water
2. **Records Officer:** Mike Smith, Chris Seeds **Phone:** 296-1333
3. **Appraising Archivist(s):** Marcella Wiget, Joanna Hammerschmidt, Matt Veatch
4. **Date of Appraisal:** February – April 2015
5. **a) Total records – No. of Series:** 24
b) New series – No. of Series: 3
c) Revised existing series – No. of Series: 20
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 1
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 11
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 11
8. **Appraisal Based Upon:**

Review of records, discussions with bureau's records custodian.
9. **Appraisal Narrative:**

The Bureau of Water in the Kansas Dept. of Health and Environment is updating its retention and disposition schedule to reflect current recordkeeping practices and needs. The effort was requested by the State Archives staff, who desired help in determining what records have enduring value to the environment of Kansas and in order to smooth the transition process as the State Records Center is shut down.

Retention/Disposition Schedule Entries

264-002

**Department of Health and Environment
Environment Division
Bureau of Water**

503 Sludge Reports (Series Unknown)

Reports submitted by Municipal and Industrial Wastewater Treatment facilities including laboratory results covering the disposal of sludge waste.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency schedule

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: new entry.

Hydrostatic Test Discharge General Permits (Series Unknown)

Applications, Maps, Permits, Laboratory Data, Correspondence, etc. related to the Hydrostatic testing of new and existing underground pipeline and storage tanks and discharge of test water.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 010 cldr yrs from closure of project

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: new entry.

Industrial Stormwater Construction files (Series Unknown)

Engineering Plans, permits, data, correspondence, etc. related to industrial stormwater construction permits.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 010 cldr yrs from closure of project

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency schedule

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: new entry.

Retention/Disposition Schedule Entries

REVISED ENTRIES

264-002

**Department of Health and Environment
Environment Division
Bureau of Environmental Field Services
Technical Services Section**

Whole Effluent Toxicity Tests (Series 0662-264)

Lab sheets, reports, and memos relating to tests performed on waste water discharge effluent samples to ensure compliance with the established permit conditions.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 015 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-108

Last Surveyed 14 February 1996

Record Copy: Paper

Remarks: 09/20/2013 mwiget: Fixing typo in subagency title.
04/08/2015: revised retention period, removed comments.

**Bureau of Water
Geology Section**

Salt Solution Mining Files (Series 0605-264)

Inspection reports, applications, correspondence, etc. related to salt mining companies that produce salt by injecting water into the ground forcing the brine water to the surface.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs after facility closure

Disposition: Archives

Restrictions: KSA 65-170g, KAR 28-46-23, 40 CFR 122.7, 40 CFR 123.25

Schedule Authority: Agency Schedule

KAR Number 53-2-107

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: clarified retention period.

Underground Hydrocarbon Storage files (Series 0604-264)

Base maps, annual reports, applications, permits, inspection reports, etc. related to the regulation and monitoring of companies storing liquid petroleum gas in underground storage wells.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs after facility closure

Disposition: Archives

Restrictions: KSA 65-170g, KAR 28-46-23, 40 CFR 122.7, 40 CFR 123.25

Comments: Retain in office 10 years, then transfer to the archives for purging.

Schedule Authority: Agency Schedule

KAR Number 53-2-107

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised series title, clarified retention.

Underground Injection Control Correspondence files (Series 0602-264)

Permits, monthly monitoring reports, applications, correspondence, and mechanical integrity test files relating to underground injection disposal wells maintained to ensure compliance with standards.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs after facility closure

Disposition: Archives

Restrictions: KSA 65-170g, KAR 28-46-23, 40 CFR 122.7, 40 CFR 123.25

Schedule Authority: Agency Schedule

KAR Number 53-2-107

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised series title, clarified retention.

Underground Injection Control Files - Well Logs (Series 0600-264)

Logs submitted by industries used to monitor underground injection waste disposal wells to ensure the activity and structural integrity of the wells are in compliance with standards.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs after facility closure

Disposition: Archives

Restrictions: KSA 65-170g, KAR 28-46-23, 40 CFR 122.7 40 CFR 123.25

Schedule Authority: Agency Schedule

KAR Number 53-2-107

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: clarified retention period, removed comments.

