

**AGENDA
STATE RECORDS BOARD**

10/22/2015

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 Revenue: new entry
4. Kansas Insurance Department
 - a. Electronic Recordkeeping Plan
 - b. Revised entries
 - c. Superseded by other agency-specific entry
5. Kansas Securities Commission Office
 - a. Revised entries
 - b. Superseded by other agency-specific entries
6. Kansas Corporation Commission: revised entries
7. Kansas Dept. of Health & Environment. Environment Division: revised entries
8. Kansas Dept. of Health & Environment. Health Division
 - a. Electronic Recordkeeping Plan
 - b. Revised entries
9. Housekeeping changes:
 - a. Housekeeping
 - Kansas Dept. of Aging and Disability Services
 - Kansas Corporation Commission
 - Kansas Dept. of Credit Unions
 - b. Obsolete
 - Kansas Corporation Commission
 - Kansas State Historical Society
 - Office of the Securities Commissioner
 - c. Superseded to the general schedule
 - Kansas Dept. of Credit Unions
 - Kansas Dept. of Health and Environment
 - Office of the Securities Commissioner
10. Other business:
 - a. Electronic Records Committee re-charter
 - b. Future meetings:
 - January 21, 2016
 - April 21, 2016
 - July 21, 2016
 - October 20, 2016

State Records Board

August 12, 2015

Executive Conference Room – Kansas Historical Society

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

Also present: Marcella Wiget, Kansas Historical Society (KSHS)
Joanna Hammerschmidt, KSHS
Mark Cole, KSHS
Michael Smith, Kansas Dept. of Health and Environment (KDHE)
Mary Murphy, KDHE
Sheri Tubach, KDHE
Farah Ahmed, KDHE

Meeting called to order at 8:38 a.m. Ms. Mendoza began the introductions.

Minutes: Previous meeting minutes were presented and reviewed.

Motion: Mr. Sowers moved approval of meeting minutes as presented, Mr. Veatch seconded, unanimous approval of July 16, 2015 minutes.

Kansas Dept. of Health & Environment – Health Division: Ms. Mendoza questioned the access restriction K.S.A. 45-221(a)(3) on series 0246-264 as well as several series under the Bureau of Disease Control and Prevention. Mr. Smith elaborated that the agency is more of a hybrid entity and that certain parts of KDHE are considered a covered entity under HIPAA but other parts are not.

Ms. Chinn questioned why series 0246-264 and 0251-264 are archival but series 0247-264 is not. Mr. Smith explained that the one-off nature of series 0247-264 did not hold much, if any, historical significance unlike 0246-264 and 0251-264, which is valuable to track and prevent future outbreaks of disease. Ms. Mendoza noted that since some of the series involve research and census-taking records, K.S.A. 45-221(a)(24) may apply to those series. The board also asked for clarification on who did the reporting in series 0254-264 and series 0740-264. Ms. Mendoza questioned the restrictions specifically for series 0740-264. Through the discussion, it was determined that some reports are submitted by county health departments and schools and others by medical care providers. It was determined that for series 0740-264 identifying information used to generate the report has been redacted, so K.S.A. 45-221(a)(3) or K.S.A. 445-221(a)(30) would not apply. Mr. Smith asked if K.S.A. 45-221(a)(24) might apply. Ms. Mendoza responded that if K.S.A. 445-221(a)(3) or K.S.A. 445-221(a)(30) did not apply, then

K.S.A. 45-221(a)(24) wouldn't as well. It was suggested that all restrictions be removed for series 0740-264, Immunization Coverage Reports.

The board recommended that the restrictions discussed in the earlier schedule entries should also be added to the later entries regarding sexually transmitted diseases (STDs). Ms. Mendoza questioned if series 0738-264, Ryan White Title II Case Files, had its own restrictions other than just K.S.A 45-221 (a)(3) due to the uniqueness of the series. Mr. Smith was unsure if it did or not. Ms. Mendoza recommended that the same restrictions regarding STDs should be added as well. Discussion turned to the communicable disease entries involving patient records. Mr. Veatch was concerned with the proposed disposition since the State Archives, in general, avoids taking individual patient records from state hospitals or other entities. These are generally destroyed and Mr. Smith said the agency would not have a problem changing the disposition to destroy. Ms. Wiget noted that in some instances, there seemed to be little to no documentation regarding some of these old diseases, such as tuberculosis, which has gone into abeyance but is reemerging. Discussion led to the consensus that series 0260-264 could be destroyed but that series 0264-264 should keep the "Contact the State Archives for appraisal – if not accepted, then destroy" language. The board also requested that for series 0260-264, Sexually Transmitted Disease (STD) Patient Records, the word "suspects" be removed from the description and rephrased to "Documents used to maintain surveillance and monitoring treatment on sexually transmitted disease patients."

Discussion moved to final two entries. Ms. Wiget questioned whether 0741-264 was an electronic record or not. Ms. Tubach noted that it can be both paper and electronic and that the information is submitted to a national, federally-run database. The board queried Mr. Smith if the same HIPAA restrictions should apply and Mr. Smith confirmed that they would.

Motion: Ms. Chinn moved approval of revised entries as amended and discussed. Mr. Veatch seconded the motion, unanimous approval of entries as amended.

Bureau of Epidemiology and Public Health Informatics: Ms. Mendoza asked if K.S.A 45-221(a)(30) should be added to the restrictions field. Discussion determined that the records do include patient information and the bureau is a covered entity under HIPAA. Board suggested that all restrictions discussed previously under the Bureau of Disease Control and Prevention be added. Ms. Ahmed also requested that the word "elevated" be removed from the description for series id 0766-264 since the agency receives all blood lead level results that are submitted to the bureau. Any elevated blood lead levels result would become part of the records for series 0750-264.

