

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
April 28, 2011**

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

Remarks: 1/20/2011: New series.

4/23/2011: Series tabled at 1/20/2011 Records Board meeting for description; description added.

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: KSA 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".

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

Remarks: 4/25/2011: New entry.

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

Remarks: 4/25/2011: Superseded by Series 0518-521, Inmate Files, considered for approval by SRB on April 28, 2011.

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

Remarks: 1/10/2011: New entry.

4/23/2011: Revised based on discussion at 1/2011 Records Board meeting; revised Restrictions & added KORA statement to Comments.

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

Remarks: 4/23/2011: New series; previously kept in paper, & transitioned to electronic.

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: 1/10/2011: New entry.

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.

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

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
Remarks: 4/23/2011: New entry.

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
Remarks: 4/23/2011: New series.

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
Remarks: 4/23/2011: New series.