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

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

3. **Appraising Archivist:** Scott Leonard

4. **Date of Appraisal:** April 23, 2011

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 and discussions with agency records officer.

9. **Appraisal Narrative:**

   The Department of Social & Rehabilitation Services, Disability & Behavioral Health Services Division, brings two series for addition to their currently approved Retention & Disposition Schedule. These two series were reviewed & tabled at the January 20, 2011, Records Board meeting, pending revision by the agency.
Retention/Disposition Schedule Entries

629-002
Department of Social and Rehabilitation Services
Disability & Behavioral Health Services
Mental Health Services

Nursing Facilities Mental Health Screens (Series Unknown)
When a Kansan seeks to access nursing facility services, the first step is to conduct a broad-based assessment or "screening" of the overall health and functioning levels to determine whether nursing facility-level of care is necessary. This initial screening process is conducted by or under the management of the Kansas Department on Aging. After that initial screening, if there is an indication that mental health services may also be needed, a second level evaluation or "screen" as to mental health and functioning levels is conducted by a Community Mental Health Center (CMHC), and SRS - because SRS licenses CMHCs and management publicly funded mental health services - becomes programmatically responsible. Based upon the results of that screening, the person may be identified for placement in one of the Nursing Facility-Mental Health (NFMH) facilities in Kansas, also licensed by SRS. Both the initial screening for NFMH services and periodic (generally annual) re-screening for those services are presented to SRS staff for review and NFMH placement approval. SRS has only a copy of the screen for service approval/program management purposes.

Entry Status: Ready for SRB
Retention Period: 6 fiscal years
Disposition: Destroy
Restrictions: K.S.A. 45-221(a)(3)
Record Copy: Unknown

629-007
Department of Social and Rehabilitation Services
State Hospitals and Facilities
State Hospitals

Medical and Service Records -- SRS Hospitals and Facilities (Series 0457-629)
Documents concerning individual patient care including: medical, psychiatric, social, and legal information, as well as correspondence, progress notes, and response to treatment.

Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: K.S.A 45-221(a)(3) & 65-5602
Comments: Retain for 10 years after the date of last discharge. Destroy or retain consistent with facility policy.
According to SRS legal counsel, 45 CFR Section 164.530(j)(2) states "all patient records must be retained for 6 years from the date of the patient's discharge, transfer or death", & 42 CFR Section 482.24(b)(1) states "Medical records must be retained in their original or legally
reproduced form for a period of at least 5 years”.

**Record Copy:** Unknown

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

4/23/2011: Series tabled from 1/20/2011 SRB meeting; revised title from "Medical Record - Adult Patients".
1. **Agency:** Kansas Department of Corrections

2. **Records Officer:** Mary Chambers  
   **Phone:** 296-1136

3. **Appraising Archivist:** Scott Leonard

4. **Date of Appraisal:** April 23, 2011

5. **Total records - No. of Series:** 3

6. **Archival/Permanent records - No. of Series:** 1

7. **Records Eligible for Immediate Transfer to Archives:**  
   **No. of Series:** 0

8. **Appraisal Based Upon:**

   Discussions with agency records officer and staff.

9. **Appraisal Narrative:**

   The Kansas Department of Corrections requests a revision to its current Retention & Disposition Schedule. This proposal corrects some issues around the retention of Inmate Files.

   The proposed revision to series 0518-521 rectifies a situation where there are two series that have been approved with the same ID, but with differing retention guidelines. Inmate Files have been imaged by the agency since the mid-1990s, and an Electronic Recordkeeping Plan was created to cover the imaged files in 2006; it was endorsed by the Electronic Records Committee in June of that year. Prior to the Plan, the State Archives was receiving the complete, and voluminous, inmate files. After the endorsement of the Plan, the Archives was to receive a less-voluminous file, with the majority of the documents in the files purged down to a selected list agreed to by the Archives. The Department has also been keeping some information from the Inmate File in a parallel system, called the Kansas Adult Supervised Population Electronic Repository (KASPER), which basically contains the information from the scaled down files the State Archives was receiving. This system contains inmate information dating back to the mid- to late-1980s, and the State Archives has agreed that this information is sufficient for historical needs. Corrections also proposes a series covering the retention of the information from the KASPER system.
As well as revising the Inmate Files series, Corrections also is proposing a schedule entry for the retention of Inmate Medical & Mental Health Records, which will align with current DOC practice.
Retention/Disposition Schedule Entries