Water Well Reports (Series 0603-264)

Reports submitted by applicants for all wells constructed, which is required to ensure compliance with health and safety regulations.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs after facility closure

Disposition: Archives

Restrictions: KSA 65-170g, KAR 28-46-23, 40 CFR 122.7, 40 CFR 123.25

Schedule Authority: Agency Schedule

KAR Number 53-2-107

Last Surveyed 15 July 1993

Record Copy: Paper

Remarks: 04/08/2015: clarified retention period. Agency staff note water well reports WWC-5 and WWC-5P can be destroyed 10 years after date of creation; the Kansas Geological Survey is the official record keeper for these records.

Industrial Programs Section

Industrial and Pretreatment Wastewater Facilities Files (Series 0599-264)

Industrial and Pretreatment Wastewater Facilities Files, including permits, engineering reports, correspondence, and related records.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 020 cldr yrs after facility is no longer active

Disposition: Destroy

Restrictions: KSA 65-170g, KAR 28-46-23, 40 CFR 22.7 40 CFR 123.25

Schedule Authority: Agency Schedule

KAR Number 53-2-107

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/07/2015: revised series title and description, retention period, changed disposition from archives to destroy.

Municipal Programs Section

Municipal and Commercial Wastewater Facilities Design Reviews - Engineer Reports (Series 0565-264)

Engineer reports relating to proposed wastewater facilities submitted to the Bureau of Water for examination and approval to ensure that facilities are designed in accordance with standards.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Engineering Reports, Plans, Drawings, and Specifications are retained in Topeka central office during the construction project and retained either in Topeka or the appropriate District Office and destroyed 10 cldr yrs after completion of project.

Schedule Authority: Agency Schedule

KAR Number 53-2-103

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised retention comments, changed disposition from archives to destroy.

Municipal and Commercial Wastewater Facilities Design Reviews - Plans/Drawings (Series 0563-264)

Plans and drawings relating to proposed wastewater facilities submitted to the Bureau of Water

for examination and approval to ensure that facilities are designed in accordance with standards.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Engineering Reports, Plans, Drawings, and Specifications are retained in Topeka central office during the construction project and retained either in Topeka or the appropriate District Office and destroyed 10 cldr yrs after completion of project.

Schedule Authority: Agency Schedule

KAR Number 53-2-103

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised retention comments, changed disposition.

Municipal and Commercial Wastewater Facilities Design Reviews - Specifications (Series 0564-264)

Specifications relating to proposed wastewater facilities submitted to the Bureau of Water for examination and approval to ensure that facilities are designed in accordance with standards.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Engineering Reports, Plans, Drawings, and Specifications are retained in Topeka central office during the construction project and retained either in Topeka or the appropriate District Office and destroyed 10 cldr yrs after completion of project.

Schedule Authority: Agency Schedule

KAR Number 53-2-103

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised comments.

Municipal and Commercial Wastewater Facilities Permit Files (Series 0561-264)

Correspondence, engineer reports, permits and other documents pertaining to the monitoring of municipal and commercial wastewater facilities to ensure adherence to state and federal regulations. Also known as 2.0 Files.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs after facility closure

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-103

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised description, clarified retention, changed disposition from

archives to destroy, and removed comments.

State Revolving Fund Loan Files - Wastewater (Series 0567-264)

Application, correspondence, and financial records relating to the administration of a program through which the state provides 20 year loans to cities to fund the construction of wastewater facilities.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 025 cldr yrs after loan effective date

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-103

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised title and description, clarified retention, changed disposition from archives to destroy, removed comments.

Public Water Supply Section

Engineer Reports (Series 0508-264)

Narrative reports prepared by Bureau of Water field engineers relating to public water supply facilities' structural integrity, water quality, etc. used to monitor compliance with regulations. Also known as Orange Files.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-098

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised description, shortened retention, removed comments.

Lead and Copper Compliance Files (Series 0725-264)

Correspondence and reports relating to lead and copper water analysis tests used to monitor compliance with federal and state public water supply contaminant regulations.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 004 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: shortened retention period.

Phase II/V Compliance Files (Series 0724-264)

Correspondence and reports relating to IOC, SOC and VOC organic chemical water analysis tests used to monitor compliance with federal and state public water supply contaminant regulations.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 004 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: shortened retention period.

