AGENDA
STATE RECORD BOARD
January 19, 2012
8:30 a.m.
Kansas State Historical Society
Center for Historical Research
6425 SW 6th Ave.
Executive Conference Room, 2nd Floor

1. Introductions and announcements
2. Minutes of previous meeting
3. Social and Rehabilitation Services
4. Kansas Department of Transportation
5. Kansas Board of Nursing
6. Kansas Corporation Commission
7. Kansas Department of Health and Environment – damaged lab records update
8. Attorney General
9. Kansas State Historical Society
   a. Administration Division
   b. Cultural Resources Division – Archeology Department
10. Consent agenda / what does the SRB need to approve?
11. Website and Secretary of State transfers update
12. KEEP policy framework
13. Other business:
   a) Future meetings:
      • April 19, 2012
      • July 12, 2012
      • October 18, 2012
      • January 17, 2013
State records board
13 October 2011, 8:30 a.m.
Kansas Historical Society, Center for Historical Research, Executive Conference Room

Attendance: Chair Lisa Mendoza (Attorney General’s Office), Duncan Friend (Dept. of Administration), Pat Michaelis (Kansas State Historical Society), Matt Veatch (KSHS), Bill Sowers (State Library)

Also present: LuAnn Harris (KSHS), Marcella Wiget (KSHS), Darrell Garwood (KSHS), Melissa Thompson (Sedgwick County), Theresa Marcel Swhwartz (Board of Regents), Brad Reiff (City of Topeka Housing Office), Sandy Powell (Social and Rehabilitation Services), Susan McClacherty (SRS)

Ms. Mendoza called meeting to order.

Item 5. Sedgwick County

Ms. Thompson: Currently Sedgwick County works with Wichita City Housing Department, no schedule for these records. Intern did research into retention of housing records. Would like the permission to destroy. Brad Reiff from City of Topeka came in for his expertise. Two documented provisions for this instance. Mr. Friend had question about content of canceled or denied applications. How do those records work? Mr. Reiff, most HUD rules follow five year rule. Ms. Michaelis suggested that we clarify the contents of the records just a bit. List out the types of records in the comments section. SRB is trying to clarify this issue for all 105 counties. Language on first record group is fine. Mr. Veatch was concerned that we remember that SRB has an advisory function for municipalities. Community development project files; Mr. Reiff states all records are interfiled, accepted, denied, etc. and are destroyed after five years. Ms. Thompson stated that Sedgwick County legal department plans to keep them for six years. Mr. Veatch asked about records of enduring value in this series of records. Ms. Thompson, most records of enduring value are grant funded. A series could be established for grant funded records. Mr. Veatch was concerned about mortgage savers program. All records have social/humanities interest in them. From policy standpoint it would be appropriate to save some documentation for these programs. These programs are significant government activities of merit. Ms. Michaelis, are reports and rules maintained/saved. Ms. Thompson: HUD receives those records. Annual reports and policy correspondence are under the general schedule. Ms. Thompson: we pulled out those records that are specific to housing. Ms. Michaelis moved to approve these amendments, Mr. Veatch seconded. Vote carried, no nay votes. Ms. Mendoza on behalf of the SRB offered many thanks to Ms. Thompson and Mr. Reiff for their input. They need to be commended for their work and due diligence. Moved that home savers program records be changed to five years.

9. 45-501, Sedgwick County electronic records. Mr. Veatch received a call asking how the SRB would address K.S.A. 45-501 when records are solely in e-records form. This issue had not come up. Mr. Veatch: Archives has encouraged local entities to follow the state policy of using the Electronic Recordkeeping Plan template. Worked with Johnson County on several projects. SRB provides a vetting process. Doug King responded that they have their own vetting process in Sedgwick County. He would like process vetted by SRB for them. Ms. Thompson commented that their process is very involved and multi-layered. Mr. Veatch would like SRB to OK the Sedgwick county plan, but also look at the whole process as set out in 45-501. Doug King reads the law as only applying to statute demanded records series. Ms. Mendoza stated that anything created is a state record, not the narrow read of only those records created by act of law. Ms. Schwartz: prior to KORA, law was only to deal with records required by law. This could be a holdover from the old process. Old records law only pertained to records required by law. Mr. Friend: there are new statutes related to KEEP, 45-414. Ms. Mendoza stated that
we cannot ignore other statutes that have been enacted. KORA was enacted in 1984 and amended many times. Ms. Thompson: Doug King writes in email that current regulation “includes an item to eliminate...unfunded mandate.” He is asking to remove one line of the statute. Mr. Friend: the gist is to get rid of the paper records in the schedule, but e-records have to be addressed. Maybe we need to require formal process. Ms. Michaelis: concern is about the section “required by law,” and if removed, then who would resolve conflicts? Mr. Veatch: there are many conflicts. Ms. Michaelis: work of this board is to provide retention. Mr. Veatch: this does not relate to authority to set retention. This is a notification for the e-format. Does this law supersede all other records laws? Ms. Schwartz: there are two steps. The step to set up e-record format and then to retire the paper process. Mr. Friend was still concerned that this schedule was setting some standards that are really the responsibility of the SRB. Remember we are talking about 45-501. Ms. Michaelis: in “c” states that it is up to SRB to set out process for reporting. Ms. Mendoza: “d” identifies that there are other statutes that have to be addressed. We have set the floor, foundation for setting up electronic records preservation plan. The electronic recordkeeping plan template is the foundation. Counties can build on this minimum standard as they see fit. We need to build up this plan as time goes forward. Mr. Veatch: do we need an opinion on 45-501. Ms. Mendoza said no. Mr. Veatch: if set plan as floor, we need to require them to report to SRB for series with enduring value of over 10 years. Previously all instances were just as advisory situations. Ms. Michaelis: maybe we need to look at our responsibility for local records. Need to keep burden to SRB in mind. Ms. Mendoza: we are not required to report on the plan, only address the retention schedule. Sedgwick County is a large entity. SRB should set the minimum burden for locals to SRB. Mr. Veatch: we have roll to set rules, in practice we have more responsibility. Mr. Friend: there is a risk of losing a whole layer of important records if we do not direct locals in the realm of e-records. Ms. Thompson: issue is “required by law,” definition. Should be removed. Mr. Friend: talk with locals to hash through series, not require that they come to SRB. Ms. Thompson is concerned that e-records are not permanent. Ms. Michaelis: we are not comfortable amending one law for e-records. Need to talk with counties to hash out the problem. Phrase it as SRB responsibility and ask for input. Mr. Friend: do we have what we need to fulfill the notice provision? Ask for notification of e-process and then talk with them at later period. Meet 45-501 and then seek stakeholder input. Ms. Thompson: everyone wants to cooperate and be in compliance. Mr. Friend: need to address policy in more detail. It is a huge issue to resolve. Use media to get together, it does not have to be a big production. Ms. Thompson: every Sedgwick County office scans something, but also maintains a lot of paper. Next move is to get rid of paper. Ms. Mendoza: many county officers are afraid to destroy paper copy and rely on digital record. Mr. Veatch: have to provide process that can be addressed by all 105 counties. No undo burden at the initial part of the reporting process. Ms. Michaelis: maybe this whole section will be obsolete, rest of the laws cover this situation. Ms. Mendoza wants a study to look at these statutes. Mr. Veatch: we need that but it is a huge project. Ms. Michaelis: comment on page 5, second to last bullet. Needs to clarify that Sedgwick County cannot shorten schedule if we do not direct locals in the realm of e-records. Pre-motion: Mr. Veatch moves to accept e-records validation for this specific records series, juvenile medical records group. This process fulfills 45-501. Ask for them to submit other record series. Ms. Mendoza: do we want to accept the process? Ms. Thompson: until we get an e-records office, Sedgwick County will bring each records situation to SRB unless 45-501 is changed. Ms. Mendoza motioned that the process is adequate. SRB would like to continue to see case summaries until we have examined process county be county. Ms. Mendoza: we accept the e-validation process used by Sedgwick County as it meets requirement of our current reporting Electronic Recordkeeping Plan. Agree with case summary and would like to continue seeing the case summaries by the county. Unanimous vote of approval.
Intent of SRB is to come up with a process that addresses e-records retention, but does not make the process burdensome for counties. Start the discussion process for this very fluid situation.

Mr. Friend: I want to thank Ms. Thompson for attending the meeting and providing service to and preserving the heritage of the state.

Introductions were belatedly made, and Mr. Veatch explained that KHS recently underwent a reorganization. Now the State Archives Division of the Kansas Historical Society. There are two divisions, Access/Collections and Archives. Mr. Veatch leads archives. Thanks to Ms. Wiget and Ms. Harris for planning this meeting. KEEP is under State Archives, along with Digital initiatives under Michael Church and Records Management under Darrell.

Minutes of last meeting: Ms. Michaelis moved for approval, seconded by Mr. Veatch. Unanimous vote of approval.

7. State general schedule. Ms. Schwartz reported situation concerning the many board and committee meeting notices in records of the Board of Regents. She did not find any clear records schedule for these records in the general schedule. Series consists of public notices, correspondence, email. How long do we keep them? Mr. Veatch: general assessment was that it was present in all agencies. Look at keeping for one calendar year from date issued. Place these records in the correspondence series of the general schedule? Mr. Friend would like to be sure that the reasoning behind the scheduling and announcement of the meeting is documented. Board packet is attached to minutes. Theresa: issue of notice is not required by law. Some meetings require specific notifications for some meetings, but KOMA does not require everyone be notified. Notice does not identify who actually received the notice/invitation. Motion: Ms. Michaelis moved that this be approved as amended. Mr. Sowers seconded. Unanimously approved.

10.a SRS. Ms. Powell: records officer for SRS is devoted to KEES project. Heavily edited draft of public access. Ms. McClacherty will look for problem areas in schedule. Will bring in changes to schedule in January meeting. Ms. McClacherty is looking forward to looking at structure of KEEP. Ms. McClacherty is part-time IT person. She works on KEEP and COOP part, next quarter is going to be busy at SRS. Ms. Michaelis thanked Ms. McClacherty and Ms. Powell for their dedicated work.


3. Kansas Dept. of Agriculture. Ms. Wiget: record series used to be part of deposits. No enduring value on the form. Very much an internal operational form. Agricultural commodities assurance program. Motion: Mr. Veatch approved as submitted, with amendment to change to 5 fiscal years. Mr. Sowers seconded. Motion passed with no opposition.

4. Kansas Dept. on Aging. Ms. Wiget noted that all comments are from original schedules. This set of schedules concludes the overhaul of the Aging retention schedules. We have lost the individual who performed the work on the overhaul at Aging. Reporting in future is in doubt.