521-010
Department of Corrections
All Facilities

**Inmate Files** (Series 0518-521)
Primary documentation regarding individuals incarcerated with or supervised by Kansas Department of Corrections.
**Entry Status:** Ready for SRB
**Retention Period:** See Comments
**Disposition:** See Comments
**Restrictions:** KSA 22-4707 & 45-221(a)(29)
**Comments:** Retain the entire paper file and imaged documents for 3 years after expiration of sentence. Purge both paper files and imaged documents retaining only the following documents either in paper or electronic format for 27 years after purging: Admission Data Sheet (Face Sheet), All Court Documents; Finger Print card; Photo; PSI Report; Affidavit of Common-Law Marriage, Death Certificate, Parole Certificate, Obituary, Discharge Certificate. Transfer paper medical and mental health file to the repository and retain for 10 years, then destroy. Data stored offline should be refreshed periodically to ensure data integrity. Some information from the Inmate File is kept permanently in Public Kansas Adult Supervised Population Electronic Repository (KASPER).
**Record Copy:** Unknown
**Remarks:** 4/23/2011: Revised Description from "...at state correctional facilities"; revised Comments from "Retain hard copy until verified in Imaging System, then destroy. Data stored offline should be refreshed periodically to ensure data integrity. All data should be migrated to new electronic information systems throughout the 30 year retention." Supersedes 2nd series 0518-521 with Series Title of "Inmate Files through September 1, 2005".

**Inmate Medical and Mental Health Records** (Series 0180-521)
Documents of individual inmate medical care: medication records, medical history, lab reports, physical exam records, etc.
**Entry Status:** Ready for SRB
**Retention Period:** See Comments
**Disposition:** See Comments
**Restrictions:** KSA 22-4707 & 45-221(a)(29)
**Comments:** Original records are maintained by the releasing facility for two years after discharge from sentence. Ship to KDOC Repository for storage until a total of 10 years after discharge from sentence, then destroy.
**Record Copy:** Unknown
**Remarks:** 3/31/2011: Added "and Mental Health" to Title; revised Comments from "Original records are transferred to individual "Inmate Files" when inmates leaves facility. Retain duplicate copies for five years after inmate leaves facility, then destroy."

**Kansas Adult Supervised Population Electronic Repository (KASPER)** (Series Unknown)
Kansas Adult Supervised Population Electronic Repository (KASPER) is the official permanent archive of offender information replacing the paper and imaged files for those offenders found...
in KASPER.

**Entry Status:** Ready for SRB  
**Retention Period:** Permanent  
**Disposition:** Permanent  
**Restrictions:** KSA 22-4707 & 45-221(a)(29)  
**Comments:** KASPER contains not only the public information listed below but also a small amount of additional identifying information that has been classified for law enforcement use only. Additionally, KASPER contains non-public records on offenders housed by the KS Dept. of Corrections but the public disclosure of their records is deemed a risk to the safety and security of the offenders and/or the Department.

The fields of information displayed to the public as of April 28, 2011, shall be the minimum fields displayed permanently. Those fields are: inmate name, inmate number, conviction name, true name, date of birth, current age, eye color, hair color, height, weight, gender, race, earliest possible release date, current status, admission date, current locations, custody level, conviction county, conviction case number, conviction, offender date, conviction sentencing date, conviction ACS, criminal conviction description, conviction counts, conviction crime severity level, conviction case status, KDOC physical location history location, KDOC physical location history movement date, KDOC physical location history movement reason, KDOC disciplinary reports since January 1996 date, KDOC disciplinary reports since January 1996 class, KDOC disciplinary reports since January 1996 location, KDOC disciplinary reports since January 1996 type of report.

**Record Copy:** Electronic  
**Electronic Recordkeeping Plan Pending**  
Retention/Disposition Schedule Entries

521-010
Department of Corrections -- SUPERSEDED
All Facilities

Inmate Files through September 1, 2005 (Series 0518-521)
Primary documentation regarding individuals incarcerated at state correctional facilities.

Entry Status: Internal Review
Retention Period: See Comments
Disposition: See Comments
Restrictions: K.S.A. 22-4707 & 45-221(a)(29)
Comments: Retain the entire paper file for 3 years after expiration of sentence, then transfer to archives documents from the attached list which is hereby adopted as part of this schedule. Transfer paper medical and mental health files to the records center and retain for 10 years, then destroy.
Record Copy: Unknown
1. Agency: Kansas Department of Transportation

2. Records Officer: Susan Maxon Phone: 296-8925

3. Appraising Archivist: Scott Leonard

4. Date of Appraisal: April 23, 2011

5. Total records - No. of Series: 7

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 agency records officer and staff.