Public Water Supply Files (Series 0506-264)

Correspondence, reports, fines/orders, public notices, and other documents pertaining to testing and monitoring public water supply facilities to ensure adherence to state and federal regulations. Applies to all documents pertaining to public water supply activities except those documents pertaining to the Kansas Public Water Supply Revolving Loan Program (KPWSLF) for drinking water. Also known as 1.0 Files or Green Files.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-098

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised description, shortened retention period, removed comments.

Public Water Supply Loan Fund Files (Series 0726-264)

Application, correspondence, & accounting records relating to a funding program sponsored by the Department of Health and Environment which loans money to cities for public water supply programs.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 002 fisc yrs post repayment

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 04/08/2015: clarified retention, removed comments, revised disposition from archives to destroy.

Surface Water Treatment Compliance Files (Series 0723-264)

Correspondence and monthly reports submitted by surface water supply facilities used to monitor compliance with federal and state requirements on turbidity, disinfections and contact time levels.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 004 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 07 April 2015

Record Copy: Paper

Remarks: 03/17/1999: Replaces Turbidity Analysis Reports.

04/07/2015: shortened retention period.

Water Analysis Files (Series 0510-264)

Reports of results of pesticide, radiological, inorganic chemical, and organic chemical water analysis tests used to monitor compliance with public water supply contaminant regulations. Also known as 1.1 Files or Blue Files.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 08 April 2015

Record Copy: Paper

Remarks: 04/08/2015: revised description, shortened retention, removed comments.

Technical Services Section**Wastewater Effluent Monitoring Reports for Municipal, Commercial, Federal & Municipal Wastewater Treatment Facilities (Series 0719-264)**

Reports prepared by the owner of the wastewater treatment facility monitoring the discharge levels and required parameters.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 07 April 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 04/08/2015: revised series title and description, retention and disposition.

Retention/Disposition Schedule Entries

**SUPERSEDED TO OTHER
AGENCY-SPECIFIC
SCHEDULE ENTRIES**

264-002

**Department of Health and Environment
Environment Division
Bureau of Water
Technical Services Section**

Waste Water Certifications (Series 0717-264)

Documents related to submission and review for approval of requests for permit certificates allowing entities to discharge effluents into water systems - Permits must be renewed at least every 5 years

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 010 cldr yrs

Disposition: Archives

Restrictions: None

Comments: Includes "Requests for Water Quality Certification," Discharge Assessment Sheets," and miscellaneous supporting documents.

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 07 April 2015

Record Copy: Unknown

Remarks: 04/08/2015: supersede into 0599-264 and 0561-264, Industrial/Pretreatment & Municipal/Commerical Wastewter Treatment Facilities Files.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 16, 2015**

1. **Agency:** Kansas Adjutant General's Department
2. **Records Officer:** Janice Harper **Phone:** 274-1456
3. **Appraising Archivist(s):** Marcella Wiget, Joanna Hammerschmidt
4. **Date of Appraisal:** December 2014, March 2015
5. **a) Total records – No. of Series:** 52
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 40
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 12
f) Series superseded by general schedule entries – No. of Series: 0 [already taken care of, see previous meetings' housekeeping reports]
6. **Archival/Permanent records – No. of Series:** 3
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with records officer and with emergency planning and mitigation staff.
9. **Appraisal Narrative:**

The Adjutant General's Department wishes to revise its agency retention and disposition schedule to reflect current recordkeeping practices and requirements. Several schedule entries have already been moved to the general schedule or noted as obsolete; these are the substantive changes for most of the department and include federal requirements that supersede the standard retention periods on the general schedule for several records series.

Retention/Disposition Schedule Entries

REVISED ENTRIES

034-002

Adjutant General's Department Office for State Personnel

Firefighters Files (Series 0008-034)

Documents relating to unions, policies, and other matters concerning firefighters assigned to the armories.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-096

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention length and disposition from archives to destroy.

034-004

Adjutant General's Department Comptroller's Office

Audit Reports (Series 0038-034)

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

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See comments

Disposition: Archives

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention period and comments.

Budget Preparation Files - Annual (Series 0039-034)

Documents used in the preparation of the annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period, disposition, and comments.

Budget Requests and Appeals - Annual (Series 0040-034)

Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 thru 518 and associated supporting documents.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Archives

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period.