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

Bureau of Family Health: Ms. Mendoza asked for clarification on where the applications in series 0313-264, Administrative Files - Special Supplemental Nutrition Program for Women, Infants, and Children, originate. It was determined that these are individuals' application to the state's

Women, Infants, and Children program. Mr. Veatch queried if the plans would have any value and Ms. Chinn asked if any of it was kept at the federal level. Mr. Sowers also asked if any parts were published. Mr. Smith responded that some parts are kept at federal level, published, and would have some value. Ms. Wiget and Mr. Veatch suggested that since it sounds like there is some high-level policy planning documents in this series that the disposition language should state, "Contact the State Archives for appraisal - if not accepted then destroy." Discussion moved to series 0768-264, Blood Lead Levels--Children. It was determined that the retention period could be quite long and dependent on when blood lead levels drop to normal. Discussion regarding EPA involvement was raised, and the board wondered if 0768-264 may need to be two separate series. Board recommended to table series 0768-264 until more information could be gathered from the Bureau of Environmental Remediation.

Motion: Mr. Veatch moved tabling series 0768-264. Ms. Chinn seconded, unanimous decision to table 0768-264 until more information could be gathered from the Bureau of Environmental Remediation.

Discussion moved to series 0749-264, Blood Lead Levels Test Results - Children. Ms. Ahmed requested that the language describing series 0749-264 be revised and the word "elevated" be removed. She explained that the bureau does not regularly create this series and if there are elevated blood levels, those records are bumped into series 0750-264, Case Management Files – Children – Elevated Blood Lead Levels. Ms. Wiget asked if 1 calendar year retention for both series 0749-264 and 0750-264 was adequate and if electronic records were being kept. Ms. Ahmed stated that there are electronic records being kept. Mr. Veatch felt that series 0750-264 should be tabled in order to better separate the two series and address the electronic records and retention period.

Motion: Mr. Veatch moved to table series 0750-264, Mr. Yeary seconded, unanimous approval to table series 0750-264.

Discussion continued after the motion carried and further information prompted the board to reconsider the tabling of series 0750-264.

Motion: Mr. Veatch moved to reconsider, Mr. Yeary seconded, unanimous approval to reconsider decision to table series 0750-264.

Ms. Hammerschmidt clarified retention period and Ms. Ahmed noted that now children that are monitored are age 17 and under. The retention period listed was based on the Healthy Homes program, which focused only on children that were under the age of six. Mr. Smith agreed that the change in the program didn't account for the age change and further discussion would be needed in order to determine appropriate retention period.

Motion: Ms. Chin moved to table 0750-264, Mr. Sowers seconded, unanimous approval to table series 0750-264 in order to revise the language and complete an Electronic Recordkeeping Plan for this series.

Board discussion moved to series 0746-264. Ms. Mendoza questioned the 70 year retention language. Ms. Murphy explained that these investigations involve very young children and child care providers may move in and out of the profession. Ms. Murphy also stated that in 2010, the law changed allowing for the permanent prohibition of licensees, including from working at all with children in other roles. In order to cover the potential working lifetime of an individual, for legal considerations, the agency wanted to base the retention as if that individual was licensed at the age of 18. Ms. Mendoza questioned the usage

of K.S.A. 65-507(b) in series 0744-264, Child Care Licensing Files. The discussion led to the realization that these files include renewals, which may include facility surveys that could provide information about individual children. The board recommended rewording the description to include facility surveys and adding the other restrictions that were previously discussed regarding individually identifiable children. The board also suggested removing the K.S.A. 45-221(a)(24) restriction on series 0782-264, Environmental Lead Levels. Ms. Ahmed requested more clarification about the Housing and Urban Development protocols. Ms. Murphy explained that the Bureau of Environmental Remediation has their own Environmental Protection Agency protocols that they follow and are scheduled separately.

Motion: Ms. Chinn moved to table series 0345-264, Newborn Screening Identified Health Condition Client Files, until an Electronic Recordkeeping Plan could be completed, Mr. Veatch seconded, unanimous approval.

The board also clarified that the electronic records maintained in series 0342-264, Newborn Screening Notification records, are for 9 years or less. Ms. Mendoza suggested adding K.S.A. 45-221(a)(14) in addition to the other restrictions, since parents might be corresponding with the bureau and making the patients individually identifiable. Ms. Ahmed requested that the descriptive language for series 0747-264 be revised and noted that the bureau does not regularly create these kinds of reports. While K.S.A. 45-221(a)(24) does not appear to apply, other restrictions regarding individually identifiable children will need to be added.

Motion: Mr. Veatch moved, Ms. Chinn seconded, unanimous motion to make obsolete series 0759-264, Quarterly Progress Reports – Children, since they apparently are no longer created.

Motion: Mr. Veatch moved to approve the Bureau of Family Health’s schedule entries as amended, Mr. Sowers seconded, unanimous approval as amended.

Division of Health & Environmental Laboratories: Ms. Hammerschmidt explained that there used to be separate laboratory facilities for the Health and Environment Divisions, but these have since been combined into a single laboratory. In order to streamline the division’s schedule entries, the division is wanting to combine as many schedule entries as possible. Ms. Mendoza questioned the restriction of K.S.A. 45-221(a)(3) for series 0402-264, Clinical Laboratory Certification Records. Ms. Hammerschmidt explained that there is no medical information contained in these records. Ms. Mendoza recommended that the restriction be removed.

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

Division of Health Care Finance: On behalf of the agency, Mr. Smith requested that the three new entries be tabled.

Motion: Mr. Veatch moved, Ms. Chinn seconded, unanimous decision to table the new entries from the Division of Health Care Finance at the request of the agency.

Mr. Smith also requested that series 0999-173 be tabled.

Motion: Mr. Veatch moved, Mr. Sowers seconded, unanimous decision to table series 0999-173 at the request of the agency.

Discussion continued on remaining series. Ms. Hammerschmidt informed the board that many of the revised entries have a longer retention period due to federal Medicare requirements. She also noted that the audits do not fall under the general schedule since they are not audits of state agencies. Ms. Mendoza inquired if any medical records were included in the Cost Report Data, series 0350-629. Mr. Smith did not think there was any medical information included. Mr. Veatch requested clarification on what costs reports entailed. The board also wanted clarification on whether the records are de-identified or not, since that would effect if K.S.A. 39-709(b) would apply.

