

State Records Board  
19 January 2012  
Center for Historical Research, Executive Conference Room

Members present:

Lisa Mendoza, designee for the Attorney General and chair  
Duncan Friend, designee for the Secretary of Administration  
Patricia Michaelis, designee for the KSHS Executive Director  
Matt Veatch, State Archivist

Members not present:

Bill Sowers, designee for the State Librarian

Also present:

Paul Marx, representative, Kansas Department of Health & Environment  
Carol Moreland, records officer, Kansas Board of Nursing  
Sandy Powell, records officer, Kansas Department of Social and Rehabilitation Services  
Susan Maxon, records officer, Kansas Department of Transportation  
Darrell Garwood, State Records Manager, Kansas State Historical Society  
Marcella Wiget, archivist, Kansas State Historical Society  
Lu Ann Harris, records specialist, Kansas State Historical Society

1. ***Introductions and announcements:*** Lisa Mendoza called the meeting to order at 8:40 a.m. and led the introductions.

2. ***Minutes approval:*** Minutes were unanimously approved by the Board.

3. ***Kansas Department of Social and Rehabilitation Services:*** Ms. Powell explained how sub-units and programs with SRS over the years have changed names and been absorbed most recently into the Economic and Employment Support Division.

**Motion for obsolete schedules:** All obsolete schedules under SRS' Disability and Behavioral Health Services section unanimously approved after motion by Ms. Michaelis, seconded by Mr. Veatch.

**Amended motion for obsolete schedule:** Mr. Veatch moved amending 0239-629, Low Income Energy Assistance Program Payment Register, to show that an Electronic Recordkeeping Plan (ERP) was not needed for this series that is kept less than 10 years; Mr. Friend seconded, unanimous approval.

**Tabled motion for revised series:** Approval of Quality control files, 0207-629, was tabled until Ms. Powell could receive clarification from agency staff regarding whether records should be kept 4 fiscal or calendar years and whether any records from this series needed to be kept longer in case of fraud or other quality control issues.

**Motion for obsolete schedules:** All other series in this section, except for the already-approved 0239-629, were unanimously approved upon motion by Mr. Veatch, seconded by Ms. Michaelis.

**Motion for revised schedules:** All other series under discussion from SRS at this meeting unanimously approved.

4. ***Kansas Department of Transportation:*** Ms. Maxon explained that she is attempting to eliminate unnecessary storage space for her agency, and in so doing is scheduling records that have never been scheduled before. She is using this as an educational opportunity with staff, noting for example that much of the microfilm that KDOT has maintained has severe preservation issues. Mr. Friend

commended Ms. Maxon's efforts for this agency, noting that she is much more active than many other agencies' records officers.

Ms. Maxon informed the State Records Board that KDoT has contracted with a vendor to implement a new document management system for the agency; their current DMS is already somewhat antiquated and does not provide good search capabilities. Mr. Friend pointed out that the State Archivist has the right to promulgate standards on behalf of the State Records Board, and that the KDoT DMS will need to follow those standards or transfer records to KEEP, since this system will almost certainly hold records of enduring value. Ms. Mendoza thought this general type of situation may need to be addressed across the enterprise by the Board.

- *Division of Operations*

**Motion for new series:** Mr. Veatch moved approval, Mr. Friend seconded, unanimous approval of new series for Contractor's Qualification Statement and Experience Questionnaire.

- *Federal Aid Billing*

**Amended motion for new series:** Ms. Maxon requested that new series Federal Aid Billing be amended so that comments read that both CDs and SAN backup will be retained for 5 years from date of billing, then destroyed. Mr. Veatch moved approval as amended, Ms. Michaelis seconded, unanimous approval.

**Motion for new series:** Ms. Michaelis moved approval, Mr. Friend seconded, unanimous approval of new Obligation Records series.

- *Office of Financial and Investment Management*

**Amended motion for new series:** Discussion regarding Highway Debt Management contracts series and short retention period; statute of limitation on contracts is 5 years. Board moved approval of both this series and the Highway Debt Management records series with amended 5 year retention length.

**Tabled motion:** Approval of new Rating Agency Presentations series was tabled for a later date, following discussion regarding whether these records were of enduring value or not. Approval of Revolving Funds for Financing Assistance was also tabled due to questions regarding 10-year retention length. If these records must be kept this long, they will require an ERP before approval by the SRB.

**Motion:** First four entries under the new Office of Financial and Investment Management unanimously approved as amended (retention length stretched to 5 years), after motion by Ms. Michaelis and seconded by Mr. Veatch.

**Amended motion:** Series 0004-276, Highway Revenue Bonds, was unanimously approved with amendments "Highway Revenue Bonds – Completed or Retired" for title and "Retain in office 5 calendar years after payment completed or retired, then destroy" for comments, Ms. Michaelis making the motion and Mr. Veatch seconding.