Certified Payroll Records (Series 0041-034)

Documents relating to verification of wage rates and bids on federal contracts maintained for budgetary purposes.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period comments.

Contracts (Series 0042-034)

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

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention period and comments.

Financial Reports and Records (Series 0049-034)

Reports and records used by the Adjutant General's Department to manage activities and complete reports to the federal government concerning activities for each Cooperative Agreement, Grant, Special Project, and Administration.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised title and series description, retention comments. Supersede 0130-034, 0148-034, 0161-034, and 0165-034 into this entry.

Imprest Fund (Series 0043-034)

Documents related to the administration and accounting of the imprest fund which allows an agency to use a local bank account as authorized by statute: DA form 152 -Checkbook Record-- Imprest Fund."

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention period and comments.

Leases - Real Property and Capital Equipment (Series 0045-034)

Documents related to the leasing of real estate and equipment.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention period and comments.

Purchasing Records (Series 0048-034)

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

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention length and comments.

Receipts Records - Cash (Series 0142-034)

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

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised sub-agency information and retention period.

Salary Advances Reports (Series 0051-034)

Reports relating to federal government salary advances used for payroll reconciliation purposes.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period and comments.

Service Contracts (Series 0052-034)

Legal agreements with individuals and organizations for repair service. Includes all associated documents, e.g.. DA-146 series.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised comments.

State Active Duty Rosters (Series 0053-034)

Rosters relating to National Guard personnel available to be called up for either regular or emergency active duty.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention period.

Station/Armory Funds Records (Series 0054-034)

Documents relating to city or county authorization of funds for state armories to purchase items not included in the state budget.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention period and comments.

Status of Funding Reports (Series 0055-034)

Reports created to monitor the expenditures of funds allocated by the federal government which assists in the budget process.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period and comments.

Telephone Billing Records (Series 0058-034)

Copies of computer billings received from the Department of Administration and supporting documents concerning the use of a telecommunications services provider.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period and comments. 0156-034 superseded into this entry to delete duplication and keep with office of record.

Travel Request and Authorization Records (Series 0059-034)

Records related to employee travel: DA forms 25 (Request for Out of State Travel) and various internal documents.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period and comments. 0159-034 superseded into this entry to delete duplication and keep with office of record.

Vehicle Operation Records (Series 0160-034)

Documents related to the use of state-owned motor vehicles: MP forms 1a, 2c, 3a, 3b, 10, 20, and internal agency forms.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain 006 yrs 03 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements, per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/17/2014 mwiget: revised retention comments.

Vouchers - Journal (Series 0062-034)

All documents and backup information used to adjust financial account balances.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 006 fisc yrs 003 months

Disposition: Destroy

Restrictions: None

Comments: Must be kept 6 yrs, 3 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements per National Guard Regulation 5-1.

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 05 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/09/2015: revised description, retention length, and comments. Noted electronic and paper as record copy formats. 0163-034 superseded into this entry to delete duplication and keep with office of record.

Vouchers - Receipts (Series 0063-034)

All copies of documents and backups used to transfer funds received by agencies from individuals and organizations into their particular accounts.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 006 fisc yrs 003 months

Disposition: Destroy

Restrictions: None

Comments: Must be kept 6 yrs, 3 months from date of last payment/reimbursement to the state for all National Guard Bureau Cooperative Agreements per National Guard Regulation 5-1

Schedule Authority: Agency Schedule

KAR Number 53-2-099

Last Surveyed 05 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/09/2015: revised retention period and comments. 0164-034 superseded into this entry to delete duplication and keep with office of record.

034-008

Adjutant General's Department

Division of Emergency Preparedness

Deputy Director

Disaster Emergency Proclamations Files (Series 0105-034)

Documents relating to the division's justification for disaster emergency proclamations requests submitted to the governor and/or the federal government.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 yrs from date of disaster

Disposition: Destroy

Restrictions: None

Comments: Disaster declarations received by the State Archives from the governor's office.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Paper

Remarks: 03/09/2015: revised retention and disposition, noted in comments gubernatorial records.

Nuclear Preparedness Files (Series 0134-034)

Documents relating to plans prepared to coordinate responses to nuclear emergencies at the Wolf Creek Nuclear Power Plant and Cooper Nuclear Plant in Nebraska.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: None

Comments: Retain 3 years, then transfer one copy of the plan to the State Archives, destroy remaining documents.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Paper

Remarks: 03/09/2015: revised description, retention, and disposition.
03/25/2015: staff indicated some records are kept in Outlook.