Ms. Michaelis: page 5, rules and regulations files. Ms. Wiget: nothing currently in general schedule for rules/regs. Needs to be addressed there. Transition schedule that will make it the responsibility of the agency to purge the records before coming to the archives. Ms. Michaelis: in the future just bring up the schedules that are not going to be changed to the general schedule. Mr. Veatch: this is just a clean-
up—will follow our routine of only reviewing agency specific schedules. Motion to approve by Mr. Veatch, seconded by Ms. Michaelis. Motion carried with no opposition.


8. Keep policy framework. Mr. Veatch: SRB has vested interest in KEEP. Looking for input from Ms. Mendoza and Mr. Sowers on direction of policy framework. This board will have to decide how active it will be in supporting this project. Game plan is moving forward with KEEP. KEEPS project is giant, but just one of a handful projects that have long-term records. Very much hit and miss. There are many e-records out there in agencies that are not being mined by KEEP. Does SRB encourage the use of KEEP by agencies, or does board take a more active or even legal stand to use KEEP? Final set of customers at the local level to have an option for a trusted repository for their records. Not a legal requirement but a service. Ms. Michaelis: we have an intent of help from chief information officer, but SRB needs to endorse the issue. Who should own this? Mr. Friend: SRB was set up with process to deal with paper records. Authority was brought in with Attorney General, Dept. of Administration, State Library, etc. Archives looks at preserving enduring valued records. Now e-records bring up more complex situation outside the State Records Center and State Archives. Statues have placed a burden on SRB to preserve e-records, unlike paper records. Policy framework brings in preservation standards. It is a fundamental change for the SRB. Crossroads of history. Ms. Michaelis: e-records are much more at risk. Mr. Friend: anticipate better compliance and ability to maintain these records. Mr. Veatch: schedules often state “transfer to archives” for paper records. SRB needs to help State Archivist to encourage or compel agencies to use KEEP for storage of records not being kept by agencies. Mr. Sowers: does not remember SRB being involved in policies at State Archives to preserve these records. Mr. Veatch: we are not asking the SRB to set protocols for transferring records. SRB has rule to get records of enduring records. Mr. Friend: SRB could be in the position to direct disposition of public records to what domain? An extension of the SRB responsibility. Mr. Veatch: KEEP was created to make a trusted repository for agencies to use because a storage bay would not work. Framework needs to be in place and the SRB is a records domain. Not an IT domain issue, it is a records issue. Putting records on KEEP comes through SRB. Mr. Sowers: SRB has been in the business of working with agencies and moving correct records to the State Archives. Don’t know how much we will be involved in the money part of KEEP. Mr. Friend: there is a life cycle when policy framework will be in place. SRB may need to promote regulations. SRB has a major role in moving KEEP forward. Mr. Veatch: KEEP will be a living entity that cannot wait for SRB to make a decision on day to day activities. SRB is place for key decisions on records, not how they are kept by KEEP. Not related to funding. SRB may have role compelling compliance. Mr. Sowers needs to know what SRB will require from State Library. Ms. Michaelis: we are looking for input from outside the archives. The broader we cast the net the better the system. Mr. Sowers: will SRB be keepers of KEEP? Mr. Veatch: SRB as policy making and endorsing body. SRB will not be directing KEEP. KSHS will be operating KEEP. Electronics records committee for technical advice. There will be KEEP system operator, (COMPAQ/DISC). KEEP will not be one place. Many different parties. SRB owns the policy to keep everyone working. Ms. Mendoza: require input from many people, money will be a problem in current environment, and operate outside SRB. Mr. Friend: we are going to make decisions about costs because agencies are looking at funding and we are looking at funding and preservation. Ms. Michaelis: there are standards for trusted digital repositories. Not standards for record centers. Mr. Veatch: we have done very little compelling agencies to adhere to our decisions. Mr. Sowers: we have compelled some to comply with SRB decisions. Mr. Veatch: agencies will follow the rules when they are published.
When KEEP is functional the capability for long term storage of e-records will be available. Can SRB make agencies use KEEP? OAIS standards are out there, but does SRB make sure agencies follow those standards? Mr. Veatch: will KEEP be folded into SRB. You hit the standard or go to KEEP. Ms. Michaelis: we cannot answer the question of SRB role at this time in relation to KEEP. Mr. Veatch: I have to report to SRB soon concerning KEEP. Ms. Powell: SRS has many records with different records for 28, 60 years..... will e-records for these series go to KEEP? Mr. Veatch: that is the question. Does SRB direct records to KEEP or keep them yourself? Right know Mr. Veatch has to make the sell for KEEP vs other options. No one will compel you to digitize records. That is your decision. Ms. Michaelis: we are mostly concerned with born digital. Mr. Friend: wrap-up. Do not let IT governing body makes the decisions on retention. That world is not the right place. SRB is in the policy framework entity. SRB had to look at loss of records and economy of the retention. Mr. Sowers: subtle arm twisting to make agency comply. Ms. McClacherty: need to be data centric vs paper centric. Data elements retention. Identify what an e-record contains. Mr. Veatch: data elements are going to be a very real challenge. Mr. Friend: IT world does not know it all. There has to be give and take in the creation of these records. SRB is a proponent for survival of state government records. Ms. Michaelis: this issue is base for archives surviving in the next generation. Mr. Veatch: we have to come up with the state general funds to create the new State Archives. It is a black hole. KEEP is trying to bridge that void. Ms. Mendoza: we need a meeting to address the role of SRB as custodian of the e-records realm. The policy will change over time. A defined meeting with input from a larger audience--need to do more grunt work before presenting to powers in high places. Will schedule a meeting for early November.

Meeting adjourned at 11:30 a.m.
State Records Board
Emergency conference call, 10 November 2011, 11:30 a.m.
Re: KDHE water disaster in the Forbes Field laboratory facility

Present: Lisa Mendoza (Attorney General's office; chair of the SRB), Bill Sowers (State Library), Pat Michaelis (Kansas State Historical Society), Matt Veatch (KSHS), Duncan Friend (Administration)

Also present: Darrell Garwood (KSHS), Tim Keck (KDHE), Marcella Wiget (KSHS)

Conference call began at 11:38 a.m.


KDHE has asked the SRB to consider how to handle an emergency situation involving a broken water main at the Forbes Field lab facility. Records concerning newborn infants have been severely damaged. Some records are in a freezer, but not all, and these records are in an extremely fragile condition. They have been scanned; some information from these forms is also in a database. KDHE has conducted a sample survey of 60 records; all 60 records were adequately retrieved in electronic form. KDHE would like to therefore destroy the paper records rather than attempt to preserve them.

Tim Keck noted that typically when individuals are requesting information from these records from KDHE, they are simply requesting the information in the database, not the paper forms.

Ms. Mendoza asked if any of the records are under any litigation holds or could reasonably be anticipated to become part of litigation; Mr. Keck indicated no.

Ms. Michaelis then motioned that the Board approve destruction of the paper form of the records, and that the Board revisit this record series at the next meeting. Mr. Sowers seconded. Further discussion followed.

Ms. Mendoza asked whether all the affected paper records had been scanned. Mr. Keck indicated KDHE staff thought so; their agency is switching to a new DocuWare scanning program and were therefore a little concerned, but from the sampling they are now fairly confident that the records are all complete.

Ms. Mendoza asked how many records have been affected; Mr. Keck was unsure but thought at least 20,000 records. Mr. Garwood stated that some paper records could be saved and that there were varying levels of damage. Mr. Keck indicated that only the forms had been damaged, not the blood sample or other accompanying materials and documentation associated with this records series. Ms. Michaelis asked whether the random sample included a variety of years (the forms are filed chronologically); Mr. Keck indicated they were. Dates for these records were circa 2007-2011.

Ms. Mendoza asked for clarification about whether the 20,000 records were only those affected, or all records in this series. The 20,000 were only those affected. Boxes were spread out around 3 or 4 rooms on the floor, with 50-100 documents rubber-banded together per bundle. Lisa asked what value would remain in the paper documents if they were kept; Mr. Keck again indicated varying levels of damage and thought it was redundant to keep the paper version. Retention period for these records state they must be kept for 21 years after creation.
Mr. Veatch stated that because the records have been scanned and because they have had quality assurance performed on them, the SRB can authorize destruction of the paper records through the retention & disposition schedule. However, because these are long-term records to be retained over ten years, the agency will need to write up an Electronic Recordkeeping Plan that the Electronic Records Committee will need to approve in order to receive the SRB’s approval to continue keeping these records in electronic format.

Mr. Garwood observed that the extremely wet papers, after being frozen and freeze-dried, may be physically saved, but he was unsure that the contents would still be readable and doubted that the associated costs with recovering the paper documents would be worth it. Composed of thin NCR paper, bleed-through is likely.

Ms. Mendoza requested clarification about the inventory; Mr. Garwood clarified that there is no inventory currently and that he was suggesting that one be conducted as the records are destroyed.

Ms. Mendoza asked again whether there was any reasonably anticipated expectations for litigation involving these records, specifically regarding abortion or termination of pregnancies, due to current litigation involving KDHE and retention of abortion records. Mr. Keck again said no litigation is anticipated regarding these submission forms.

Ms. Mendoza wanted to know about the bar code on the forms and whether it would still be associated with the record in scanned form. Neither Mr. Keck nor Mr. Garwood could answer the question with certainty; she then asked how these records are retrieved, and Mr. Keck said usually by name or date of birth, rather than by bar code number.

Mr. Veatch then made an amendment to Ms. Michaelis’s earlier motion, that the SRB will require KDHE to make an inventory of the paper records as the agency destroys them. Mr. Friend seconded.

Before taking a vote, Ms. Mendoza informed Mr. Keck that he had the right to vote with the Board, as the representative for his agency.

Ms. Michaelis voted yes, Mr. Keck voted in favor, Mr. Sowers voted in favor, Mr. Friend voted in favor, Ms. Mendoza voted in favor, Mr. Veatch voted aye in favor of the amended motion.

Ms. Mendoza requested that Mr. Keck send a letter with accompanying inventory when the KDHE records are destroyed and stated that Mr. Garwood will continue working with his agency during this process as needed. She repeated that KDHE would need to present before the SRB in January on this series of records.

Mr. Keck expressed his appreciation to the SRB for holding this meeting.

Meeting adjourned at 12:07 p.m.
1. **Agency:** Kansas Department of Social and Rehabilitation Services

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

3. **Appraising Archivist:** Marcella Wiget, Lu Harris

4. **Date of Appraisal:** October 2011

5. **Total records - No. of Series:** 46

6. **Archival/Permanent records - No. of Series:** 12

7. **Records Eligible for Immediate Transfer to Archives:**
   **No. of Series:** 6

8. **Appraisal Based Upon:**
   Discussions with the Records Officer Sandy Powell and Economic & Employment Support (EES) Division staff.