- *Administration Division*

**Motion for superseded schedules:** Ms. Michaelis moved, Mr. Veatch seconded, Board unanimously approved superseding the schedules 0010-276, Agency Director's Files and 0011-276, Agency Director's Administrative Files, with the general retention and disposition schedules 0004-000, Agency Director's Files and 0027-000, Correspondence – Policy-Related. Ms. Maxon abstained from voting. Mr. Veatch moved approval, Mr. Friend seconded for superseding 0124-276 with the general schedule for Legislative Relations, unanimous approval.

5. **Kansas Board of Nursing:** 0049-482 is a title change due to no longer having an office manager.

**Motion for revised schedule:** Mr. Friend moved approval, Ms. Michaelis seconded, unanimous approval of this change.

**Motion for superseded schedules:** Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of superseding all remaining schedules on this list with general retention and disposition schedules.

**6. *Kansas Corporation Commission:***

**Motion for superseded schedules:** KCC had 76 schedules to be superseded by general retention schedules. Mr. Veatch moved approval of all schedules, Mr. Friend seconded, unanimous approval to replace these agency-specific schedules with general retention and disposition schedules.

**7. *Kansas Department of Health and Environment – damaged lab records update:*** Paul Marx gave the State Records Board an update regarding the water main break at the KDHE lab facilities out at Forbes Field. No inventory was taken of the damaged records because they have all been kept. Ms. Michaelis pointed out that this situation shows why State Archives staff should work more with other agencies regarding disaster planning. Mr. Marx commended lab staff for their efforts in this particular instance and added that the State Archivist sent a letter to the Secretary of KDHE requesting that they appoint a records officer. Mr. Marx believes that this position should be in the Office of the Secretary and not in a position with less authority within the agency, but added that with the start of the legislative session this appointment may not be high priority. While Mr. Marx is not currently the records officer, he has been facilitating matters and acting in an unofficial capacity. Tim Keck requested that Mr. Marx thank the State Records Board and State Archives staff for their help in dealing with both the water situation and for handling the current situation with the lack of a records officer. Ms. Mendoza suggested a follow-up letter from KDHE regarding the water situation.

**8. *Office of the Attorney General – Criminal Division:*** Ms. Mendoza explained that the AG's office wanted to standardize this series' disposition comments, 0176-082, with all other case files under their office.

**Motion for revised series:** Ms. Michaelis moved approval, Mr. Friend seconded, unanimous approval of revising this schedule entry.

**9. *Kansas State Historical Society:***

**Tabled motion for new and revised series:** Discussion regarding the new schedule under the Division of Administration and the revised and superseded schedules under the Cultural Resources Division was tabled after a motion by Ms. Michaelis, seconded by Mr. Friend, due to Mr. Sowers not being present and a desire to ensure a quorum of outside agency representatives present. New series under the Division of Administration was initially approved; Ms. Michaelis moved to withdraw this approval, Mr. Veatch seconded.

**10. *Consent agenda / State Records Board approval:*** Ms. Michaelis proposed that Archives staff write a draft policy for the State Records Board giving Archives staff permission to make technical changes—including statutory number changes, typos, or internal comments, so long as they are documented appropriately by the individual who made those changes. Mr. Veatch thought a consent agenda could be used for obsolete and superseded schedules, noting that Scott Leonard had simply attached a list for these schedules at the back of an agency's new and substantively revised series. Proposal that Archives staff organize agenda so that all bulk agenda items, such as superseded, be put first in order to be dealt with quickly, and that appraisal reports be reorganized to show superseded and obsolete schedules to make it more obvious that these are items that could hopefully be dealt with easily.

11. **Website update / transferring records to the Secretary of State's Office:** Mr. Garwood showed the Board planned changes to the State Records Board pages on the KSHS website. Request that there be a link from the page to the search page for the retention schedules. Ms. Mendoza requested that Archives staff and Board members explore how other State Records Boards and agencies keep their minutes; will attempt to re-format the minutes from this meeting in order to streamline and make them more accessible. Will probably need to experiment over the next few meetings until finding an appropriate format that suits the Board overall.

**Motion for placing SRB minutes online:** Mr. Friend moved to post retroactively State Records Board packet materials within available resources as time permits, Mr. Veatch seconded, approved by the Board.

Mr. Garwood has been in discussions with Barb Dominguez at the Secretary of State's office to discuss rules and regulations. He could not find anything after 2005 regarding the materials that are supposed to be sent to the SoS's office, but he has the materials ready to submit to the SoS when Archives staff hold their meeting with her staff.

12. **KEEP policy framework:** Mr. Veatch reiterated that the Board generally agreed that they are the owners of the KEEP policy framework. He will bring the policy framework to the Board for their endorsement, but it needs to go through a review and revision process first. He will also bring the international standards for trusted digital repositories for the Board's approval. Associated with that will be a revised ERP that will fall more in line with those standards. KEEP is currently on a tight timeline to complete the initial Dark Archives, so some of these items may be delayed. Mr. Veatch wanted to thank the Board for their willingness to spend time on these items, and Ms. Mendoza indicated that she would be willing to have other meetings as needed.

13. **Other business:** No other business. Meeting adjourned by Lisa Mendoza at 12:30 p.m.