State Records Board  
Quarterly Meeting  
October 12, 2007

Acting under the provisions of the Kansas Statutes Annotated 45-404 and 75-3504, the State Records Board met October 12, 2007 in the Executive Conference Room of the Kansas State Historical Society to consider requests for approval of retention and disposition schedules and of additions to or revisions of such schedules for the following agencies:

- Kansas Department of Labor (KDOL), Workers’ Compensation Division and Employment Security Division Electronic Recordkeeping Plan
- Department of Revenue (KDOR)
- Department of Transportation (KDOT)
- Juvenile Justice Authority (JJA) – Division of Printing
- Board of Nursing

In attendance were Theresa Bush, chair, Kansas State Attorney General’s Office; Matthew Veatch, State Archivist, Kansas State Historical Society; Dr. Patricia Michaelis, Director, Library and Archives Division, Kansas State Historical Society; Bill Sowers, Kansas State Library, Scott Leonard, Electronic Records Specialist, Kansas State Historical Society; Letha Johnson, Archivist, Kansas State Historical Society; Jesse Romo, Kansas Department of Transportation; Richard Thomas, Kansas Department of Labor, Workers’ Compensation; Jose Castillo, Kansas Department of Labor, Workers’ Compensation; Lesa Laverne, Kansas Department of Labor; Paul Bicknell, Kansas Department of Labor; Bob Lierz, Kansas Department of Labor; Darren Root, Kansas Department of Labor; Steve Markley, Kansas Department of Labor; and Kirsten Hanna, Administrative Assistant, Kansas State Historical Society;

Chairwoman Bush opened the meeting with introductions and welcomed visitors to the meeting. The board decided to move the approval of the prior meeting minutes to the bottom of the agenda.

**Kansas Department of Labor, Workers’ Compensation Division**

The board discussed a revised retention schedule entry for Non-litigated Claims Files. KDOL proposed reducing the retention period from 50 years to 25. Mr. Veatch asked agency representatives the reason for the revision. They indicated that the retention period for this record series recently had been changed from permanent to 50 years. After further analysis by KDOL staff, they determined that 25 years would meet administrative and legal requirements. Ms. Bush asked if this was a business use decision; KDOL staff said that they did base their decision on business needs. The Board recommended changing the comments on litigated claims to match comments on non-litigated claims. The division also said they will not scan the records. Dr. Michaelis moved to approve the schedule, changing the retention to read: Retain 25 calendar years, and the comment to read: Retain records for 25 years, then destroy. Mr. Sowers seconded the motion. The schedule was approved as revised.
Kansas Department of Labor, Employment Security Division

Mr. Leonard informed the board that the electronic recordkeeping plan on the agenda had been endorsed by the Electronic Records Committee.

The board discussed the proposed Employment Security Division schedule, which was presented in the form of a spreadsheet without much of the detail usually included in draft schedules. Board members decided to table the schedule until the next meeting, and offered several suggestions to the agency and KSHS staff on ways to improve the document:

- Mr. Veatch suggested that the agency eliminate the use of the term “indefinitely” as a retention period. The retention period should be stated as a time period or the word “permanent” should be used for those series that the agency planned to retain in perpetuity.
- Ms. Bush suggested that access restriction statutes be included in the schedule.
- Several board members requested that series descriptions be included in the schedule, if at all possible.

Mr. Leonard, Mr. Markley, and other Employment Security Division staff agreed to develop a revised version of the draft schedule for presentation to the board in January 2008.

Kansas Department of Transportation

Mr. Romo, KDOT’s records officer, explained to the board that the Financial Model spreadsheet under is used to forecast cash flow and fund balances for the agency. Mr. Leonard indicated that the Electronic Records Committee had endorsed the electronic recordkeeping plan for the Financial Model. Mr. Veatch said that KSHS staff hoped to put snapshots of superseded versions of the Financial Model spreadsheets into the KSPACe digital repository. Dr. Michaelis moved to approve the schedule; Mr. Sowers seconded the motion. The schedule was approved.

Department of Revenue

Mr. Leonard informed the board that there were two series in this schedule instead of only one as indicated on the agenda. The retention on the first series, 002-565 Label Approval Files, would be changed to one calendar year, then destroy. For the second series, 0051-565 Traffic Violations (non-serious), the retention period would be changed to 10 calendar years, then destroy. Mr. Veatch moved that the changes in both series be approved. Mr. Sowers seconded the motion and the schedule was approved.

Juvenile Justice Authority

Ms. Johnson suggested that KSHS staff prepare a General Schedule entry for Employee Drug Test Records – the JJA series under consideration – for the next State Records Board meeting. Mr. Veatch thought that was a good idea. Ms. Bush suggested adding a restriction for personal privacy, so the restrictions would read: K.S.A. 45-221(a)(3)(4)(30). Mr. Sowers moved that the schedule be approved. Dr. Michaelis seconded the motion and it was approved.
Department of Administration – Printing Division

The division submitted a list of obsolete series and two schedule revisions. The obsolete series represented records that had been superseded by an automated data collection system. Dr. Michaelis moved approval of the schedule revisions. Mr. Veatch seconded the motion and the schedule was approved.