Motion: Mr. Veatch moved, Ms. Chinn seconded, unanimous decision to table series 0350-629, Cost Report Data.

The board questioned the restriction for series 0709-629 and suggested that K.S.A. 45-221(a)(3) be removed but include K.S.A. 45-221(a)(1)(14)(30) and K.S.A. 39-709(b). The board also suggested that K.S.A. 45-221(a)(3) be added to the restrictions for series 0422-629. Mr. Veatch noted that series 0422-629 would be covered by the new KEES system. Mr. Smith indicated that the system generating the series has gone live and may need an Electronic Recordkeeping Plan. The board then discussed retention period language for series 0709-629. Mr. Smith suggested that it should state “determination” instead of ineligibility due to Medicaid requirements.

Motion: Ms. Chinn moved, Mr. Veatch seconded, unanimous decision to table series 0399-629, Periodic Review – Medicaid Survey Reports until clarification could be made regarding these surveys.

Mr. Smith explained the review process described for series 0687-264, noting that the review covers providers over a period of time and the agency does receive personal health information about individual patients. The board revised the description to state “Forms completed by Medicaid provider demonstrating the medical necessity for an individual patient’s hospitalization and reviewed for Medicaid reimbursements to the hospital.”

Motion: Mr. Veatch moved, Ms. Chinn seconded, unanimous approval of amended entries as discussed.

Housekeeping Changes:

The board reviewed and accepted the housekeeping report.

Summary of accomplishments for FY2015:

The board discussed the shutting down of the State Records Center. Mr. Veatch noted that while some other states are opening records centers, others, like Massachusetts, are

shutting theirs down as well. The board noted that with the closure of the State Records Center, business practices have changed. With this change, new procedures and guidance will have to be drafted for state agencies who have transferred their records to privately-owned commercial records centers in order to help those agencies continue to manage their records appropriately and ensure records that should be transferred to the State Archives continue to make that transfer.

Re-chartering the Electronic Records Committee:

Mr. Veatch provided a brief historical background regarding the beginnings of the Electronic Records Committee. Mr. Veatch noted that the Information Technology Advisory Board (ITAB) function for the committee has largely fallen away, due to changes in information governance policies in Kansas. Mr. Veatch elaborated that although the Electronic Records Committee sub-committee function has ceased for ITAB, it continues to be an essential sub-committee to review Electronic Recordkeeping Plans going before the State Records Board. Mr. Veatch requested that the board re-charter the committee so that it has clear foundations and guidance regarding its tasks and responsibilities.

Discussion turned to the Electronic Records Committee's tasks to endorse Electronic Recordkeeping Plans and to provide language for policies and guidelines for electronic records management. Mr. Yeary and Ms. Mendoza determined that the Electronic Records Committee's authority is granted through the State Records Board. Ms. Mendoza asked that Mr. Veatch provide a proposal for re-charting and composition of board members. Ms. Mendoza suggested a committee size of 5 to 7 people with 5 members being the ideal. She also suggested the member composition should be different from the State Records Board. Ms. Chinn would like to see a member come from state IT and Ms. Hammerschmidt would like someone with a legal background. After further discussion, a tentative committee makeup would include someone from State Archives, Legal Department, IT, Local Government, and Municipal/County Government, even though the State Records Board has no jurisdiction for Municipalities. Mr. Veatch queried about procedural suggestions. Ms. Mendoza covered the Kansas Open Meetings Act and noted that although keeping minutes is not required, it is highly suggested. Electronic Recordkeeping Plans are not public information due to security concerns and Ms. Mendoza suggested the form should be revised or covered in executive session.

The board adjourned at 11:16 a.m.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 22, 2015**

1. **Agency:** Kansas Department of Revenue
2. **Records Officer:** Richard Cram **Phone:** 296-8042
3. **Appraising Archivist(s):** Marcella Wiget
4. **Date of Appraisal:** August – September 2015
5. **a) Total records – No. of Series:** 1
b) New series – No. of Series: 1
c) Revised existing series – No. of Series: 0
d) Obsolete schedule entries – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with agency records custodian Shawnel Neal and with Commercial Driving License program staff.

9. **Appraisal Narrative:**

The Kansas Department of Revenue is working on a technology project to update how commercial driving licenses are examined. In doing so the agency realized these records had not yet been scheduled on their retention and disposition schedule and wish to make sure these records are appropriately managed.

Retention/Disposition Schedule Entries

565-005

Department of Revenue

Division of Vehicles

Commercial Drivers' License skills test scores (Series Unknown)

Score sheets for individuals' commercial drivers' licenses (CDL) exams. Includes information regarding applicant's name, driver's license number, vehicle information, tag number, and examiner's name.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 003 yrs from date of exam

Disposition: Destroy

Restrictions: K.S.A. 45-221(a)(9)

Schedule Authority: Agency

Last Surveyed 11 September 2015

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/11/2015: new entry. Records are currently in paper form but agency is moving to electronic recordkeeping for the CDL licensing system.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 22, 2015**

1. **Agency:** Kansas Insurance Department
2. **Records Officer:** Diane Haverkamp **Phone:** 296-7855
3. **Appraising Archivist(s):** Marcella Wiget
4. **Date of Appraisal:** September 2015
5. **a) Total records – No. of Series:** 6
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 5
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:**

Discussion at July 2015 State Records Board meeting; discussions with agency records officer.

9. **Appraisal Narrative:**

Based upon recommendations from the State Records Board at the July 2015 meeting, the Kansas Insurance Department has revised retention information for several schedule entries that had been tabled. The Electronic Recordkeeping Plan is related to most of these entries.

Retention/Disposition Schedule Entries

331-000

Insurance Department All Divisions

Approved Applications for Certificate of Authority and Certificates of Authority (Series 0003-331)

Application, license, correspondence, and other documents relating to an insurance company's application to conduct business in Kansas that has been approved by the Kansas Insurance Department.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 100 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-165

Last Surveyed 16 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/22/2010: Removed "Hard copy may be destroyed if microfilmed and microfilm meets preservation standards" from Comments.