9. **Appraisal Narrative:**
   SRS Records Officer Sandy Powell contacted KSHS staff to appraise and revise retention schedules under the EES Division, part of an ongoing revision process for all of SRS’s records. EES schedules will continue to be revised and updated at future State Records Board meetings in conjunction with the KEES project, certain long-term archival records from which will be transferred into KEEP. The schedules represented here mostly consist of obsolete records no longer created, some records that have been superseded by general retention and disposition schedules, and a few that have been removed from an out-of-date division or unit and placed under EES.
Retention/Disposition Schedule Entries

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

**Job Club Program Files** (Series 0031-629)
Correspondence, reports, commissioner's letters, and other documents relating to the administration of the Job Club program which provides employment and training to public assistance recipients.

- **Entry Status:** Ready for SRB
- **Retention Period:** 005 fisc yrs
- **Disposition:** Archives
- **Restrictions:** None
- **Comments:** Retain 5 fiscal years, then transfer to the archives for purging.
- **09/28/2011:** OBSOLETE SERIES. Contact State Archives for appraisal.

**Schedule Authority:** Agency Schedule

**KAR Number:** 53-2-104

**Last Surveyed:** 25 October 2010

**Record Copy:** Unknown


**09/28/2011:** Contact State Archives for appraisal.

**Job Club Training Files** (Series 0032-629)
Materials used to conduct training sessions for staff involved in the Job Club program.

- **Entry Status:** Ready for SRB
- **Retention Period:** See Comments
- **Disposition:** Destroy
- **Restrictions:** None
- **Comments:** Retain until no longer useful, then destroy.
- **09/28/2011:** OBSOLETE SERIES. Follow disposition for any remaining documents.

**Schedule Authority:** Agency Schedule

**KAR Number:** 53-2-104

**Last Surveyed:** 25 October 2010

**Record Copy:** Unknown


**Job Opportunities and Basic Skills (JOBS) Program Files** (Series 0033-629)
Correspondence, state plans, federal reports, and other documents relating to the administration of the JOBS program which provides employment and training to public assistance recipients.

- **Entry Status:** Ready for SRB
- **Retention Period:** 005 fisc yrs
- **Disposition:** Archives
- **Restrictions:** None
- **Comments:** Retain 5 fiscal years, then transfer to the archives for purging.
- **09/28/2011:** OBSOLETE SERIES. Contact State Archives for appraisal.

**Schedule Authority:** Agency Schedule
KAR Number 53-2-104
Last Surveyed 25 October 2010
Record Copy: Unknown

**KanWork Program Files** (Series 0034-629)
Correspondence, minutes, policy and procedure manuals, and other documents relating to the administration of the KanWork program which provides job training to public assistance recipients.

**Entry Status:** Ready for SRB
**Retention Period:** 005 fisc yrs
**Disposition:** Archives
**Restrictions:** None
**Comments:** Retain 5 fiscal years, then transfer to the archives for purging.

09/28/2011: OBSOLETE SERIES. Contact State Archives for appraisal.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-104
**Last Surveyed** 25 October 2010
**Record Copy:** Unknown

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**KanWork Training Files** (Series 0035-629)
Materials used to conduct training sessions for staff involved in the KanWork program.

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

09/28/2011: OBSOLETE SERIES. Follow disposition for all remaining documents.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-104
**Last Surveyed** 25 October 2010
**Record Copy:** Unknown
**Remarks:** 10/25/2010: Obsolete series. Follow disposition for all remaining records.

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**Mobile Job Club Files** (Series 0037-629)
Variety of documents relating to the administration of the Mobile Job Club program which provides public assistance recipients with access to employment training opportunities.

**Entry Status:** Ready for SRB
**Retention Period:** See Comments
**Disposition:** Archives
**Restrictions:** None
**Comments:** OBSOLETE SERIES. Contact State Archives for appraisal.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-104
**Last Surveyed** 10 October 2011
**Record Copy:** Paper
629-005
Department of Social and Rehabilitation Services
Operations
Area Offices

Client Case Files - Income Maintenance (Series 0707-629)
Applications and supporting documentation used to determine the eligibility of individuals for programs and records documenting all case activities.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Produced only in electronic format. Retain data until no longer useful or 3 years whichever is longer, then delete. Complies with new federal regulations.
Schedule Authority: Agency Schedule
KAR Number 53-2-115
Last Surveyed 25 October 2010
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required

Division of Income Maintenance
Area Offices

Card Files - Master (Series 0237-629)
Index cards containing information on clients created for convenience of reference.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Retain until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

Cases Closed for Non-Receipt of Monthly Report (Series 0318-629)
Monthly computer printout (CR 121) listing cases closed because the client failed to submit the required monthly report.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Retain until no longer useful, then destroy.
09/28/2011: OBSOLETE SERIES. Follow disposition requirements for any remaining records.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

Cases Notified of Monthly Report Non-Receipt (Series 0261-629)
Monthly computer printout (CR 120) listing the names of clients who failed to submit the required monthly report to alert the eligibility worker.
Entry Status: Ready for SRB
Retention Period: 001 cldr yr
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: OBSOLETE SERIES. Follow disposition requirements for any remaining records.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

Discrepancy Reports (Bendex Letters) (Series 0200-629)
Computer generated letters (SWRUN D12) informing eligibility caseworkers of discrepancies between information in income maintenance case files and Social Security Administration files.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: KSA 39-709b
Comments: Retain until no longer useful, then transfer to individual case file.
OBSOLETE SERIES. Follow disposition requirements for any remaining documents.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

Dummy Warrant Register (Series 0214-629)
Computer printout (MR 180) listing warrants issued to clients.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: OBSOLETE SERIES. Follow disposition requirements for any remaining documents.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

Food Stamp Benefits For Local Office Pick Up Report (Series 0213-629)
Daily computer printout (MR 200) listing clients who have reported mail loss and have requested food stamp benefit replacement.
Entry Status: Ready for SRB
Retention Period: 001 fisc yr
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: OBSOLETE SERIES. Follow disposition requirements for any remaining records.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 10 October 2011
Record Copy: Unknown

IRS Unearned Income Tracking Report (Series 0370-629)
Monthly computer printout (CR 535) containing information obtained from the IRS on unearned income received by clients.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Retain until no longer useful, then destroy.
OBSOLETE SERIES. Follow disposition requirements for any remaining records.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

KANWORK Program Files (Series 0218-629)
Variety of documents related to the administration of the KANWORK employment training program for income maintenance clients.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: KSA 39-709b
Comments: Retain until no longer useful, then transfer to the archives.
OBSOLETE SERIES. Contact State Archives for appraisal.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

Log Book (Series 0228-629)
Log listing the numbers assigned to correspondence.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
OBSOLETE SERIES. Follow disposition requirements for any remaining records.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Unknown

Low Income Energy Assistance Program Master Report (Series 0236-629)
Annual computer printout (SW61905V) listing Low Income Energy Assistance Program clients and benefits received during the previous year.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: KSA 39-709b
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 10 October 2011
Record Copy: Unknown

Low Income Energy Assistance Program Payment Register (Series 0239-629)
Computer printout (SW61233C) listing warrants issued to Low Income Energy Assistance Program clients.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: KSA 39-709b
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending

Low Income Energy Assistance Program Weekly Report (Series 0238-629)
Weekly reports created to monitor the number of Low Income Energy Assistance applications received and processed.
Entry Status: Ready for SRB
Retention Period: 001 cldr yr
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 28 September 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required

Procedures Manuals (Series 0263-629)
Office copies of agency procedures issued in collective manual including Income Support & Medical Services Commissioner's letters.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until superseded, then destroy. Original copies are retained in the central office.
Schedule Authority: Agency Schedule
KAR Number 53-2-096
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: Series SUPERSEDED by general retention schedule - Procedure Manual 0087-000

Quality Control Files (Series 0207-629)
Office copies of documents relating to quality control unit reviews of selected cases.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b  
Comments: Retain 4 years then destroy  
Schedule Authority: Agency Schedule  
KAR Number 53-2-096  
Last Surveyed 10 October 2011  
Record Copy: Unknown  
Remarks: 10/28/2011 Disposition changed from: Retain until no longer useful to a 4 yr. disposition then destroy - recommendations from agency staff.

Supplemental Security Income Monthly Payment Report (Series 0201-629)  
Monthly computer printout (SWRUN 115) reporting Supplemental Security Income payments received by income maintenance clients used to monitor client eligibility.  
Entry Status: Ready for SRB  
Retention Period: 001 cldr yr  
Disposition: Destroy  
Restrictions: KSA 39-709b  
Comments: OBSOLETE SERIES. Follow disposition requirements for any remaining records.  
Schedule Authority: Agency Schedule  
KAR Number 53-2-096  
Last Surveyed 28 September 2011  
Record Copy: Unknown  

Central Office

Correspondence - Policy Related (Series 0744-629)  
Incoming and outgoing letters and memoranda that state or from the basis for policy, set precedent, or record important events in the operational history of the agency.  
Entry Status: Ready for SRB  
Retention Period: 005 cldr yrs  
Disposition: Archives  
Restrictions: None  
Comments: Retain until no longer useful, then transfer to the archives.  
Schedule Authority: General Schedule  
KAR Number 53-2-095  
Last Surveyed 10 October 2011  
Record Copy: Unknown  
Remarks: Series SUPERSEDED by general schedule - Correspondence-Policy Related 0027-000

Economic & Employment Support

Child Development Associate Scholarship Application Files (Series 0561-629)  
Applications, correspondence, award letters, and other documents relating to applications for federally funded Child Development Associate Scholarships.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions:
Comments: Retain 5 years after the end of the grant period, then transfer to the archives for purging.
OBSOLETE series. Contact State Archives for appraisal.
Schedule Authority: Agency Schedule
KAR Number 53-2-104
Last Surveyed 10 October 2011
Record Copy: Unknown

Employment Preparation Services

Grant Files - Funded (Series 0637-629)
Variety of documents relating to applications for federal, state, and private grants and to the implementation of those received.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain 5 years after the end of the grant period, transfer original applications and annual and final performance reports to the archives, destroy remaining documents.
Schedule Authority: General Schedule
KAR Number 53-2-104
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: Series SUPERSEDED by general schedule - Grant Files funded 0049-000

Refugee Arrivals and Assurances Report (Series 0599-629)
Copy of federal report documenting the arrival and settlement of refugees into the country.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
OBSOLETE SERIES. Follow disposition requirements for any remaining records.
Schedule Authority: Agency Schedule
KAR Number 53-2-104
Last Surveyed 28 September 2011
Record Copy: Unknown

Technical Reference Files - Contracts (Series 0559-629)
Memoranda, articles, and other materials compiled from various sources maintained as a guide to writing and monitoring contracts.
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Retain until no longer useful, then destroy. OBSOLETE SERIES. Follow disposition requirements for any remaining records.

**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-104  
**Last Surveyed** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** 10/27/2011: Series OBSOLETE. Follow disposition requirements for any remaining records.

**Work Incentive Program (WIN) Grant Reduction Files** (Series 0630-629)  
Correspondence, reduction reports, and other documents relating to the administration of the WIN program grant reduction.  
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** OBSOLETE series. Follow disposition requirements for any remaining records.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-104  
**Last Surveyed** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** 10/28/2011. OBSOLETE SERIES. Follow disposition requirements for any remaining records.