9. Appraisal Narrative:

   The Kansas Department of Transportation requests a revision to its current Retention & Disposition Schedule. The two of the proposed series were reviewed & tabled at the January 20, 2011, Records Board meeting, pending clarification by the agency on restrictions for the two series.

   Four of the series will be retained electronically, but only one series, Digital Videologs, will be kept longer than five calendar years. The Videolog series is covered by an Electronic Recordkeeping Plan, which has been reviewed by the Electronic Records Committee, but has not been endorsed due to concerns with the long-term storage of the records on optical media. The proposed retention for this series is a stop-gap measure for the records until an acceptable option for the long-term storage is proposed. The remaining three electronic series do not require Recordkeeping Plans due to the length of their retention periods.
Retention/Disposition Schedule Entries

276-005
Kansas Department of Transportation
Bureau of Construction and Maintenance
Maintenance

Highway Use Permits (Series Unknown)
Highway Use of Right of Way Permit (DOT 304), Completion-Cancellation Revocation Notice (DOT304-A), and Attachment to Bridges Permits (DOT 310).
Entry Status: Ready for SRB
Retention Period: Permanent
Disposition: Permanent
Restrictions: K.S.A. 45-221(a),(12),(45)
Comments: Paper copies are retained in the office for three calendar years, then microfilmed. A digital image of the microfilm is saved to CD and provided to the District Office. A working copy of the microfilm and a copy of the CD are retained in the office.

Access to records by the public or other agencies will be processed by KDOT Office of Chief Counsel following KORA guidelines.
Record Copy: Microfilm

276-012
Kansas Department of Transportation
Bureau of Transportation Planning
Traffic & Field Operations Unit

Significant Facts & Trends Publication (Series Unknown)
Reports created monthly summarizing average daily traffic (MADT) counts by route, county, and location for KDOT maintained roadways.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Monthly reports (January through November) are retained through calendar year-end. The final monthly report (December) includes all previous monthly data for the calendar year and is retained for five calendar years.
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

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

**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** See Comments  
**Restrictions:** See Comments

**Comments:** Retain two complete three year cycles. When annual back-up is made transfer retired copy to State Archives. Access to records (whether in the agency or the State Archives) by the public or other agencies will be processed by KDOT Office of Chief Counsel following KORA guidelines.

**Record Copy:** Electronic  
**Electronic Recordkeeping Plan Pending**

**Remarks:**  
4/23/2011: Series tabled at 1/20/2011 SRB meeting; agency proposes "Permanent" retention with transfer of "retired copy" to State Archives; added "Access to records..." sentence to Comments to indicate agency preference for access.

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**276-016**

**Kansas Department of Transportation**  
**Bureau of Program and Project Management**  
**Program Management Unit**

**Production Control Meeting Minutes** (Series Unknown)
Minutes from monthly meetings of project managers responsible for project design and development. Decisions impacting project scope or schedule are entered into an integrated application used for program and project management, generating project narratives.

**Entry Status:** Ready for SRB  
**Retention Period:** Retain until no longer useful; then destroy  
**Disposition:** Destroy  
**Restrictions:** None

**Record Copy:** Electronic  
**Electronic Recordkeeping Plan Not Required**

**Remarks:** 4/23/2011

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**Program Management Reports** (Series Unknown)
Reports generated by project managers providing fund balances and yearly construction program cost estimates.

**Entry Status:** Ready for SRB  
**Retention Period:** Retain until no longer useful; then destroy  
**Disposition:** Destroy
Restrictions: None
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

276-032
Kansas Department of Transportation
Office of Support Services
Facilities Management Unit

Headquarters Relocation Files (Series Unknown)
Consolidation Options Planning Studies (COPS), Capitol Area Plaza Development (CAPD)
RFP's, appraisals, feasibility studies, HQ Committee meeting minutes, specifications and
contract management files related to the relocation of KDOT from the Docking State Office
Building to the Eisenhower State Office Building.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain in office 5 calendar years, then transfer to the State Archives for purging.
Record Copy: Unknown

Headquarters Relocation Files-temp files (Series Unknown)
Working papers, notes, and miscellaneous correspondence compiled during the KDOT
Headquarters Relocation Project.
Entry Status: Ready for SRB
Retention Period: Retain until no longer useful; then destroy
Disposition: Destroy
Restrictions: None
Comments: Obsolete-destroy immediately
Record Copy: Unknown