06/23/2015: revised retention comments; noted electronic recordkeeping format. ERP is pending.

09/16/2015: based upon discussion at July SRB meeting, revised retention period.

Articles of Incorporation and By-laws (Foreign & Domestic) (Series 0005-331)

Articles of incorporation and by-laws of foreign and domestic insurance companies authorized to do business in Kansas.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 100 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Record copy for domestic companies is retained in Secretary of State's office.

Schedule Authority: Agency Schedule

KAR Number 53-2-124

Last Surveyed 23 June 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 06/23/2015: noted electronic recordkeeping format. ERP is pending.

09/16/2015: revised series title, description, retention period, disposition, and comments.

Combined 0004-331 for foreign companies into this entry.

Bulletins (Series 0007-331)

Bulletins and acknowledgments by the company.

Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: 100 cldr yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-124
Last Surveyed 23 June 2015
Record Copy: Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 06/23/2015: clarified retention comments; noted electronic recordkeeping format.
ERP is pending.
09/16/2015: based upon discussion at July SRB meeting, revised retention period and comments.

Tax and Fee Forms (Series 0020-331)
Tax statements that insurance companies doing business in Kansas must file annually for the purpose of computing proper amounts of taxes and fees owed to this state, along with related correspondence.

Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: 003 cldr yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-124
Last Surveyed 23 June 2015
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 06/23/2015: revised retention period and noted electronic recordkeeping format.

331-008

Insurance Department Property and Casualty Division

Company Files - Suspended (Series 0051-331)
Specimen policies, rates, correspondence, and other documents relating to fire and casualty insurance companies whose certificate of authority to transact business in Kansas has been suspended.

Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: 003 cldr yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-124
Last Surveyed 23 June 2015
Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 06/23/2015: revised retention information, noted electronic format. ERP pending.

09/16/2015: revised retention period from "Retain until no longer useful, then destroy."

Retention/Disposition Schedule Entries

**SUPERSEDED BY OTHER
AGENCY-SPECIFIC
ENTRY**

331-000

Insurance Department

All Divisions

Articles of Incorporation - Foreign (Series 0004-331)

Articles of incorporation of foreign insurance companies authorized to do business in Kansas.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Maintained for convenience of reference. Retain until no longer useful, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-124

Last Surveyed 23 June 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: 06/23/2015: noted electronic recordkeeping format. ERP is pending.

09/16/2015: supersede into revised 0005-331, Articles of Incorporation and By-laws (Foreign & Domestic).

Retention/Disposition Schedule Entries

REVISED ENTRIES

625-001

Office of the Securities Commissioner

Broker-dealer and Investment Adviser Files (Series 0001-625)

Applications, financial statements, correspondence, certificates, and other documents required for broker-dealers and investment advisers to engage in business in Kansas.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive or no longer useful, transfer to offsite storage for 5 years, and then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 24 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: revised series title, description, disposition, and comments. Combined 0011-625, Investment Adviser files, into this series due to similarity in records and same retention.

Compliance and Enforcement Case Files (Series 0002-625)

Documents related to the investigation of possible violations of the Kansas Uniform Securities Act and regulations and the Kansas Loan Brokers Act, and to the subsequent actions taken by the Commissioner and staff.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 45-221(a)(11)

Comments: Retain in office 2 yrs after case is closed, transfer to offsite storage for 5 years, and then destroy unless agency in consultation with the State Archives staff determines case has historical significance; if so, then transfer to the State Archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-097

Last Surveyed 23 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: revised series title, description, and comments.

Exemption Notice Filing Records (Series 0013-625)

Notice forms, other than Form NF, or other documents filed by issuers to claim exemptions from registration as required by statutes and regulations.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 001 fisc yr

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-125

Last Surveyed 27 July 2000

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/28/2015: revised series title, description, and retention period. Combines 0010-625, Security Issuers Exemption Records, into this series due to similarity in records. Staff note they maintain a separate, permanent registration and exemption filing database as required by statute.

Land Sales Registration Records (Series 0004-625)

Applications, correspondence, description of lands, etc. relating to the registration of companies and individuals wishing to sell undeveloped land to Kansans pursuant to the Uniform Land Sales Practices Act (ULSPA). NOTE: the ULSPA was repealed as of July 1, 2014 and therefore this policy will be phased out when all records have been destroyed.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: All records can be destroyed July 1, 2019.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 24 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: revised description and retention and disposition information.

Legal Files - Administrative Subpoena (Series 0006-625)

Subpoenas issued by the Securities Commissioner or staff to obtain information to support investigations that do not require any additional legal action.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 008 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-108

Last Surveyed 24 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: revised description, shortened retention from 11 years to 8 by removing 3 additional years at offsite storage.

Legal files - Administrative (Series 0003-625)

Orders; MOUs; Letters of Caution; Interpretive Opinion and No-action letters and associated files issued by legal staff related to dispositions of compliance and enforcement cases, and opinion or no-action letters issued in response to requests for rulings on interpretations or enforcement determinations for proposed transactions or activities subject to provisions of the

Kansas Uniform Securities Act and regulations and the Kansas Loan Brokers Act.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: Retain until no longer useful, then transfer to the State Archives.

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-096

Last Surveyed 24 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: revised series title and description; combined 0005-625 Legal files - Administrative into this series as records are very similar and have same retention.

Mutual Fund and Unit Investment Trust Files (Series 0012-625)

Notice Filings on form NF, correspondence, and termination letters relating to the offer and sale of mutual fund and unit investment trust (UIT) securities.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 001 yr after termination or expiration

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-125

Last Surveyed 24 September 2015

Record Copy: Unknown

Remarks: Based upon conversation with agency Staff.
09/28/2015: revised description, retention, and disposition.

Securities Registration files (Series 0009-625)

Applications, correspondence, notices of sales, and supporting documentation relating to the registration of securities.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain in office until inactive or no longer useful, transfer to offsite storage for 5 years, then destroy except for Kansas issuers, which will be transferred to the State Archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 24 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: revised series title, description, and comments.

