

**KANSAS STATE RECORDS BOARD  
RECORDS APPRAISAL REPORT FOR  
REVISION TO  
RETENTION/DISPOSITION SCHEDULE  
April 8, 2010**

1. **Agency:** Kansas Department of Revenue – Division of Taxation

2. **Records Officer:** Christy Weiler                      **Phone:** 291-3570

3. **Appraising Archivist:** Scott Leonard

4. **Date of Appraisal:** February 17, 2010

5. **Total records - No. of Series:** 1

6. **Archival/Permanent records - No. of Series:** 0

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

**No. of Series:** 0

8. **Appraisal Based Upon:**

Approved retention schedule.

9. **Appraisal Narrative:**

The records officer from the Dept. of Revenue contacted the Historical Society requesting a change in the retention of this series. The request was to lengthen the retention period from five tax years to seven.

## **Retention/Disposition Schedule Entries**

**565-007**

**Department of Revenue**

**Division of Taxation**

**Customer Relations**

**International Fuel Tax Agreement (IFTA) Reports** (Series 0196-565)

Reports of IFTA taxes filed by truckers required by Kansas Department of Revenue (KDOR).

**Entry Status:** Ready for SRB

**Retention Period:** 7 tax yrs

**Disposition:** Destroy

**Restrictions:** KSA 75-5133

**Record Copy:** Unknown

**Remarks:** 2/17/10: Lengthened retention period from 5 tax years to 7.



## **Retention/Disposition Schedule Entries**

**521-001**

**Department of Corrections**

**Central Office**

**Offender Payments to Parole (Series Unknown)**

Monthly supervision fee payments and positive urinary analysis (UA) payments made by offenders under KS Department of Corrections community supervision (parole). These documents are filed by staff in Central Office.

**Entry Status:** Ready for SRB

**Retention Period:** 005 Fiscal Years

**Disposition:** Destroy

**Restrictions:** None

**Record Copy:** Unknown

**Remarks:** 4/1/10 -- New series

## Retention/Disposition Schedule Entries

**039-004**

**Department on Aging  
Aging Policy, Planning, and Advocacy  
Home and Community Based Services**

**Home Community Based Services, Frail and Elderly (HCBS/FE) Assistive Technology Request (Series Unknown)**

Assistive Technology requests and documentation for KDOA approval or denial for the Area Agencies on Aging (AAAs) to purchase items for the HCBS/FE customer.

**Entry Status:** Ready for SRB

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Retain two fiscal years in office, then transfer to records center for five fiscal years, then destroy.

**Schedule Authority:** Agency

**Last Surveyed** 16 October 2008

**Record Copy:** Unknown

**Remarks:** New entry.

**Home Community Based Services, Frail and Elderly (HCBS/FE) Waiting List (Series Unknown)**

Internal records documenting the Waiting List process, monitoring, and tracking for all individuals placed on the waiting list.

**Entry Status:** Ready for SRB

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Retain in office for two fiscal years, transfer to the records center for five fiscal years, then destroy.

**Schedule Authority:** Agency

**Last Surveyed** 16 October 2008

**Record Copy:** Unknown

**Remarks:** New entry.

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1. **Agency:** Kansas Department on Aging
2. **Records Officer:** Kathleen Dudley                      **Phone:** 296-2917
3. **Appraising Archivists:** Marcella Wiget, Bob Knecht, Matt Veatch, Pat Michaelis, Scott Leonard
4. **Date of Appraisal:** April 1, 2010
5. **Total records - No. of Series:** 3
6. **Archival/Permanent records - No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives:**  

**No. of Series:** 0

8. **Appraisal Based Upon:**

Approved retention schedule.

9. **Appraisal Narrative:**

The Department on Aging requested a revision to the agency's current retention and disposition schedule. Two of the three series are new series requested as additions to the schedule.

The third series was reappraised as part of the NHPRC grant project; KSHS staff has reappraised the series to no longer have enduring value, thereby requesting a change in disposition from "Retain until no longer useful, then transfer to the archives for purging" to "Destroy."