**Work Incentive Program (WIN) Program Files** (Series 0648-629)  
Correspondence, reports, and other documents relating to the administration of the WIN program which provides employment and training opportunities to qualified recipients.  
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Archives  
**Restrictions:** None  
**Comments:** OBSOLETE series. Contact State Archives for appraisal.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-104  
**Last Surveyed** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** 10/28/2011 OBSOLETE series. Contact State Archives for appraisal.

**629-008**  
**Department of Social and Rehabilitation Services**  
**Integrated Service Delivery**

**AFDC - Medicaid Negative Case Action Report** (Series 0001-629)
Computer printout listing the cases closed or denied for AFDC or Medicaid assistance which are reviewed for quality control purposes.

**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** KSA 39-709b  
**Comments:** OBSOLETE series. Follow disposition requirements for any remaining records.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-105  
**Last Surveyed** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** 10/28/2011 OBSOLETE series. Follow disposition requirements for any remaining records.

**AFDC - Medicaid Positive Case Action Report** (Series 0002-629)  
Computer printout listing the cases opened for AFDC or Medicaid assistance which are reviewed for quality control purposes.  
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** KSA 39-709b  
**Comments:** OBSOLETE series. Follow disposition requirements for any remaining records.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-105  
**Last Surveyed** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** 10/28/2011 OBSOLETE series. Follow disposition requirements for any remaining records.

**AFDC Quality Control Review Schedule Reserve Form** (Series 0003-629)  
Form generated by the federal government randomly selecting AFDC cases to be reviewed by SRS staff for quality control purposes.  
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** KSA 39-709b  
**Comments:** OBSOLETE series. Follow disposition requirements for any remaining records.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-105  
**Last Surveyed** 10 October 2011  
**Record Copy:** Paper  
**Remarks:** 10/28/2011 OBSOLETE series. Follow disposition requirements for any remaining records.

**Division of Income Maintenance**  
**Central Office**
Correspondence - Routine (Series 0266-629)
Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain in office 4 years, transfer to the records center for 3 years, then destroy. Supersedes general schedule.
Schedule Authority: Agency Schedule
KAR Number 53-2-095
Last Surveyed 10 October 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 10/27/2011: Changed the division under which these records are created to EES.

Economic & Employment Support

Client Case Files - Employment Preparation Services (Series 0708-629)
Applications and supporting documentation used to determine the eligibility of individuals for services and records documenting all case activities.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Produced in paper and electronic format. Retain data until no longer useful or 3 years, whichever is longer, then delete. Complies with new federal regulations. OBSOLETE series. Follow disposition requirements for any remaining records.
Schedule Authority: Agency Schedule
KAR Number 53-2-115
Last Surveyed 10 October 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required

Community Work Experience Program Files (CWEP) (Series 0022-629)
Agreements between SRS and cooperative worksites and other documents relating to the administration of CWEP which provides employment opportunities for individuals receiving public assistance.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until expiration of the agreement plus 3 years, then transfer to the archives for purging.
Schedule Authority: Agency Schedule  
KAR Number 53-2-104  
Last Surveyed 10 October 2011  
Record Copy: Unknown  
Remarks: 10/27/2011: Changed the division under which these records are created to EES; reduced time from 5 to 3 years after expiration of agreement.

Complaint Files (Series 0278-629)  
Correspondence and documentation relating to complaints made by clients and the general public about Division of Income Maintenance services and activities.  
Entry Status: Ready for SRB  
Retention Period: 003 cldr yrs  
Disposition: Archives  
Restrictions: KSA 45-221(a)(14)  
Schedule Authority: Agency Schedule  
KAR Number 53-2-095  
Last Surveyed 10 October 2011  
Record Copy: Unknown  
Remarks: Oct. 27, 2011: Changed the division under which these records are created to EES. Disposition reduced from 4 to 3 cldr yrs - recommendation from agency staff.

Comprehensive Adult Student Assessment System Files (Series 0023-629)  
Variety of documents relating to the Comprehensive Adult Student Assessment System which is a test used in the JOBS program to measure skills and educational level of participants.  
Entry Status: Ready for SRB  
Retention Period: See Comments  
Disposition: Destroy  
Restrictions: None  
Comments: Retain three years after case closure, then destroy. OBSOLETE SERIES. Follow disposition requirements for any remaining documents.

Schedule Authority: Agency Schedule  
KAR Number 53-2-104  
Last Surveyed 10 October 2011  
Record Copy: Unknown  
Remarks: 10/25/2010: Shortened retention from 5 fiscal years; changed Division from Health Care Policy.  
10/27/2011: OBSOLETE SERIES. Follow disposition requirements for any remaining records.

Correspondence - Federal (Series 0267-629)  
Incoming and outgoing letters and memoranda to a variety of federal agencies.  
Entry Status: Ready for SRB  
Retention Period: See Comments  
Disposition: Destroy  
Restrictions: None  
Comments: Retain in office 4 years, transfer to the records center for 3 years, then destroy.

Schedule Authority: General Schedule  
KAR Number 53-2-095  
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: Changed the division under which these records are created to EES

Food Stamp Program Federal Reports (Series 0272-629)
Variety of computer generated statistical reports required by the federal government to monitor
the food stamp program to ensure compliance and accountability.
Entry Status: Ready for SRB
Retention Period: 004 fisc yrs
Disposition: Archives
Restrictions: Portions under 7CFR 272.1(s)
Comments: Retain 4 years, then transfer to the archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-095
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: Changed the division under which these records are created to EES.

Policy Statements (Series 0260-629)
Original copies of formal explanations of agency policies and procedures issued in individual
statement formats including Income Support & Medical Services Commissioner's letters.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until superseded or no longer in effect, then transfer to the archives. Retain
convenience copies until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-095
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: Changed the division under which these records are created to EES.

Reference Files - Refugee Program (Series 0043-629)
Copies of correspondence, brochures, reports, and other documents relating to refugee programs
that are maintained for convenience of reference.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-104
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: 10/27/2011: Changed the division under which these records are created to EES.

Refugee Financial Reports (Series 0554-629)
Variety of reports completed by SRS staff maintained to monitor expenditures incurred
throughout the refugee program.

**Entry Status:** Ready for SRB  
**Retention Period:** 010 fisc yrs  
**Disposition:** Destroy  
**Restrictions:** None  
**Schedule Authority:** Agency Schedule  
**KAR Number:** 53-2-104  
**Last Surveyed:** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** Changed the division under which these records are created to EES.

**Subject Files** (Series 0269-629)  
Working files containing convenience copies of a wide variety of documents regarding division activities maintained by individual staff members.  
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Retain until no longer useful, then destroy.  
**Schedule Authority:** Agency Schedule  
**KAR Number:** 53-2-095  
**Last Surveyed:** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** Changed the division under which these records are created to EES.

**Subject Files - Kansas Cares** (Series 0047-629)  
Correspondence and other materials relating to the Kansas Cares computer system for the JOBS, MOST and child care programs.  
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Retain and dispose of in conjunction with associated computer system.  
**Schedule Authority:** General Schedule  
**KAR Number:** 53-2-104  
**Last Surveyed:** 10 October 2011  
**Record Copy:** Unknown  
**Remarks:** Changed the division under which these records are created to EES.

**Subject Files - United States Department of Agriculture (USDA)** (Series 0635-629)  
Variety of documents relating to policy information distributed by the USDA to update SRS staff.  
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Retain until no longer useful, then destroy.  
**Schedule Authority:** Agency Schedule
KAR Number 53-2-104
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: Changed the division under which these records are created to EES.

Working Files - Quality Control Specialist (Series 0609-629)
Correspondence, interview notes, reports, etc. relating to the operation of the quality control review process conducted on the various types of client cases.

Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 39-709b
Comments: Retain until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-109
Last Surveyed 10 October 2011
Record Copy: Unknown
Remarks: Changed the division under which these records are created to EES.
1. **Agency:** Kansas Department of Transportation

2. **Records Officer:** Susan Maxon  **Phone:** 368-8925

3. **Appraising Archivist:** Marcella Wiget

4. **Date of Appraisal:** December 2011/January 2012

5. **Total records - No. of Series:** 13

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 the Records Officer Susan Maxon at KDoT.

9. **Appraisal Narrative:**
   
   Records Officer Susan Maxon contacted KSHS staff to revise some existing series and to create new series entries, largely for records that are now obsolete but had not been scheduled before. These records cannot be destroyed until they have been scheduled.
Retention/Disposition Schedule Entries

276-008
Kansas Department of Transportation
Division of Operations

Contractor's Qualification Statement and Experience Questionnaire (Series Unknown)
DOT Form 208, filed with the Director of Operations for the purpose of qualifying to bid on
construction projects, providing a rating to determine the total amount of work in dollars
allowable in any one or more classifications of work which the bidder may have under contract
at any one time. The statement includes the following sections: A) desired class(es) of work; B)
contractor's balance sheet; C) independent CPA, certificate, and permit numbers; D) affidavit of
individual, co-partnership, corporation; E) contractors experience questionnaire; F) contractors
certificate.
Entry Status: Draft
Retention Period: See comments.
Disposition: Destroy
Restrictions: Restricted per KSA 45-221(a)(12), KSA 45-221(a)(45).
Comments: Originals retained for one year from the date of qualification, then scanned.
Scanned version is retained for six years then destroyed.
Schedule Authority: Agency schedule
Last Surveyed 28 December 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required

276-020
Kansas Department of Transportation
Bureau of Fiscal Services
Federal Aid

Federal Aid Billing (Series Unknown)
Computer-generated report of federally funded projects documenting federal participation, cost-
to-date, and amount billed to the Federal Highway Administration (FHWA), saved to the storage
area network (SAN) and copied to CD. Printed copies are made for convenience.
Entry Status: Draft
Retention Period: See comments.
Disposition: Destroy
Restrictions: None
Comments: Retain printed copy of current year and 1 year prior, then destroy. CDs retained for
five years, then destroy. SAN backup is retained for five years, then destroyed. CD is official
record copy. Prior to scanning to CD, Federal Aid Billing was stored on micromedia, now
obsolete--destroy immediately.
Schedule Authority: Agency schedule
Last Surveyed 28 December 2011
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required  

Obligation records (Series Unknown)  
Computer-generated reports, posting sheets, and other related reports and records documenting obligation authority for local, state, and federal funds for highway projects.  
Entry Status: Draft  
Retention Period: Retain three years, then destroy.  
Disposition: Destroy  
Restrictions: None.  
Comments: OBSOLETE SERIES. Destroy immediately.  
Schedule Authority: Agency schedule  
Last Surveyed 28 December 2011  
Record Copy: Unknown  

276-034  
Kansas Department of Transportation  
Office of Financial and Investment Management  