Retention/Disposition Schedule Entries

625-001

Office of the Securities Commissioner

Investment Advisor Files (Series 0011-625)

Applications, financial statements, correspondence, certificates, etc. relating to the licensing process for investment advisors to trade securities in Kansas.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain in office until individual investment advisor's termination, transfer to the records center for 5 years, then destroy except for Kansas investment advisers which will be transferred to the archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-125

Last Surveyed 25 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: supersede this entry into revised 0001-625, Broker/dealer and investment adviser files.

Legal Files - Administrative (Series 0005-625)

Original orders, correspondence, etc. relating to agency legal action taken in investigations of possible violations of statutes and regulations regarding the issuance of financial securities.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain in office 8 years, then transfer to the archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-108

Last Surveyed 26 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: supersede this entry into revised 0003-625, Legal files - Administrative.

Security Issuers Exemption Records (Series 0010-625)

Documents regarding requests by individual issuers of securities for exemptions from specific commission regulations and actions taken by the agency in response.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 24 September 2015

Record Copy: Unknown

Remarks: 09/28/2015: supersede this entry into revised 0013-625, Exemption Notice Filing records.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 22, 2015**

1. **Agency:** Kansas Corporation Commission
2. **Records Officer:** Dawn Dubach **Phone:** 271-3173
3. **Appraising Archivist(s):** Marcella Wiget
4. **Date of Appraisal:** September 2015
5. **a) Total records – No. of Series:** 12
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 10
d) Obsolete schedule entries – No. of Series: 2 (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:**

Discussions amongst KCC staff; archives staff discussions with agency project manager Cathy Rinehart.

9. **Appraisal Narrative:**

The Kansas Corporation Commission is working on an electronic system, Kansas Trucking Regulatory Assistance Network (KTRAN), to manage all records related to motor carrier transportation in the state. The agency is therefore updating its retention schedule to reflect current recordkeeping practices. All electronic records are short-term.

Retention/Disposition Schedule Entries

REVISED ENTRIES

143-040

State Corporation Commission Transportation Division

Annual Reports - Motor Carriers (Series 0221-143)

Annual reports submitted to the Kansas Corporation Commission by motor carriers authorized to operate in Kansas for the transportation of household goods.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 002 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-150

Last Surveyed 16 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: revised retention and disposition information, removed comments, noted electronic recordkeeping format. Will be stored in KTRAN system.

Driver Qualification Waivers (Series 0430-143)

Waivers submitted by drivers to the Kansas Corporation Commission providing for drivers with certain physical disabilities to qualify for a CDL license.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-150

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: revised retention and removed comments, noted electronic recordkeeping format. Will be stored in KTRAN system.

Insurance Cancellation Orders (Series 0428-143)

Orders issued to suspend, revoke or reinstate Kansas Corporation Commission (KCC) authority regarding insurance on file with the KCC.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-150

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: removed comments, noted electronic recordkeeping format. Will be stored in KTRAN system.

Kansas Corporation Commission (KCC) Authority Cancellations (Series 0427-143)

Authority cancellations for name change by request of the motor carrier and statute change.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-150

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: revised retention period, removed comments, noted electronic recordkeeping format. Will be stored in KTRAN system.

Motor Carrier Safety Class Attendance Sheets (Series 0426-143)

Lists recording each person who attended a safety class and the date attended.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-150

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: revised retention, removed comments, and noted electronic recordkeeping format. Will be stored in KTRAN system.

Motor Carrier Section

Active Motor Carrier Insurance (H. E. & K.) (Series 0219-143)

Certificates of insurance and cancellations received from companies insuring motor carriers have active authority to operate in Kansas.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-083

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: revised retention and disposition, removed comments, noted electronic recordkeeping format. Will be stored in KTRAN system.

Motor Carrier Applications - Dismissed or Denied (Series 0226-143)

Applications and other documents related to motor carriers seeking authority to operate in Kansas that were dismissed or denied by the Commission.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Retain 45 days after dismissed or denied, then destroy.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-136

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/15/2015: revised retention period and disposition, noted electronic recordkeeping format. Records will be stored in KTRAN system.

Safety and Compliance Section

Motor Carrier Complaint Files (Series 0229-143)

Complaints received by the Kansas Corporation Commission regarding some problem involving a motor carrier or railroad authorized to operate in Kansas.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 002 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-136

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015 mwiget: revised series title, retention, disposition, and noted electronic recordkeeping format. Records will be retained in KTRAN system.

Motor Carrier Vehicle Inspections and Compliance Reviews (Series 0234-143)

Reports related to vehicle inspections and motor carrier audits under a joint program with the Kansas Highway Patrol and the Federal Bureau of Motor Carrier Safety.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 009 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-150

Last Surveyed 20 December 2006

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: revised series title, retention and disposition, and noted electronic recordkeeping format. Records will be retained in KTRAN system.

Tariff Files (Series 0242-143)

Rate schedules submitted by carriers, informal applications and other documents submitted to the Kansas Corporation Commission by household goods and passenger motor carriers authorized to operate in Kansas.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 002 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-136

Last Surveyed 15 September 2015

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/16/2015: revised series description, retention period, disposition, and noted electronic recordkeeping format. Records will be retained in KTRAN system.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 22, 2015**

1. **Agency:** Kansas Dept. of Health & Environment – Environment Division
2. **Records Officer:** Michael Smith **Phone:** 785-296-1333
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Marcella Wiget, Matt Veatch
4. **Date of Appraisal:** April – July 2015
5. **a) Total records – No. of Series:** 7
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 7
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:** 4
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Review of records, discussion with agency staff and records officer, Michael Smith, and input from previous State Records Board meetings.
9. **Appraisal Narrative:**

Based upon appraisal it was determined that some records did not have long term archival value and that definitive retention periods could be defined or triggering events could be added to clarify the retention. Additionally the descriptions were clarified to accurately reflect the records.

Some of these are resubmissions with changes based upon feedback from previous State Records Board meetings.