Board Of Nursing

The agency submitted two obsolete or superseded series. Mr. Veatch asked whether the board needed to take action on obsolete series. He said he believed the board should acknowledge the changes. Mr. Veatch moved to approve the changes to the schedule. Mr. Sowers seconded the motion. The schedule was approved.

General Schedule State Agencies

The board considered a proposed general schedule entry for state employee exit interviews. Mr. Leonard reported that former KSHS staff member, Cynthia Laframboise, had talked with several agencies and recommended the new schedule entry. Ms. Bush suggested that the records might constitute a subset of personnel files. Mr. Veatch added that personnel files were usually kept longer than the proposed 5-year retention period. Ms. Johnson confirmed that they were required to be maintained 62 years after the employee left state service. She also pointed out that these records could be kept with personnel files but sometimes were maintained separately. Ms. Bush observed that copies might be kept in two places. Ms. Johnson said that separate files were frequently kept to track why individuals left. Mr. Veatch suggested the schedule entry be tabled to give KSHS staff time to do additional research. The board agreed to table the proposed schedule entry.

General Schedule for Local Governments

The board considered an addition to the local government general schedule for Garnishment Files. Mr. Leonard indicated that KSHS staff had received a question from a county clerk regarding garnishment files and noted that the retention was based on entries approved for the state Division of Accounts and Reports. Dr. Michaelis said that the records were usually kept for seven years after the garnishment. Ms. Bush said that again, these records could and probably would be put in the employee’s file. Dr. Michaelis wanted clarification on whether or not the 7-year retention was in fiscal years after the garnishment was terminated. Mr. Veatch noted that 7 years seemed to be a long period of time and questioned the board as to whether or not they thought it was too long. He added that it seemed like a long period for fiscal records, and didn’t want to make local governments keep them longer than they needed to. Ms. Bush said she felt like the schedule was not specific enough on the retention conditions. Mr. Leonard and Mr. Veatch suggested tabling the schedule until Ms. Laframboise could be consulted. The board agreed and the schedule was tabled.
Electronic Recordkeeping Plan (ERKP) Template

Mr. Leonard and Mr. Veatch summarized the changes made to the ERKP template since the board last discussed it. They indicated that the revised version represented an attempt to more concisely elicit information from an agency on the issues related to preservation of and long term access to an electronic information system. Ms. Bush commented that she felt the document was much more workable. Dr. Michaelis moved that the Electronic Recordkeeping Plan template be approved. Mr. Veatch seconded and the motion carried.

Minutes

Ms. Bush pointed out that page one of the minutes from the previous meeting needed to clarify that the board correspondence via email was only with KSHS staff, unless setting up a time to meet and that substantive matters should not be discussed among board members via email. Ms. Bush discussed in more detail the open meetings statute in connection with corresponding via email. She observed that board members could respond to staff email messages or meet without quorum to correct syntax or grammar, but reemphasized that email could not be exchanged between board members to discuss substantive board business. Mr. Veatch moved to approve the minutes with two changes and Mr. Sowers seconded the motion. The minutes were approved.

Annual Report

Dr. Michaelis recommended that the State Records Board Annual Report be placed on the KSHS web site and that only a letter be sent to agencies letting them know of the report’s availability. Mr. Leonard suggested putting the report in KSPACe and linking to it from the KSHS web site. The board discussed several minor revisions to the board procedures included in the annual report. Dr. Michaelis moved to approve the Annual Report with the changes to board procedures discussed by the board. Mr. Veatch seconded the motion and the report was approved as revised.

New Business

Mr. Leonard said that he had been in Wichita and met with Doug King, a county records manager working on a schedule on the Sedgwick County Department on Aging. Leonard said that King was going to submit that schedule as a general schedule for local governments. In the case of Sedgwick County, there are three counties that have joined together, overseen by the County Commission and that they may run into issues that arose between groundwater districts. He asked if this was something over which the State Records Board had authority. Ms. Bush said that no, these entities are not counties. She said counties are integral in their creation, but once created, weren’t part of the county anymore. She added that some agencies on aging are private, not under any county governance. Bush added that some were very public, some operated entirely by the county and that they’d have to see which ones the board was dealing with. Some agencies are private, some part of the county and many in-between. The proposed schedule would be for entities that are part of county government, or that want to be county entities.
The next meeting for the State Records Board was scheduled for January 10, 2008 at 8:30 a.m. Dr. Michaelis moved to adjourn. Mr. Veatch seconded the motion. The meeting was adjourned.

Respectfully Submitted,

Matthew Veatch, State Archivist
Kansas Historical Society