Subject Files (Series 0152-034)

Variety of documents relating to the activities and functions of the division.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Retain until no longer useful, then destroy.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised disposition from archives to destroy.

Water Shortage Files (Series 0166-034)

Documents related to various plans established in the event of water related disasters such as drought or shortages which could affect the water supply.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain for 3 years after date of closeout letter if results in federal declaration, then destroy. Plans are duplicated from the Kansas Water Office.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Unknown

Remarks: 03/09/2015: revised retention, disposition, and comments.

Emergency Operations Local Programs

Kansas Siren Program Project Grant Files (Series 0125-034)

Applications made by the counties to the division to request grant funding for the purchase and installation of an early warning disaster system. Part of the federal disaster declaration files.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 3 years from the date of closeout of Hazard Mitigation Grant Program (HMGP) project, then destroy.

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention and disposition from archives to destroy.

Local Emergency Management Program Grant Files (Series 0128-034)

Applications made by county agencies to the division for grant funds to be used to promote local emergency preparedness programs.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 3 years from date of closeout letter, then destroy.

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Pending

Remarks: 12/10/2014: revised retention and disposition from archives to destroy.

03/25/2015: staff indicated electronic versions exist on computer, in Outlook, and in Kansas Exercise Tracking System software.

Emergency Operations Training**County Emergency Preparedness Plan Files (Series 0101-034)**

Variety of documents relating to county emergency preparedness plans submitted by local officials and reviewed by the division to ensure that plans comply with all state and federal regulations.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain current + 1 previous plan, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 27 March 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 03/29/2015: electronic system hosted by KDEM in which all counties input their emergency plans and can export a word processing document version if they so choose. Plans must be updated at minimum every 5 years; hazard mitigation piece must be reviewed annually due to EPA standards.

Federal Emergency Management Program Requirements Files (Series 0118-034)

Variety of documents relating to local efforts to meet eligibility requirements established by the federal government for federal emergency preparedness assistance funds.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Retain for 3 years from closeout, then destroy.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Paper

Remarks: 12/10/2014: revised retention and disposition from archives to destroy.
03/25/2015: staff indicated also kept electronically on computer and in Outlook.

Federal Exercise Report Forms (Series 0119-034)

Reports submitted by local officials, and used by the Division of Emergency Preparedness to prepare reports to the Federal Emergency Management Agency (FEMA), that summarize the results of annual emergency plan tests performed to evaluate the effectiveness of the plans.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 3 yrs from closeout

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised retention period.
03/25/2015: staff indicated records are available in paper, on computer and in Outlook, and through the Kansas Exercise Tracking System software.

Fiscal Section

Federal Emergency Management Agency (FEMA) Billing Reports (Series 0117-034)

Detailed reports submitted to FEMA listing division and local government personnel and administrative expenses as required for compliance with federal grant guidelines.

Entry Status: Ready for SRB

Recommended Status:Revise
Retention Period: See comments
Disposition: Destroy
Restrictions: None
Comments: Retain for 3 years from date of closeout, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-100
Last Surveyed 10 December 2014
Record Copy: Unknown
Remarks: 12/10/2014: clarified retention period.

Individual and Family Grant Files (Series 0124-034)

Correspondence, case status form, payment vouchers, etc. maintained on individuals and families receiving federal grant funds providing assistance after a natural disaster.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain 3 years from date of closeout, then destroy.

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: clarified retention period; revised disposition from archives to destroy.

Quarterly Financial Reports - Federal Emergency Management Agency (FEMA) Grants (Series 0137-034)

Financial status reports, federal cash transaction reports, and other reports submitted by the division to FEMA to comply with federal grant reporting requirements.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Destroy

Restrictions: None

Comments: Retain for 3 years from date of closeout, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/15/2014 mwiget: clarified retention period.

Population Protection Planning

Emergency Operations Plan - State, Counties, and Cities (Series 0111-034)

Statewide response plan prepared by division staff and by local and state officials with assistance from division staff to facilitate an effective statewide response to a natural or other disaster as required by KSA 48-926 and KSA 48-929(d).