Retention/Disposition Schedule Entries

REVISED ENTIRES

264-002

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

Emergency Preparedness Files (Series 0269-264)

Documents generated by or relative to the department's radiological emergency preparedness and response plan.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Until Plan is Superseded

Disposition: See Comments

Restrictions: None

Comments: Contact the State Archives for appraisal. If not accepted, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-084

Last Surveyed 17 May 1989

Record Copy: Paper

Remarks: 06/09/2015: Revised retention and bureau.

Environmental Surveillance program Files (Series 0270-264)

Documents generated by or relative to the department's radiation environmental surveillance programs that are compiled into an annual report that is available on the bureau website.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 001 cldr year post after publication

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-084

Last Surveyed 17 May 1989

Record Copy: Paper

Remarks: 06/09/2015: Per agency staff updated title, retention and comments

2015/09/24: Per agency staff in response to SRB comments revised description to clarify content and presentation medium. Revised retention period.

Exemption for Radioactive Material Transportation Files (Series 0277-264)

Exemptions to Kansas Department of Transportation requirements issued to allow the shipment of radioactive materials through Kansas. Notification of these exemptions is provided to the Adjutant General- Division of Emergency Management.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 cldr years

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-084

Last Surveyed 17 May 1989

Record Copy: Paper

Remarks: 2015/06/12: Revised Agency, and retention from See Comments. Follow-up with agency to determine if supersede to 0274-264 is appropriate.

2015/09/24: Per KDHE staff clarified title and description to accurately reflect records content. Modified retention/disposition in accordance with agency practices.

Radioactive Materials License Files (Series 0410-264)

Documents relating to the radioactive material license applications, approval/denial forms, inspection reports, and compliance records.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs

Disposition: Archives

Restrictions: KSA 65-5701 et seq

Schedule Authority: Agency Schedule

KAR Number 53-2-188

Last Surveyed 28 April 1989

Record Copy: Paper

Remarks: 06/09/2015: Revised Subagency and retention

09/21/2015: Revised retention from 007 cldr years per email from DReno @ KDHE

Radon Activity Files (Series 0274-264)

Documents arranged by site location that are generated by or relative to the agency's radon activities including: correspondence, guidance, survey results, investigation reports, and related documents.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr years

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-084

Last Surveyed 19 May 1989

Record Copy: Paper

Remarks: 06/09/2015: updated title, description and retention from "No longer useful"

Retention/Disposition Schedule Entries

264-002

**Department of Health and Environment
Environment Division**

Bureau of Waste Management

Tipping Fee Files (Series 0597-264)

Documents relating to the administration and collection of tipping fees assessed on each ton of solid waste disposed of at any solid waste disposal area. NOTE: Waste Collection Truck

Tipping

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-104

Last Surveyed 28 April 2015

Record Copy: Paper

Remarks: 05/04/2015 jhammersch: Clarified the Description to match business practices as well include explanatory information on industry terminology.

Retention/Disposition Schedule Entries

264-002

**Department of Health and Environment
Environment Division**

Bureau of Water

Consulting Engineers' Reports (Series 0514-264)

Reports submitted by consulting engineers to the department on behalf of water treatment plants prior to major changes in the treatment process that provide a historical summary of plant operations.

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 15 May 2015

Record Copy: Paper

Remarks: 2015/06/12: Revised Retention from 015 cldr years.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 22, 2015**

1. **Agency:** Kansas Dept. of Health & Environment – Health Division
2. **Records Officer:** Michael Smith **Phone:** 785-296-1333
3. **Appraising Archivist(s):** Joanna Hammerschmidt, Marcella Wiget, Matt Veatch
4. **Date of Appraisal:** April – July 2015
5. **a) Total records – No. of Series:** 3
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 3
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:** 0
8. **Appraisal Based Upon:**

Review of records, discussion with agency staff and records officer, Michael Smith, and input from previous State Records Board meetings.
9. **Appraisal Narrative:**

Based upon appraisal it was determined that some records did not have archival value and that definitive retention periods could be defined with triggering events added to clarify the retention. Additionally the descriptions were clarified to accurately reflect the records. The Bureau of Disease Control & Prevention schedules are housed in the newly endorsed Epitrax Electronic Recordkeeping Plan.

Retention/Disposition Schedule Entries

REVISED ENTRIES

264-003

**Department of Health and Environment
Health Division
Bureau of Disease Control & Prevention**

AIDS Disease Registry (Series 0246-264)

Index of patient files used to maintain surveillance of the AIDS disease in the state of Kansas

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 005 cldr yrs post final contact

Disposition: See Comments

Restrictions: KSA 45-221(a)(1)(3)(30) and HIPAA Privacy Rule, 45 CFR Parts 160 and 164

Comments: Contact State Archives for appraisal - if not accepted then destroy

Schedule Authority: Agency Schedule

KAR Number 53-2-084

Last Surveyed 07 July 1989

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 2015/06/12: Revised retention from see comments

08/14/2015 jhammersch:

Active Tuberculosis (TB) Case Management Files (Series 0743-264)

Files containing various notes, records, and other documents related to the direct case management activities of an active case, including identifying and confidential medical information.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 050 cldr yrs

Disposition: Destroy

Restrictions: KSA 45-221(a)(1)(3)(30) and HIPAA Privacy Rule, 45 CFR Parts 160 and 164

Schedule Authority: Agency Schedule

KAR Number 53-2-128

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 2015/06/12: Removed comments - Need ERP

Retention/Disposition Schedule Entries

264-003

**Department of Health and Environment
Health Division**

Bureau of Family Health

Local Agencies Payment Files (Series 0761-264)

Payments vouchers, reports, and other records documenting payments to local county health departments.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 004 fisc yrs

Disposition: Destroy

Restrictions: None

Comments: Retention Period is to meet federal requirements.