Debt-related prequalification documents (Series Unknown)  
Documents created and maintained to identify qualified commercial bank liquidity providers.  
Entry Status: Draft  
Retention Period: Retain for five years, then destroy.  
Disposition: Destroy by shredding.  
Restrictions: Restricted per KSA 45-221(a)(18), KSA 45-221(a)(27).  
Schedule Authority: Agency schedule  
Last Surveyed 21 December 2011  
Record Copy: Paper  

Highway Debt Management Reports (Series Unknown)  
Reports generated for internal use for the management of agency debt and investments, including no event of default certificate report, debt management placemat, weekly variable rate debt snapshot for internal use only, and the quarterly report to liquidity providers as required by contract.  
Entry Status: Draft  
Retention Period: See comments  
Disposition: Destroy  
Restrictions: Portions may be restricted per KSA 45-221(a)(18), KSA 45-221(a)(27).  
Comments: Retain quarterly report to liquidity providers until superseded or until end of next quarterly reporting period, then destroy. Destroy internal reports when no longer useful.  
Schedule Authority: Agency schedule  
Last Surveyed 21 December 2011  
Record Copy: Unknown  
Highway Debt Management contracts (Series Unknown)
Records related to debt management contracts for the agency including remarketing agents, advisors, underwriters, and rating agencies.
Entry Status: Draft
Retention Period: Retain 3 years following completion of the contract, then destroy.
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(18), KSA 45-221(a)(27).
Comments: Supersedes general schedule retention series for contracts.
Schedule Authority: Agency schedule
Last Surveyed 28 December 2011
Record Copy: Unknown

Highway Debt Management records (Series Unknown)
Records related to agency debt service and bond proceeds. Includes disclosure and procurement documents, resolutions, and transaction analysis. Does not include canceled certificates, contracts, policy documents, prequalification documents, reports, or rating agency presentations scheduled separately.
Entry Status: Draft
Retention Period: See comments.
Disposition: Destroy
Restrictions: Portions may be restricted per KSA 45-221(a)(18), KSA 45-221(a)(27).
Comments: Retain three years following the cancellation of the bond certificate or closure of book entry, then destroy.
Schedule Authority: Agency schedule
Last Surveyed 21 December 2011
Record Copy: Unknown

Rating Agency Presentations (Series Unknown)
Presentations provided to educate rating analysts on Kansas Department of Transportation revenues, debt service coverage, and debt management policies and practices in support of the rating agencies issuance of a credit rating.
Entry Status: Draft
Retention Period: Retain until superseded or no longer useful, then destroy.
Disposition: Destroy
Restrictions: None.
Schedule Authority: Agency schedule
Last Surveyed 21 December 2011
Record Copy: Unknown

Revolving Funds for Financing Assistance (Series Unknown)
Documents and transactions related to Transportation Revolving Funds. Includes loan applications, agreements, loan specific details, program guides, resolutions, correspondence, transaction details, and reports.
Entry Status: Draft
Retention Period: See comments.
Disposition: Destroy
Restrictions: None
Comments: Retain in office three years after final payment of loan, then scan non-financial documents and destroy the remainder. Save scanned images in document management system for 10 years, then destroy.
Schedule Authority: Agency schedule
Last Surveyed 21 December 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Retention/Disposition Schedule Entries

276-002
Kansas Department of Transportation
Office of the Secretary

Agency Director's Files (Series 0010-276)
Variety of paper and electronic correspondence, executive staff meeting agendas, minutes, etc. related to the administration and operation of the agency.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions per K.S.A. 45-221(a)(4)(14)
Comments: Supersedes general schedule entry. Retain until no longer useful, then transfer appropriate policy or major project related records to the archives for purging
Schedule Authority: Agency Schedule
KAR Number 53-2-148
Last Surveyed 03 January 2012
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Remarks: 01/03/2012: Modified description, modified retention period comments.

Office of the Secretary

Agency Director's Administrative Files (Series 0011-276)
Incoming and outgoing correspondence and supporting documentation relating to comments, inquiries, complaints, etc. relating to the various highways across the state.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions per K.S.A. 45-221(a)(14)
Comments: Retain until no longer useful, then transfer appropriate policy or major project-related records to archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-148
Last Surveyed 20 December 2011
Record Copy: Unknown
Remarks: 12/20/2011: Changed series title; changed comments.

276-011
Kansas Department of Transportation
Office of Management and Budget

Legislators Files (Series 0124-276)
Paper and electronic testimony, fiscal notes, bills, tracking requests from legislators to KDOT or notifying legislators of actions taken by the agency.
Entry Status: Ready for SRB  
Retention Period: 004 cldr yrs  
Disposition: See Comments  
Restrictions: None  
Comments: Retain paper copies in office 4 calendar years, then transfer paper copies to the archives for purging. Retain electronic copies until no longer useful, then destroy.  
Schedule Authority: Agency Schedule  
KAR Number 53-2-155  
Last Surveyed 21 December 2011  
Record Copy: Paper  
Remarks: 05/01/2007: Revised General Schedule entry.  
12/28/2011: Series can be superseded by general schedule Legislative Relations, 0069-000.

276-034  
Kansas Department of Transportation  
Office of Financial and Investment Management  

Highway Revenue Bonds (Series 0004-276)  
Certificate of registered highway bonds sent to the agency documenting completed payment by the owner.  
Entry Status: Ready for SRB  
Retention Period: 005 cldr yrs  
Disposition: See Comments  
Restrictions: None  
Comments: Retain in office 5 calendar years, then destroy or sell if feasible.  
Schedule Authority: Agency Schedule  
KAR Number 53-2-118  
Last Surveyed 20 December 2011  
Record Copy: Unknown  
Remarks: 12/20/2011: Changed sub-agency ownership to OFIM; corrected description.
1. **Agency:** Board of Nursing  
2. **Records Officer:** Carol Moreland      **Phone:** 296-5036  
3. **Appraising Archivist:** Lu Harris / Marcella Wiget  
4. **Date of Appraisal:** 11 Nov. 2011  
5. **Total records - No. of Series:** 17  
6. **Archival/Permanent records - No. of Series:** 8  
7. **Records Eligible for Immediate Transfer to Archives:**  
   **No. of Series:** 0  
8. **Appraisal Based Upon:**  
   Discussions with the Records Officer Carol Moreland at the Board of Nursing.  
9. **Appraisal Narrative:**  
   Board of Nursing contacted the Archive Division to discuss an overhaul of their agency’s retention schedule. We reviewed the proposed changes made by the Board of Nursing and are submitting a portion of the schedules for approval. Most series have been superseded by the general retention and disposition schedule. One schedule has had minor adjustments made to the records series title. More agency-specific schedules will be appraised for future State Records Board meetings.
Retention/Disposition Schedule Entries

482-001
Board of Nursing

**Annual and Special Reports** (Series 0005-482)
General and specific reports on agency activities.
**Entry Status:** Ready for SRB
**Retention Period:** See Comments
**Disposition:** Archives
**Restrictions:** None
**Comments:** Retain until no longer useful, then transfer to the archives.

**Schedule Authority:** General Schedule
**KAR Number** 53-2-097
**Last Surveyed** 30 November 2011
**Record Copy:** Paper
**Remarks:** 11/30/11 - SUPERSEDED by General Schedule 0005-000 - Annual and Special reports

**Budget Preparation Files - Annual** (Series 0052-482)
Documents used in the preparation of annual agency budgets: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.
**Entry Status:** Ready for SRB
**Retention Period:** 005 fisc yrs
**Disposition:** See Comments
**Restrictions:** None
**Comments:** Contact the archives for appraisal - if not accepted for transfer to the archives, then destroy.

**Schedule Authority:** General Schedule
**KAR Number** 53-2-097
**Last Surveyed** 30 November 2011
**Record Copy:** Unknown
**Remarks:** 11/30/11: SUPERSEDED by general schedule 0016-000 - Budget Preparation Files - Annual

**Budget Requests and Appeals - Annual** (Series 0008-482)
Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 thru 518 and associated supporting documents.
**Entry Status:** Ready for SRB
**Retention Period:** 005 fisc yrs
**Disposition:** Archives
**Restrictions:** None
**Schedule Authority:** General Schedule
**KAR Number** 53-2-097
**Last Surveyed** 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0017-000 - Budget Requests and Appeals - Annual

Contracts (Series 0011-482)
Legal agreements with individuals and organizations. Includes all associated documents, e.g. DA-146 series.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until expiration of contract plus 5 calendar years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule - 0026-000 - Contracts Correspondence - Policy Related (Series 0013-482)
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.
Entry Status: Ready for SRB
Retention Period: 005 cldr yrs
Disposition: Archives
Restrictions: None
Comments: Retain in office 5 calendar years, then transfer to the archives for purging.
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0027-000 - Correspondence - Policy Related

Correspondence - Routine (Series 0053-482)
Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0028-000 - Correspondence-Routine
Employee Personnel Files (Series 0017-482)
Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, INS Resident Status forms, and other personnel materials.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Retain in office for length of employee's tenure plus 3 calendar years. Purge documents to create abstracted work history (appointment data and change of status information), transfer to the records center for 62 calendar years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0036-000-Employee Personnel Files

Employee Time Report Records (Series 0018-482)
Records documenting time worked by individual employees on a daily, weekly, or monthly basis: time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, etc.
Entry Status: Ready for SRB
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Internal agency forms. See also Leave Requests.
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0039-000-Employee Time Report Records

Employment Applications - Not Hired (Series 0019-482)
DA forms 203 and supplementary materials submitted by unsuccessful applicants for employment.
Entry Status: Ready for SRB
Retention Period: 003 cldr yrs
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0043-000-Employee Applications-Not Hired

Legislative Relations Files (Series 0025-482)
Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, and other
miscellaneous documents related to the various legislative activities.

Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until no longer useful, then transfer to the archives for purging.
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11; SUPERSEDED by general schedule 0069-000-Legislative Relations Files

Newsletters (Series 0037-482)
Newsletters distributed to nursing professionals throughout the state to keep them informed of board activities and other developments relating to nursing.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until no longer useful, then transfer 2 copies to the archives, destroy the remainder.
Schedule Authority: Agency Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0091-000-Publications

Policy Statements (Series 0054-482)
Original copies of formal explanations of agency policies and procedures issued in individual statement formats.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until superseded or no longer in effect, then transfer 1 copy to the archives. Retain convenience copies until no longer useful, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0084-000-Policy Statements

Procedures Manuals (Series 0063-482)
Original copies of agency procedures issued in a collective manual.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until superseded or no longer in effect, then transfer 1 copy to the archives, destroy the remainder.

Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0087-000-Procedure Manuals

Purchase Requests - Internal (Series 0055-482)
Documents used by subordinate organizations to request purchases of goods and services through the agency central purchasing office.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0092-000-Purchase Orders-Internal

Receipts Records - Cash (Series 0056-482)
Records of cash received by the agency: receipt slips, receipt books, receipt ledgers, etc.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: SUPERSEDED by general schedule 0094-000-Receipt Records-Cash

Subject Files - Director of Operations (Series 0049-482)
Variety of documents relating to routine office matters.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-097
Last Surveyed 30 November 2011
Record Copy: Unknown
Remarks: 11/30/11: Changed series title from: Subject Files-Office Manager to - Subject Files-Director of Operations

Vouchers - Purchase (Series 0057-482)
Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA-120.

**Entry Status:** Ready for SRB  
**Retention Period:** 003 fisc yrs  
**Disposition:** Destroy  
**Restrictions:** None  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-097  
**Last Surveyed** 30 November 2011  
**Record Copy:** Unknown  
**Remarks:** 11/30/11: SUPERSEDED by general schedule 0093-000 - Purchasing Records
1. **Agency:** Kansas Corporation Commission

2. **Records Officer:** Dawn Dubach  
   **Phone:** 271-3113

3. **Appraising Archivist:** Lu Harris, Marcella Wiget

4. **Date of Appraisal:** January 2012

5. **Total records - No. of Series:** 76

6. **Archival/Permanent records - No. of Series:** 26

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

8. **Appraisal Based Upon:**

   Discussions with the Records Officer Dawn Dubach at Kansas Corporation Commission.

9. **Appraisal Narrative:**

   Kansas Corporation Commission contacted the State Archives Division to discuss an overhaul of their agency’s retention and disposition schedule. We reviewed the proposed changes made by the Kansas Corporation Commission and are submitting a portion of the schedules for approval. All series have been superseded by the general retention and disposition schedule. More agency-specific schedules will be appraised at future State Records Board meetings.
Retention/Disposition Schedule Entries

143-010
State Corporation Commission
Administrative Division

Annual and Special Reports (Series 0008-143)
General and specific reports on agency activities.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until no longer useful, then transfer to archives.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 1/5/12 - SUPERSEDED by general schedule: 0005-000 - Annual and Special Reports

Accounting Section

Audit Reports (Series 0014-143)
Results of audits conducted by Legislative Division or Post-Audit, other state and/or federal auditing agencies, or contracted auditors.
Entry Status: Ready for SRB
Retention Period: 005 fisc yrs
Disposition: Archives
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Paper
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0009-000 - Audit Reports

Banking Records (Series 0017-143)
Bank statements, deposit books and slips, check registers, and cancelled checks.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Paper
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0012-000 - Banking Records
Batch Transmittal Forms (Series 0019-143)
Completed forms used to transmit documents for mass computer input - includes both DA forms 199 and/or equivalent internal documents.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain in conjunction with transmitted documents.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Paper
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0013-000 - Batch Transmittal Forms

Bid Records (Series 0020-143)
Documents related to requests for proposals, bids, quotations, or estimates.
Entry Status: Ready for SRB
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: See also Contracts, Accounts Payable Records, Purchasing Records, Vendor Files, and Vouchers - Purchase.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0014-000 - Bid Records

Budget Preparation Files - Annual (Series 0023-143)
Documents used in the preparation of annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.
Entry Status: Ready for SRB
Retention Period: 005 fisc yrs
Disposition: See Comments
Restrictions: None
Comments: Contact the archives for appraisal. If not accepted by the archives, destroy.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0016-000 - Budget Preparation Files-Annual

Budget Requests and Appeals - Annual (Series 0025-143)
Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 through 518 and associated supporting documents.
Entry Status: Ready for SRB
Retention Period: 005 fisc yrs
Disposition: Archives
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0017-000 - Budget Requests and Appeals-Annual

Employee Withholding Allowance Certificates (Series 0067-143)
Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 79-3234
Comments: Retain until no longer in effect, then destroy provided four years have passed since date tax was due or paid (whichever is later).
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0042-000 - Employee Withholding Allowance Certificates

Leases - Real Property, and Capital Equipment (Series 0093-143)
Documents related to the leasing of real estate and equipment.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until superseded or inactive PLUS 5 calendar years.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0066-000 - Leases-Real Property and Capital Equipment

Ledgers - General (Series 0095-143)
General records maintained by agencies of financial receipts and expenditures normally used to monitor, manage, and verify agency budget.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Archives
Restrictions: None
Comments: This series includes only internal documents.
Payroll Adjustment Records (Series 0112-143)
Copies of documents and supporting materials used to make adjustments in agency payroll accounts: forms AR-9, AR-10, DA-10, DA-10a, DA-21 series, DA-171 through 177, and DA-251 through 262.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: This schedule does not apply to copies of these records maintained by the Division of Accounts and Reports. See also Payroll Direct Deduction Authorization Records - General

Payroll Direct Deposit Authorization Records (Series 0115-143)
Completed forms used to authorize direct deposits of payroll checks in employee bank accounts.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Retain until no longer in effect plus 2 years, then destroy.

Petty Cash Records (Series 0120-143)
Documents related to petty cash accounting: DA-71 through 73.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0077-000 - Payroll Adjustment Records
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0079-000 - Payroll Direct Deposit Authorization Records

Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0068-000 - Ledgers - General

Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0077-000 - Payroll Adjustment Records

Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0079-000 - Payroll Direct Deposit Authorization Records
Postal Records (Series 0125-143)
Records concerning the use of the U. S. Postal Service and express companies: mailing logs, postage purchase reports, registered mail receipts, express company receipts, mailing permits, etc.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0085-000 - Postal Records

Property Disposition Records - Non-Expendable (Series 0128-143)
Copies of DA forms 110 and supporting documents used to remove capital equipment from the agency inventory.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0090-000 - Property Disposition Records - Non-Expendable

Purchase Requests - Internal (Series 0132-143)
Documents used by subordinate organizations to request purchases of goods and services through the agency central purchasing office.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0092-000 - Purchase Orders-Internal

Purchasing Records (Series 0135-143)
Documents related to the purchase of goods and services: correspondence, vouchers, invoices, ledger books and cards, invoices, vouchers, etc.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0093-000 - Purchasing Records

Statements of Lost Warrants (Series 0149-143)
Copies of DA form 6 used to request re-issues of lost warrants.
Entry Status: Ready for SRB
Retention Period: curr fisc yr
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0107-000 - Statement of Lost Warrants

Telephone Billing Records (Series 0153-143)
Copies of computer billings and supporting documents concerning the use of a telecommunications service provider.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0116-000 - Telephone Billing Records

Vendor Files (Series 0157-143)
Records concerning purchases from specific vendors: invoices, correspondence, vouchers, ledger books and cards, etc.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: Retain for 5 fiscal years if record is subject to KSA 75-3704(e). See also Vouchers - Purchase Purchasing Records, Bid Records, Contracts, and Accounts Payable Records.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Vouchers - Journal (Series 0161-143)
DA forms 35 series used to adjust financial account balances.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0124-000 - Vouchers-Journal

Vouchers - Receipts (Series 0162-143)
Copies of documents used to transfer funds received by agencies from individuals and organizations into their particular accounts: forms DA-3 series.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0126-000 - Vouchers-Receipts

Vouchers - Travel (Series 0163-143)
Copies of documents used to certify the validity of claims for the reimbursement of travel expenses: DA forms 121, 122, and 123.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: Includes all variations of forms, eg., DA-121E and 121R, etc.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0127-000 - Vouchers-Travel

Commissioners, Offices of

Schedules - Office Activities (Series 0145-143)
Internal forms, appointment books, paper and electronic calendars used to schedule employees, office activities, vehicles, meeting rooms, etc.).
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0099-000 - Schedules-Office Activities

Speeches and Writings (Series 0147-143)
Notes, drafts, and final versions of agency related speeches, articles, talks, and other formal public communications published or given at meetings and conferences.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until no longer useful, then transfer to the archives, for purging.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0103-000 - Speeches and Writings

Telecommunications Logs (Series 0152-143)
Registers recording incoming and outgoing telephone calls and fax transmissions.
Entry Status: Ready for SRB
Retention Period: 6 months
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0114-000 - Telecommunication's log

Visitors Logs (Series 0159-143)
Registers or logs used to record names of employees, outside contractors, service personnel, and other visitors admitted to agency facilities.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until no longer useful, then contact the archives for appraisal. If not accepted by the archives, then destroy.
Schedule Authority: Agency Schedule
Computer Services

**Correspondence - Policy Related** (Series 0040-143)
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organization history of the agency.

**Entry Status:** Ready for SRB

**Retention Period:** 005 cldr yrs

**Disposition:** Archives

**Restrictions:** None

**Comments:** Retain in office 5 calendar years, then transfer to the archives for purging.

**Schedule Authority:** General Schedule

**KAR Number** 53-2-070

**Last Surveyed** 05 January 2012

**Record Copy:** Unknown

**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0027-000 - Correspondence-Policy Related

Energy Analysis

**Correspondence - Policy Related** (Series 0042-143)
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.

**Entry Status:** Ready for SRB

**Retention Period:** 005 cldr yrs

**Disposition:** Archives

**Restrictions:** None

**Comments:** Retain in office 5 calendar years, then transfer to the archives for purging.

**Schedule Authority:** General Schedule

**KAR Number** 53-2-070

**Last Surveyed** 05 January 2012

**Record Copy:** Unknown

**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0027-000 - Correspondence-Policy Related

Employee Personnel Files - Office Copies (Series 0064-143)
Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, etc.) maintained for convenience of reference.

**Entry Status:** Ready for SRB

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** KSA 45-221(a)(4)
Comments: Retain for length of employee's tenure plus 5 calendar years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-070
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0037-000 - Employee Personnel Files- Office Copies

Energy Section

Architectural Plans, Drawings, Maps, and Specifications (Series 0013-143)
Records documenting physical plant of the agency.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Archives
Restrictions: KSA 45-221(a)(12)
Remarks: Retain until no longer useful, then transfer to archives for purging.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0007-000 - Architectural Plans, Drawings, Maps and Specifications

Audit Reports (Series 0015-143)
Results of audits conducted by Legislative Division of Post-Audit and other state and/or federal auditing agencies.
Entry Status: Ready for SRB
Retention Period: 005 fisc yrs
Disposition: Archives
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Paper
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0009-000 - Audit Reports

Banking Records (Series 0018-143)
Bank statements, deposit books and slips, check registers, and canceled checks.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Paper
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0012-000 - Banking Records

11 January 2012
Executive Director, Office of

**Bid Records** (Series 0021-143)
Documents related to requests for proposals, bids, quotations, or estimates.

- **Entry Status:** Ready for SRB
- **Retention Period:** 005 fisc yrs
- **Disposition:** Destroy
- **Restrictions:** None
- **Comments:** See also: Accounts Payable Records, Contracts, Purchasing Records, Vendor Files, Vouchers - Purchase.
- **Schedule Authority:** General Schedule
- **KAR Number:** 53-2-074
- **Last Surveyed:** 05 January 2012
- **Record Copy:** Unknown
- **Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0014-000 - Bid Records

**Budget Preparation Files - Annual** (Series 0024-143)
Documents used in the preparation of annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.