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: None

Comments: Retain until superseded, then destroy. Plans are available on the Division of Emergency Planning website and published through the State Printer.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 27 March 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/10/2014: revised title and description to include information from series 0112-034 so it can be superseded into this entry; also supersedes 0120-034 and 0168-034 that were plans for specific hazards. State Archives will harvest agency website in order to retrieve copies of plans before they are superseded, if copy of published plan is not being transferred to the library section.

Technological Hazards

Cooper Nuclear Station Files (Series 0093-034)

Correspondence and related materials regarding cooperation between Kansas and the Nebraska Cooper Nuclear Power Plant pertaining to emergency preparedness plans.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: See comments

Restrictions: None

Comments: Retain until superseded, then contact the State Archives for appraisal - if not accepted, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: revised retention period and disposition.

Hazardous Materials Incident/Accident Reports (Series 0122-034)

Reports submitted to the division by local officials regarding any hazardous materials incidents/accidents as required by Title III of the Superfund Amendments and Reauthorization Act. Series includes annual summary report.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 006 cldr yrs

Disposition: See comments

Restrictions: None

Comments: Retain all records for 6 calendar years, then destroy. Transfer one copy of annual report to the State Archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: lengthened retention period, revised description and comments to incorporate 0123-034, which will be superseded into this entry.

Monthly Motor Vehicle Record - Federal (Series 0131-034)

Monthly logs and related documentation regarding federal vehicle usage by the division staff traveling to county and city inspection sites throughout the state.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 fisc yrs from date of closeout letter

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: clarified retention length.

Subject Files - Radiological (Series 0153-034)

Variety of documents relating to emergency planning and training procedures for radioactive hazards.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Retain until no longer useful, then destroy.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: revised disposition from archives to destroy.

Subject Files - Superfund Amendments and Reauthorization Act (SARA) Title III (Series 0154-034)

Variety of documents relating the division's involvement with SARA Title III which is the federal act designed to protect public health and safety and the environment from chemical hazards.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Retain until no longer useful, then destroy.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: revised disposition from archives to destroy.

Subject Files - Wolf Creek Generating Station (Series 0155-034)

Correspondence, audits, exercise reports, etc. relating to emergency preparedness planning and training at the Wolf Creek Generating Station.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain within established FEMA guidelines, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: revised retention and disposition.

Retention/Disposition Schedule Entries

**SUPERSEDED BY
OTHER
AGENCY-SPECIFIC
SCHEDULE ENTRIES**

034-008

**Adjutant General's Department
Division of Emergency Preparedness
Deputy Director**

Flooding Disaster Files (Series 0120-034)

Documents relating to emergency preparedness plans for designated flood prone counties.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

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

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Unknown

Remarks: 03/09/2015: supersede this entry into 0111-034, Emergency Operations Plan - State, Counties, and Cities. Flooding disasters are no longer treated separately but are part of the larger emergency planning process.

Winter Utility Problems Files (Series 0168-034)

Documents relating to county emergency assistance provided to people without utilities.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 002 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Unknown

Remarks: 03/09/2015: supersede into 0111-034, Emergency Operations Plan - State, Counties, and Cities. Plans are created for all hazard types, not for isolated hazards.

Fiscal Section

Monthly Financial Reports - Federal Emergency Management Agency (FEMA) Grants (Series 0130-034)

Report detailing the division's FEMA grant fund disbursements.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Comments: Supersedes general schedule retention requirements for "Grant Files."

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Unknown

Remarks: 03/09/2015: supersede to 0049-034 for financial records and reports in the Comptroller's section of the schedule.

State Monthly Financial Reports (Series 0148-034)

Non-STARS spreadsheet reports detailing state appropriations and federal grant funds expenditures, encumbrances, and account balances for each section within the division.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 fisc yr

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Unknown

Remarks: 03/09/2015: supersede to 0049-034 for financial records and reports in the Comptroller's section of the schedule.

Telephone Billing Records (Series 0156-034)

Copies of computer billings received from the Department of Administration and supporting documents concerning the use of a telecommunications service provider.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 20 May 1992

Record Copy: Unknown

Remarks: 12/17/2014 mwiget: Supersede to 0058-034, Telephone Billing Records, on the Adjutant General's schedule.