Schedule Authority: Agency Schedule

KAR Number 53-2-135

Last Surveyed 08 January 2003

Record Copy: Paper/Electronic

Remarks: 2015/06/12: Revised Agency and Retention Period

Housekeeping Changes Since 12 August 2015

16 October 2015

Housekeeping Edit

039-001
Department for Aging and Disability Services
Office of the Secretary

Cost Report Data (Series 0350-629)
Description: Statistical and financial data accumulated by the staff and used to prepare the annual Cost Reports.

143-040
State Corporation Commission
Transportation Division
Motor Carrier Section

"No Find" Motor Carriers Insurance (H, E, BMC9IX, K AND BMC-35) (Series 0218-143)
Description: Insurance forms H, E, BMC9IX, and cancellations form K and BMC-35 received from companies insuring motor carriers not having active authority to operate in Kansas.
Change: Noting electronic recordkeeping format for short-term electronic records.-- mwiget, 16 September 2015

159-001
Department of Credit Unions

Call Reports (Series 0006-159)
Description: Quarterly and semi-annual reports of condition surveys completed by the credit unions and filed electronically with the NCUA and used to monitor their financial condition.
Change: Comment information obsolete-- mcole, 16 October 2015

Liquidated Credit Unions Files (Series 0018-159)
Description: Minutes, loan records, ledgers, etc. received from a dissolved credit

union and transferred to the agency.

Change: removed record center transfer comments-- mcole, 16 October 2015

Subject Files (Series 0026-159)

Description: A wide variety of documents relating to the administration of the agency.

Change: Comment information updated-- mcole, 16 October 2015

Obsolete

143-040

State Corporation Commission

Transportation Division

Highway Watch Class Sign-In Sheets (Series 0429-143)

Description: Lists tracking students in Highway Watch Classes throughout the state.

Change: Agency staff indicate this series is no longer created.-- mwiget, 16 September 2015

Motor Carrier Section

Applications - Transportation (Series 0223-143)

Description: Applications of various types filed with the Kansas Corporation Commission by all regulated common carriers for authorization to operate in Kansas.

Change: Agency staff indicate this series is no longer created.-- mwiget, 16 September 2015

288-002

Kansas State Historical Society

Library and Archives Division

Accession Log (Series 0118-288)

Description: Log listing the daily accession of records transferred to the state records center from other state agencies.

Change: No longer operate a state records center.-- mwiget, 16 September 2015

625-001

Office of the Securities Commissioner

Securities Issuers Annual Reports (Series 0008-625)

Description: Copies of annual financial reports and prospecti of companies and individuals licensed to issue mutual fund securities in the state of Kansas.

Change: The regulation that required these records, KAR 81-9-1, was revoked in 1996, so there are no more records in this series.-- mwiget, 28 September 2015

Superseded series

159-001

Department of Credit Unions

Accounts Payable Records (Series 0001-159)

Description: Documents related to payment for goods and services: vouchers, correspondence, invoices, ledger books and cards, etc.

Change: Supersede to 0001-000 on general schedule.-- mwiget, 15 October 2015

Accounts Receivable Records (Series 0002-159)

Description: Documents related to the collection of payments due the agency: copies of invoices, correspondence, DA forms 32, etc.

Change: 10/16/2015 mcole: Supersede to 0002-000 on general schedule.-- mcole, 16 October 2015

Accounts Receivable Records (Series 0002-159)

Description: Documents related to the collection of payments due the agency: copies of invoices, correspondence, DA forms 32, etc.

Change: Supersede to 0002-000 on general schedule.-- mcole, 16 October 2015

Accounts Receivable Records (Series 0002-159)

Description: Documents related to the collection of payments due the agency: copies of invoices, correspondence, DA forms 32, etc.

Change: Supersede to 0002-000 on general schedule.-- mcole, 16 October 2015

Budget Preparation Files - Annual (Series 0004-159)

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

Change: Supersede to 0016-000 on general schedule.-- mcole, 16 October 2015

Budget Preparation Files - Annual (Series 0004-159)

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

Change: Supersede to 0016-000 on general schedule.-- mcole, 16 October 2015

Budget Requests and Appeals - Annual (Series 0005-159)

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

Change: Supersede to 0017-000 on general schedule.-- mcole, 16 October 2015

Budget Requests and Appeals - Annual (Series 0005-159)

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

Change: Supersede to 0017-000 on general schedule.-- mcole, 16 October 2015

Contracts (Series 0008-159)

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

Change: Supersede to 0026-000 on general schedule.-- mcole, 16 October 2015

Contracts (Series 0008-159)

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

Change: Supersede to 0026-000 on general schedule.-- mcole, 16 October 2015

Correspondence - Policy Related (Series 0009-159)

Description: Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.

Change: Supersede to 0027-000 on general schedule.-- mcole, 16 October 2015

Correspondence - Policy Related (Series 0009-159)

Description: Incoming and outgoing letters and memoranda that state or form the

basis for policy, set precedent, or record important events in the operational and organizational history of the agency.

Change: Supersede to 0027-000 on general schedule.-- mcole, 16 October 2015

Correspondence - Routine (Series 0010-159)

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

Change: Supersede to 0028-000 on general schedule.-- mcole, 16 October 2015

Correspondence - Routine (Series 0010-159)

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

Change: Supersede to 0028-000 on general schedule.-- mcole, 16 October 2015

Employee Personnel Files (Series 0012-159)

Description: Documents associated with employment of specific personnel: employee evaluation forms, applications for employment, INS Residence Status forms, and other personnel materials.

Change: Supersede to 0036-000 on general schedule.-- mcole, 16 October 2015

Employee Personnel Files (Series 0012-159)

Description: Documents associated with employment of specific personnel: employee evaluation forms, applications for employment, INS Residence Status forms, and other personnel materials.

Change: Supersede to 0036-000 on general schedule.-- mcole, 16 October 2015

Inventory Records - Non-Expendable Property (Series 0016-159)

Description: Records related to capital equipment inventory management: DA forms 80 thru 83, computer reports from the Department of Administration, internal documents, correspondence, etc.

Change: Supersede to 0061-000 on general schedule.-- mcole, 16 October 2015

Inventory Records - Non-Expendable Property (Series 0016-159)

Description: Records related to capital equipment inventory management: DA forms 80 thru 83, computer reports from the Department of Administration, internal documents, correspondence, etc.