## Retention/Disposition Schedule Entries

**039-004**

### **Department on Aging Aging Policy, Planning, and Advocacy**

**Program for All-inclusive Care for the Elderly (PACE) Client records** (Series Unknown)

**Entry Status:** Ready for SRB

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** 45 CFR 164.500 et seq., KSA 45-221(a)

**Comments:** Active files will remain on site as long as an individual is enrolled in the PACE program. Once disenrolled (including death) the files will be moved off site for 6 years, then destroyed.

**Record Copy:** Unknown

**Remarks:** New entry.

### **Aging Network Specialist**

**Pre-Admission Assessment Files** (Series 0075-039)

Correspondence, notes, and other documents relating to the agency's involvement with the state program that requires nursing home applicants to have their needs assessed prior to admission.

**Entry Status:** Ready for SRB

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Retain 2 years in office, transfer to the State Records Center and retain 5 years, then destroy

**Record Copy:** Unknown

**Remarks:** 4/1/10 -- Reappraised as part of the MPLP grant; changed disposition from "Archives" to "Destroy" and set retention period.

### **Home and Community Based Services**

**Home Community Based Services, Frail and Elderly (HCBS/FE) Notification of Waiver Opening (NOWO)** (Series Unknown)

Records related to the notice of service implementation.

**Entry Status:** Ready for SRB

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Retain in office for two fiscal years, transfer to the records center for five fiscal years, then destroy.

**Record Copy:** Unknown

**Remarks:** New entry.

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1. **Agency:** General Retention Schedule for Local Health Departments

2. **Records Officer:** N/A

3. **Appraising Archivist:** Scott Leonard

4. **Date of Appraisal:** January 9, 2010

5. **Total records - No. of Series:** 2

6. **Archival/Permanent records - No. of Series:** 0

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

**No. of Series:** 0

8. **Appraisal Based Upon:**

Approved retention schedule.

9. **Appraisal Narrative:**

The staff from the Sedgwick County Records Management program requested the addition of these two series to cover records related to the Federal Health Portability and Accountability Act of 1996. The proposed series have been reviewed and agreed to by other local health departments.

## Retention/Disposition Schedule Entries

**000-111**

### Local Government Records

#### Health Department

##### **HIPAA Complaint Records** (Series Unknown)

Consists of "Protected Health Information Handling Complaint Form" (or similar content) submitted to employee(s) serving as HIPAA Privacy Officer(s), associated correspondence and other associated records documenting complaints, investigations of complaints and responses to complaints.

**Entry Status:** Ready for SRB

**Retention Period:** 6 calendar years

**Disposition:** Destroy

**Restrictions:** Maintain confidentially, consistent with HIPAA Privacy Rule, Kansas statutes and any other applicable regulations.

**Comments:** Maintained by HIPAA Privacy Officer(s).

**Record Copy:** Unknown

**Remarks:** 1/9/10: New entry.

##### **HIPAA Compliance Records** (Series Unknown)

Records created to comply with requirements of the Federal Health Portability and Accountability Act of 1996 (HIPAA) or created to document compliance with the Privacy Rule of the Act, which regulates treatment of Protected Health Information (PHI). Some or all of the documents in this records series may be filed within Client Charts (and considered part of that records series), may be filed separately, or may be maintained in duplicates to copies filed as part of Client Charts. Examples of documents in this series may include, but are not limited to, "Acknowledgment of Notice of Privacy Practices," "Documentation of Good Faith Efforts," "Client Request to Access Protected Health Information," "Client Approval to Access Protected Health Information."

**Entry Status:** Ready for SRB

**Retention Period:** 6 calendar years

**Disposition:** Destroy

**Restrictions:** Maintain confidentially, consistent with HIPAA Privacy Rule, Kansas statutes and any other applicable regulations.

**Comments:** When Client Chart files are maintained, all HIPAA compliance records may be filed in charts of individual clients. In some cases, charts may not be created or duplicate documents may be maintained by employee(s) serving as HIPAA Privacy Officer(s) for compliance purposes.

**Record Copy:** Unknown

**Remarks:** 1/9/10: New entry.