- **Entry Status:** Ready for SRB
- **Retention Period:** 005 fisc yrs
- **Disposition:** See Comments
- **Restrictions:** None
- **Comments:** Contact the archives for appraisal. If not accepted by the archives, destroy.
- **Schedule Authority:** General Schedule
- **KAR Number:** 53-2-074
- **Last Surveyed:** 05 January 2012
- **Record Copy:** Unknown
- **Remarks:** 2012-01-05 SUPERSEDED by general schedule: Budget Preparation Files-Annual

**Budget Requests and Appeals - Annual** (Series 0026-143)
Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 through 518 and associated supporting documents.

- **Entry Status:** Ready for SRB
- **Retention Period:** 005 fisc yrs
- **Disposition:** Archives
- **Restrictions:** None
- **Schedule Authority:** General Schedule
- **KAR Number:** 53-2-074
- **Last Surveyed:** 05 January 2012
- **Record Copy:** Unknown
- **Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0017-000 - Budget Requests and Appeals-Annual

**Contracts** (Series 0038-143)
Legal agreements with individuals and organizations. Includes all associated documents, e.g., DA-146 series.
Entry Status: Ready for SRB  
Retention Period: See Comments  
Disposition: Destroy  
Restrictions: None  
Comments: Retain until expiration of contract PLUS 5 calendar years, then destroy. See also: Purchasing Records, Vendor Files, Accounts Payable Records, Bid Records, and Vouchers and Requisitions.  
Schedule Authority: General Schedule  
KAR Number 53-2-074  
Last Surveyed 05 January 2012  
Record Copy: Unknown  
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0026-000 - Contracts

Correspondence - Policy Related (Series 0043-143)  
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.  
Entry Status: Ready for SRB  
Retention Period: 005 cldr yrs  
Disposition: Archives  
Restrictions: None  
Comments: Retain in office 5 calendar years, then transfer to the archives for purging.  
Schedule Authority: General Schedule  
KAR Number 53-2-074  
Last Surveyed 05 January 2012  
Record Copy: Unknown  
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0027-000 - Correspondence-Policy Related

Correspondence - Routine (Series 0047-143)  
Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.  
Entry Status: Ready for SRB  
Retention Period: See Comments  
Disposition: Destroy  
Restrictions: None  
Comments: Retain until no longer useful, then destroy.  
Schedule Authority: General Schedule  
KAR Number 53-2-074  
Last Surveyed 05 January 2012  
Record Copy: Unknown  
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0028-000 - Correspondence-Routine

Legislative Relations Files (Series 0096-143)  
Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, and other miscellaneous documents related to various legislative activities.
Personnel Section

Correspondence - Policy Related (Series 0041-143)
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.

Entry Status: Ready for SRB
Retention Period: 005 cldr yrs
Disposition: Archives
Restrictions: None
Comments: Retain in office 5 calendar years, then transfer to the archives for purging.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0069-000 - Legislative Relations Files

Correspondence - Routine (Series 0048-143)
Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.

Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0028-000 - Correspondence-Routine

Employee Personnel Files (Series 0063-143)
Central file of official documents related to the employment of all staff members of the KCC.

Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: KSA 45-221(a)(4)
Comments: Retain 3 years after termination of employment and disposition of any legal action related to employment, then discard, provided a service record for all employees of agency is retained permanently.
Schedule Authority: Agency Schedule
KAR Number 53-2-070
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0036-000 - Employee Personnel Files

Employee Withholding Allowance Certificates (Series 0068-143)
Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 79-3234
Comments: Retain until no longer in effect, then destroy provided four years have passed since date tax was due or paid (whichever is later).
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0042-000 - Employee Withholding Allowance Certificates

Employment Applications - Not Hired (Series 0069-143)
DA forms 203 and supplementary materials submitted by unsuccessful applicants for employment.
Entry Status: Ready for SRB
Retention Period: 003 cldr yrs
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0043-000 - Employment Application - Not Hired

Payroll Adjustment Records (Series 0113-143)
Copies of documents and supporting materials used to make adjustments in agency payroll accounts: forms AR-9, AR-10, DA-10, DA-10a, DA-21 series, DA-171 through 177, DA-251 through 262.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: This schedule does not apply to copies of these records maintained by the Division of Accounts and Reports. See also Payroll Direct Deduction Authorization Records - General.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0077-000 - Payroll Adjustment Records

Payroll Deduction Authorization Records - General (Series 0114-143)
Documents used to authorize various deductions from an employee's pay: insurance enrollments, GHI enrollments, KPERS enrollments, KPERS Annual Account Statements, dues deduction forms, etc.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Retain until superseded or no longer in effect plus 1 calendar year, then destroy. This schedule does not apply to W-4 forms or Payroll Direct Deposit Authorization Record - General.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown

Payroll Direct Deposit Authorization Records (Series 0116-143)
Completed forms used to authorize direct deposits of payroll checks in employee bank accounts.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Retain until no longer in effect plus 2 years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0079-000 - Payroll Direct Deposit Authorization Records

Policy Statements (Series 0123-143)
Original copies of formal explanations of agency policies and procedures issued in collective manual or individual statement formats.
**Timesheets** (Series 0154-143)
Record of hours worked and leave taken by employees of the KCC.
**Entry Status:** Ready for SRB  
**Retention Period:** 005 fisc yrs  
**Disposition:** Destroy  
**Restrictions:** KSA 45-221(a)(4)  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-070  
**Last Surveyed** 05 January 2012  
**Record Copy:** Unknown  
**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0039-000 - Timesheets

**Support Services**

**Bid Records** (Series 0022-143)
Documents related to requests for proposals, bids, quotations, or estimates.
**Entry Status:** Ready for SRB  
**Retention Period:** 005 fisc yrs  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** See also: Accounts Payable Records, Contracts, Purchasing Records, Vouchers and requisitions, and Vendor Files.  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-074  
**Last Surveyed** 05 January 2012  
**Record Copy:** Unknown  
**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0014-000 - Bid Records

**Building and Grounds Maintenance Records** (Series 0027-143)
Documents associated with repairs and other maintenance to physical plant of agency - does not include Word Orders and Logs (q.v.).
**Entry Status:** Ready for SRB  
**Retention Period:** See Comments  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Retain a minimum of 3 years or until warranties are expired, then destroy.  
**Schedule Authority:** General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: Building and Grounds Maintenance Records

Contracts (Series 0039-143)
Legal agreements with individuals and organizations. Includes all associated documents, e.g., DA 146 series.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until expiration of contract PLUS 5 calendar years, then destroy. See also: Accounts Payable Records, Bid Records, Purchasing Records, Vendor Files, and Vouchers & Requisitions.
Schedule Authority: General Schedule

Correspondence - Policy Related (Series 0044-143)
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.
Entry Status: Ready for SRB
Retention Period: 005 cldr yrs
Disposition: Archives
Restrictions: None
Comments: Retain in office 5 calendar years, then transfer to the archives for purging.
Schedule Authority: General Schedule

Equipment Maintenance and Ownership Records (Series 0071-143)
Documents related to the legal ownership and maintenance of agency equipment: legal titles, warranties, maintenance logs, etc.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain for the life of the equipment, then transfer to the new owner of the equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records.
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0047-000 - Equipment
Maintenance and Ownership Records

Equipment Operation Records (Series 0072-143)
Documents related to the use of agency equipment (e.g., Photocopy logs, check-out forms, use
request forms, etc.) including photocopiers, typewriters, computers, calculators, adding
machines, etc.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Comments: See also Equipment Ownership and Maintenance Records.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0048-000 - Equipment Operation
Records

Inventory Records - Expendable Property (Series 0087-143)
Records of receipts, disbursements, and balances of office supplies and other expendable
inventory materials.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0060-000 - Inventory Records-
Expandable Property

Photographic and Video Materials (Series 0121-143)
Photo-prints, negatives, slides, films, and videotapes.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until no longer useful, then contact Historical Society - Archives Dept. for
appraisal. If not accepted for transfer to archives, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Postal Records (Series 0126-143)
Records concerning the use of the U.S. Postal Service and express companies: mailing logs, postage purchase reports, registered mail receipts, express company receipts, mailing permits, etc.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0083-000 - Photographic & Video Materials

Procedures Manuals (Series 0419-143)
Original copies of agency procedures issued in a collective manual.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until superseded or no longer in effect, then transfer 1 copy to the archives, destroy the remainder.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0085-000 - Postal records Procedures

Property Disposition Records - Non-Expandable (Series 0129-143)
Copies of DA forms 110 and supporting documents used to remove capital equipment from the agency inventory.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0090-000 - Property Disposition Records - Non-Expandable

Schedules - Office Activities (Series 0146-143)
Internal forms, appointment books, paper and electronic calendars used to schedule employees,
office activities, vehicles, meeting rooms, etc.).

**Entry Status:** Ready for SRB

**Retention Period:** See Comments

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Retain until no longer useful, then destroy.

**Schedule Authority:** General Schedule

**KAR Number** 53-2-074

**Last Surveyed** 05 January 2012

**Record Copy:** Unknown

**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0099-000 - Schedules-Office Activities

**Vendor Files** (Series 0158-143)
Records concerning purchases from specific vendors: invoices, correspondence, vouchers, ledger books & cards, etc.

**Entry Status:** Ready for SRB

**Retention Period:** 003 fisc yrs

**Disposition:** Destroy

**Restrictions:** None

**Comments:** Retain for 5 fiscal years if record is subject to KSA 75-3704(e). See also Vouchers - Purchase, Purchasing Records, Bid Records, Contracts, and Accounts Payable Records

**Schedule Authority:** General Schedule

**KAR Number** 53-2-074

**Last Surveyed** 05 January 2012

**Record Copy:** Unknown

**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0121-000 - Vendor files

**Work Orders and Logs** (Series 0166-143)
Internal documents used to request and record requests for the performance of maintenance or other services.

**Entry Status:** Ready for SRB

**Retention Period:** 003 fisc yrs

**Disposition:** Destroy

**Restrictions:** None

**Schedule Authority:** General Schedule

**KAR Number** 53-2-074

**Last Surveyed** 05 January 2012

**Record Copy:** Unknown

**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0130-000-Work Orders and Logs

**143-015**
**State Corporation Commission**
**Legal Division**

**Correspondence - Policy Related** (Series 0170-143)
Incoming and outgoing letters and memoranda that state or form the basis for policy, set
precedent, or record important events in the operational and organizational history of the agency.