Change: Supersede to 0061-000 on general schedule.-- mcole, 16 October 2015

Kansas Quality Management (KQM) Files (Series 0017-159)

Description: Variety of documents relating to the planning and implementation of KQM for the agency.

Change: Supersede to 0063-000 on general schedule.-- mcole, 16 October 2015

Kansas Quality Management (KQM) Files (Series 0017-159)

Description: Variety of documents relating to the planning and implementation of KQM for the agency.

Change: Supersede to 0063-000 on general schedule.-- mcole, 16 October 2015

Minutes - Council Meetings (Series 0019-159)

Description: Proceedings of the advisory board appointed by the governor.

Change: Supersede to 0075-000 on general schedule.-- mcole, 16 October 2015

Minutes - Council Meetings (Series 0019-159)

Description: Proceedings of the advisory board appointed by the governor.

Change: Supersede to 0075-000 on general schedule.-- mcole, 16 October 2015

Payroll Deduction Authorization Records - General (Series 0021-159)

Description: Documents used to authorize various deductions from an employee's pay: insurance enrollments, GHI enrollments, KPERS enrollments, KPERS Annual Account Statements, dues deduction forms, etc.

Change: Supersede to 0078-000 on general schedule.-- mcole, 16 October 2015

Payroll Deduction Authorization Records - General (Series 0021-159)

Description: Documents used to authorize various deductions from an employee's pay: insurance enrollments, GHI enrollments, KPERS enrollments, KPERS Annual Account Statements, dues deduction forms, etc.

Change: Supersede to 0078-000 on general schedule.-- mcole, 16 October 2015

SHaRP Reports (Series 0022-159)

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

Change: Supersede to 0102-000 on general schedule.-- mcole, 16 October 2015

SHaRP Reports (Series 0022-159)

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

Change: Supersede to 0102-000 on general schedule.-- mcole, 16 October 2015

STARS Reports: Daily Financial (Series 0023-159)

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

Change: Supersede to 0104-000 on general schedule.-- mcole, 16 October 2015

STARS Reports: Daily Financial (Series 0023-159)

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

Change: Supersede to 0104-000 on general schedule.-- mcole, 16 October 2015

STARS Reports: Monthly Financial (Series 0024-159)

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

Change: Supersede to 0105-000 on general schedule.-- mcole, 16 October 2015

STARS Reports: Monthly Financial (Series 0024-159)

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

Change: Supersede to 0105-000 on general schedule.-- mcole, 16 October 2015

STARS Reports: Yearly Financial (Series 0025-159)

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

Change: Supersede to 0106-000 on general schedule.-- mcole, 16 October 2015

STARS Reports: Yearly Financial (Series 0025-159)

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

Change: Supersede to 0106-000 on general schedule.-- mcole, 16 October 2015

Travel Request and Authorization Records (Series 0027-159)

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

Change: Supersede to 0118-000 on general schedule.-- mcole, 16 October 2015

Travel Request and Authorization Records (Series 0027-159)

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

Change: Supersede to 0118-000 on general schedule.-- mcole, 16 October 2015

Vouchers - Purchase (Series 0028-159)

Description: Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA 120.

Change: Supersede to 0125-000 on general schedule.-- mcole, 16 October 2015

Vouchers - Purchase (Series 0028-159)

Description: Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA 120.

Change: Supersede to 0125-000 on general schedule.-- mcole, 16 October 2015

Vouchers - Travel (Series 0029-159)

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

Vouchers - Travel (Series 0029-159)

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

Change: Supersede to 0127-000 on general schedule.-- mcole, 16 October 2015

264-002

Department of Health and Environment

Environment Division

Bureau of Radiation

Right to Know - Administrative Files (Series 0398-264)

Description: Wide variety of documents related to general administration of the Right to Know Program: financial records, personnel records, travel records, and other documents.

625-001

Office of the Securities Commissioner

Legal Files - Criminal (Series 0007-625)

Description: Correspondence, court filings, etc. relating to investigations of possible violations of statues & regulations regarding issuance of financial securities that result

in the filing of criminal charges.

Change: Supersede to 0071-000 on the general schedule for litigation case files.--
mwiget, 28 September 2015

KANSAS STATE RECORDS BOARD
ELECTRONIC RECORDS COMMITTEE
PROPOSED RE-CHARTER – DRAFT VERSION 0.2.2
OCTOBER 22, 2015

PURPOSE

The Electronic Records Committee provides advice and recommendations to the State Records Board and the State Archivist on issues related to managing, preserving, and ensuring ongoing access to electronic records created by Kansas state and local government.

RESPONSIBILITIES

- Develops and submits relevant electronic records management and digital preservation policies, guidelines, and best practices to the State Records Board for consideration.
- Reviews and endorses Electronic Recordkeeping Plans for electronic records that have been designated by the State Records Board as requiring long-term (10 or more years) retention.
- Reviews recommendations, prior to submission to the State Records Board for approval, developed by the State Archivist in accordance with K.S.A. 45-414 for preservation processes to ensure the authenticity of Kansas government electronic records.
- Promotes education and awareness of digital preservation standards and practices across all branches and levels of government in the state of Kansas.

MEMBERSHIP

The Electronic Records Committee shall be composed of seven (7) voting members with electronic records management and digital preservation domain knowledge as follows:

- State Archivist (Chair)
- County government representative
- State agency records officer representative
- Office of Information Technology Services (OITS) representative
- Regents institution archives/records management representative
- Legal community representative (state/local government or regents institution)
- Information technology staff representative (state/local government or regents institution)

PROCEDURES

- The chair will convene quarterly meetings of the committee to discuss electronic records management issues facing state and county government.
- Under the chair's oversight, the Kansas Historical Society will provide administrative and technical support for the creation, dissemination, retention, and disposition of committee meeting agendas, minutes and supporting materials.
- All meetings will follow the requirements of the Kansas Open Meetings Act (K.S.A. 75-4317 et seq.).