Travel Request and Authorization Records (Series 0159-034)

Records related to employee travel: DA forms (Request for Out of State Travel) and various internal documents.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: Supersede to 0059-034, Travel Request and Authorization Records, on the Adjutant General's schedule.

Vendor Files (Series 0161-034)

Records concerning purchases from specific vendors: invoices, correspondence, vouchers, ledger books and cards, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Comments: Retain for 5 fiscal years if record is subject to KSA 75-3704(e). See also Vouchers - Purchase, Purchasing Records, Bid Records, Contracts, and Accounts Payable Records.

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Unknown

Remarks: 03/09/2015: supersede to 0049-034 for financial reports and records located in the Comptroller's office. Other vendor files are maintained at the Department of Administration.

Vouchers - Journal (Series 0163-034)

DA forms 35 series used to adjust financial account balances.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: Supersede to 0062-034, Vouchers - Journal, in the Comptroller's Office on the Adjutant General's schedule.

Vouchers - Receipts (Series 0164-034)

Copies of documents used to transfer funds received by agencies from individuals and organizations into their particular accounts: forms DA-3 series.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: Supersede to 0063-034, Vouchers - Receipts, on the Comptroller's office schedule on the Adjutant General's schedule.

Vouchers - Travel (Series 0165-034)

Copies of documents used to certify the validity of claims for the reimbursement of travel expenses: DA forms 121, 122, and 123.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-100

Last Surveyed 05 March 2015

Record Copy: Unknown

Remarks: 03/09/2015: supersede to 0049-034, Financial reports & Records, in the Comptroller's section of the schedule.

Population Protection Planning

Emergency Operations Plans - Counties and Cities (Series 0112-034)

Comprehensive plans prepared by local officials with assistance from division staff to ensure an effective response to a natural or nuclear disaster as required by KSA 48-929(d).

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain until superseded, then transfer to the state archives for purging.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: supersede into 0101-034 and/or 0111-034 to be revised to cover all emergency operations plans.

Technological Hazards

Hazardous Materials Incident/Accident Summary Reports (Series 0123-034)

Summaries of reports submitted to the division by local officials regarding hazardous materials incidents/accidents.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain electronic format until no longer useful, then destroy. Retain annual master hard copy permanently, transfer one hard copy to the state archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-100

Last Surveyed 10 December 2014

Record Copy: Unknown

Remarks: 12/10/2014: supersede to 0122-034, Hazardous Materials Incident/Accident Reports (same records).

Housekeeping Changes Since 26 March 2015 10 April 2015

Housekeeping Edit

034-004
Adjutant General's Department
Comptroller's Office

Subject Files - Comptroller (Series 0057-034)
Description: Wide variety of documents relating to the agency's fiscal concerns and responsibilities.
Change: Noted record copy formats.-- mwiget, 29 March 2015

105-001
State Board of Healing Arts

Investigative Case Files (Series 0013-105)
Description: Documents relating to investigations conducted by the Board of Healing Arts staff. Includes complaints, investigative reports, patient records, risk management and peer review records, attorney work product and other information created or received in the course of an agency investigation.
Change: Corrected K.A.R. number-- mwiget, 29 March 2015

296-003
Department of Labor
Division of Employment Security

Additional Claim Form (Series 0007-296)
Description: Unemployment Insurance Application.
Change: Fixed formatting issue.-- mwiget, 29 March 2015

331-004
Insurance Department
Financial Surveillance Division

Financial Statement Reviews - Foreign (Series 0030-331)

Description: Audit guides, work papers, and other documents relating to the department's financial review of non-Kansas insurance companies prepared in monitoring compliance with state statutes and regulations.

Change: Clarified series title.-- mwiget, 08 April 2015

Obsolete

331-004

Insurance Department

Financial Surveillance Division

Financial Examination Reports - Foreign (Series 0034-331)

Description: Copies of reports prepared by insurance department examiners from other states describing the operation and financial condition of non-Kansas insurance companies and any violations of insurance law.

Change: Agency staff indicate these reports are no longer required or created.-- mwiget, 08 April 2015

482-001

Board of Nursing

Examination Rosters (Series 0020-482)

Description: Rosters listing candidates who have taken the board examination created in order to match examination results with the corresponding applications.

Change: Obsolete series; agency no longer creates rosters of candidates.-- mwiget, 07 April 2015