**Entry Status:** Ready for SRB  
**Retention Period:** 005 cldr yrs  
**Disposition:** Archives  
**Restrictions:** None  
**Comments:** Retain in office 5 calendar years, then transfer to the archives for purging.  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-070  
**Last Surveyed** 05 January 2012  
**Record Copy:** Unknown  
**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0027-000-Correspondence-Policy Related

### 143-020

**State Corporation Commission**  
**Utilities Division**

**Correspondence - Policy Related** (Series 0198-143)  
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.  
**Entry Status:** Ready for SRB  
**Retention Period:** 005 cldr yrs  
**Disposition:** Archives  
**Restrictions:** None  
**Comments:** Retain in office 5 calendar years, then transfer to the archives for purging.  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-070  
**Last Surveyed** 05 January 2012  
**Record Copy:** Unknown  
**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0027-000 - Correspondence-Policy Related

**Telecommunications Logs** (Series 0213-143)  
Registers recording incoming and outgoing telephone calls and fax transmissions.  
**Entry Status:** Ready for SRB  
**Retention Period:** 6 months  
**Disposition:** Destroy  
**Restrictions:** None  
**Schedule Authority:** General Schedule  
**KAR Number** 53-2-074  
**Last Surveyed** 05 January 2012  
**Record Copy:** Unknown  
**Remarks:** 2012-01-05 SUPERSEDED by general schedule: 0114-000 - Telecommunication logs
Visitors Logs (Series 0214-143)
Registers or logs used to record names of employees, outside contractors, service personnel, and other visitors admitted to agency facilities.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until no longer useful, then contact the archives for appraisal. If not accepted by the archives, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0122-000 - Visitors log

143-040
State Corporation Commission
Transportation Division
Motor Carrier Section

Correspondence - Policy Related (Series 0224-143)
Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.
Entry Status: Ready for SRB
Retention Period: 005 cldr yrs
Disposition: Archives
Restrictions: None
Comments: Retain in office 5 calendar years, then transfer to the archives for purging.
Schedule Authority: General Schedule
KAR Number 53-2-070
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0027-000 Correspondence-Policy Related

143-050
State Corporation Commission
Conservation Division
Administrative Services Section

Employee Personnel Files - Office Copies (Series 0262-143)
Reference copy of files maintained by central office personnel section regarding individual employees.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Retain for length of employee's tenure plus 5 calendar years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0037-000 Employee Personnel Files-Convenience Copies

Employee Time Sheets (Series 0263-143)
Reference copies of time sheets and leave slips for division staff.
Entry Status: Ready for SRB
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0039-000 - Employee Time Report Records

Vouchers - Purchase (Series 0371-143)
Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA-120.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0125-000 - Vouchers-Purchase

Vouchers - Travel (Series 0372-143)
Copies of documents used to certify the validity of claims for the reimbursement of travel expenses: DA forms 121, 122, and 123.
Entry Status: Ready for SRB
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-074
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0127-000 - Vouchers-Travel
143-060
State Corporation Commission
Mined Land Division

Employee Personnel Files - Office Copies (Series 0393-143)
Copies of documents related to employees, including application, evaluations, etc. (Record copy maintained in Topeka.)
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Retain for length of employee's tenure plus 5 calendar years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-073
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0037-000 - Employee Personnel Files- Convenience Copies

Telecommunications Logs (Series 0410-143)
Registers recording incoming and outgoing telephone calls and fax transmissions.
Entry Status: Ready for SRB
Retention Period: 6 months
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-073
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0114-000 - Telecommunication Logs

Telephone Billing Records (Series 0400-143)
Copies of computer billings and supporting documents concerning the use of a telecommunications service provider.
Entry Status: Ready for SRB
Retention Period: 004 cldr yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-073
Last Surveyed 05 January 2012
Record Copy: Unknown
Remarks: 2012-01-05 SUPERSEDED by general schedule: 0116-000 - Telephone Billing Records
1. **Agency:** Kansas Attorney General's Office

2. **Records Officer:** Lisa Mendoza  **Phone:** 296-2215

3. **Appraising Archivist:** Marcella Wiget

4. **Date of Appraisal:** December 2011

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

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 the Records Officer at Attorney General's office.

9. **Appraisal Narrative:**
   Records Officer Lisa Mendoza contacted KSHS staff to revise existing Homicide Case Files series. This series did not have the standard comments for disposition requirements that all other case files created in the AG’s office contain, and Ms. Mendoza requested that this be rectified.
Retention/Disposition Schedule Entries

082-005  
Office of the Attorney General  
Criminal Division

Case Files - Homicide (Series 0176-082)  
Pleadings/filings, research, case notes, interviews, correspondence, contracts, billings, complaint forms, and other supporting documentation relating to the prosecution of criminal homicide cases. Materials, including records obtained from others may be returned to their source or otherwise disposed of in accordance with court order, court rule, or agreement.

Entry Status: Ready for SRB  
Retention Period: See Comments  
Disposition: Permanent  
Comments: Paper documents are scanned into system and paper is retained until quality assurance is performed, then destroyed. Digital images in system are retained permanently.  
Schedule Authority: Agency Schedule  
KAR Number 53-2-166  
Last Surveyed 21 January 2011  
Record Copy: Electronic  
Electronic Recordkeeping Plan Endorsed

Remarks: 1/11/10: Revised entry to cover change in format; revised retention from "Retain in office until case is closed (include appeal, probation, and/or incarceration/parole time if applicable). Then transfer to records center for 60 years. Then transfer to archives.”  
1/21/2011: Revised Description to remove "evidence," "(Evidence obtained from others may be disposed in accordance with protective order, if any.)", add "Materials... ."  
12/02/2011: Revised entry to add standard disposition comments from other Attorney General case files series.
1. **Agency:** Kansas State Historical Society – Administration Division

2. **Records Officer:** Darrell Garwood  
   **Phone:** 272-8681

3. **Appraising Archivist:** Marcella Wiget, Matt Veatch

4. **Date of Appraisal:** 13 December 2011

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

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

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

8. **Appraisal Based Upon:**

   Interview with agency staff.

9. **Appraisal Narrative:**

   Public information staff in the KSHS Administration Division requested the creation of a new retention schedule entry to cover a series of records not previously scheduled, largely created by the graphic designer.
Retention/Disposition Schedule Entries

288-001
Kansas State Historical Society
Administration Division
Promotions

Job tickets (Series Unknown)
Graphic design files including specifications, galley proofs with corrections, final products, and any other related materials.

Entry Status: Draft
Retention Period: 4 fiscal years
Disposition: Destroy
Restrictions: None
Comments: Retain both paper and electronic records of working files for four (4) fiscal years, then destroy. Final products fall under general retention schedules (e.g. Publications) and should be retained accordingly.

Schedule Authority: Agency schedule
Last Surveyed 13 December 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
1. **Agency:** Kansas State Historical Society – Cultural Resources Division

2. **Records Officer:** Darrell Garwood **Phone:** 272-8681

3. **Appraising Archivist:** Marcella Wiget

4. **Date of Appraisal:** 20 December 2011

5. **Total records - No. of Series:** 9

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

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

   **No. of Series:** 0

8. **Appraisal Based Upon:**

   Interviews with agency staff.

9. **Appraisal Narrative:**

   In accessioning records from the Archeology Department in KSHS’ Cultural Resources Division, the archivist requested that Archeology Department staff review certain retention schedules and records series with her. Cultural Resources staff will meet again in February to review and revise the division’s retention and disposition schedule more generally, but these particular record series are ready for SRB review. Includes some series that have been superseded, some that have changed disposition from Archives to Destroy, and some that have changed disposition from Archives to Permanent.
Retention/Disposition Schedule Entries

288-005
Kansas State Historical Society
Cultural Resources Division
Archeology Office

Aerial Photographs (Series 0332-288)
Aerial photographs originally used by KDOT to plot road work which were transferred to the Archeology Office for use in locating archeological sites and in planning surveys and excavations.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(36)
Comments: Retain until no longer useful, then destroy. Significant aerial photographs are filed with the archaeological site files or scanned to the server.
Schedule Authority: Agency Schedule
KAR Number 53-2-102
Last Surveyed 20 December 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Remarks: 12/20/2011: Changed disposition to destroy; changed comments.

Archeological Contract/Fee Fund Files (Series 0306-288)
Documents, including administrative documents of Highway Archeology Program Files phases I-V, Primary and Secondary Road, and NRCS/State Watershed Project Files, and contracts, related to the review of road, watershed and other construction projects to prevent possible destruction of archeological sites and information.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: Destroy
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain 5 calendar years past inactivity, then destroy. Reports generated from work are kept permanently in the Archeology library, electronically, and in the DASC database. Formal correspondence is kept in the State Historic Preservation Office files.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 20 December 2011
Record Copy: Paper
Remarks: 01/07/2004: Title, Description and Comments amended.
12/20/2011: Changed disposition from Archives to Destroy; changed comments.

Archeological Field Maps (Series 0331-288)
Original maps created by the staff during investigations of archeological sites.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain in Archeological Site Files accordingly.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 07 January 2004
Record Copy: Paper
12/20/2011: Supersede this series with 0330-288, Archaeological site files.

Archeological Site Files (Series 0330-288)
Records documenting archeological sites in Kansas: site forms, correspondence, site summaries, excavation records, progress reports, specimen catalogs, archeological field maps, aerial photographs, drawings, etc.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain paper copies permanently or transfer to the Archives. Data indexing archeological site locations is served by Data Access Support Center (DASC).
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 20 December 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Remarks: 01/07/2004: Description and Comments amended.
12/20/2011: Amended description to include aerial photographs; amended comments to say "paper copies."

Donation Accession Files (Series 0309-288)
Records documenting provenance and curation history of artifacts and other materials donated to the department's collection.
Entry Status: Ready for SRB
Retention Period: Permanent
Disposition: Permanent
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain permanently in Archeology office.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 20 December 2011
Record Copy: Unknown
12/20/2011: Changed disposition and comments.

Highway Archeology Program Files - Phase I (Series 0334-288)
Documents relating to proposed KDOT highway projects submitted to the Archeology Office for archeological evaluation which staff have cleared for construction without a field investigation.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain 5 calendar years past inactivity then transfer to the Archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 20 December 2011
Record Copy: Unknown

Highway Archeology Program Files - Phase II (Series 0335-288)
Documents relating to proposed KDOT highway projects submitted to the Archeology Office for archeological evaluation for which staff performed a survey but took no additional action.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain 5 calendar years past inactivity then transfer to the Archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 07 January 2004
Record Copy: Unknown

Highway Archeology Program Files - Phase III (Series 0336-288)
Documents relating to proposed KDOT highway projects submitted to the Archeology Office for archeological evaluation for which staff performed a survey and tested the site.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain 5 calendar years past inactivity then transfer to the Archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 20 December 2011
Record Copy: Unknown

Highway Archeology Program Files - Phase IV (Series 0337-288)
Documents relating to proposed KDOT highway projects submitted to the Archeology Office for archeological evaluation for which staff performed a survey, tested, and excavated the site.
Entry Status: Ready for SRB
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain 5 calendar years past inactivity then transfer to the Archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 20 December 2011
Record Copy: Unknown