AGENDA
STATE RECORD BOARD
April 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. Kansas Dept. of Administration, Secretary Taylor: memorandum of agreement with Regents’ institutions
4. Kansas Dept. of Health & Environment
   a) Bureau of Environmental Remediation: new series
   b) Laboratory: revised series
   c) Bureau of Family Health - Newborn Screening: revised series
5. Kansas Department of Transportation
   a) Bureau of Transportation Planning: obsolete series
   b) Financial Services – OFIM: new series
6. Kansas State Library: superseded and obsolete series
7. General administrative schedule: new series
8. Kansas State Historical Society
   a) Administration Division: new series
   b) Cultural Resources Division
      i. new series
      ii. revised and superseded series
      iii. obsolete series
9. Sedgwick County: HR e-records validation
10. Limited technical changes to retention and disposition schedules without requiring SRB approval
11. Other business
    a) Database migration errors in RM database
    b) State Records Board webpages on KHS website
    c) KOMA discussion
    d) Future meetings:
        • 12 July 2012
        • 11 October 2012
        • 10 January 2013
        • 11 April 2013
1. **Introductions and announcements**: Lisa Mendoza called the meeting to order at 8:40 a.m. and led the introductions.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

  **Motion:** First four entries under the new Office of Financial and Investment Management unanimously approved as amended, after motion by Ms. Michaelis and seconded by Mr. Veatch.

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

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

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

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

6. Kansas Corporation Commission:
   Motion for superseded schedules: KCC had 76 schedules to be superseded by general retention schedules. Mr. Veatch moved approval of all schedules, Mr. Friend seconded, unanimous approval to transfer these agency-specific schedules to the general retention and disposition schedule.

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

8. Office of the Attorney General – Criminal Division: Ms. Mendoza explained that the AG’s office wanted to standardize this series’ disposition comments, 0176-082, with all other case files under their office.
   Motion for revised series: Pat moved approval, Duncan seconded, unanimous approval of revising this schedule entry.

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

10. Consent agenda / State Records Board approval: Ms. Michaelis proposed that Archives staff write a draft policy for the State Records Board giving Archives staff permission to make technical changes—including statutory number changes, typos, or internal comments, so long as they are documented appropriately by the individual who made those changes. Mr. Veatch thought a consent agenda could be used for obsolete and superseded schedules, noting that Scott Leonard had simply attached a list for these schedules at the back of an agency’s new and substantively revised series. Proposal that Archives staff organize agenda so that all bulk agenda items, such as superseded, be put first in order to be dealt with quickly, and that appraisal reports be reorganized to show superseded and obsolete schedules to make it more obvious that these are items that could hopefully be dealt with easily.
11. **Website update / transferring records to the Secretary of State’s Office:** Mr. Garwood showed the Board planned changes to the State Records Board pages on the KSHS website. Request that there be a link from the page to the search page for the retention schedules. Ms. Mendoza requested that Archives staff and Board members explore how other State Records Boards and agencies keep their minutes; will attempt to re-format the minutes from this meeting in order to streamline and make them more accessible. Will probably need to experiment over the next few meetings until finding an appropriate format that suits the Board overall.

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

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

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

13. **Other business:** No other business. Meeting adjourned by Lisa Mendoza at 12:30 p.m.
As Secretary of Administration one of my responsibilities is to maintain copies of all documents relating to all capital improvement projects or major repairs to state buildings. It is also my responsibility to ensure the availability of all documentation to support any and all claims by the state against any person involved in such capital projects or major repairs to buildings. These responsibilities are established by K.S.A. 75-1267(a) which reads as follows:

(a) the secretary of administration shall obtain and maintain copies of all drawings, specifications, contracts, change orders, field orders, warranties and other documents relating to all capital improvement projects for the construction of buildings or for major repairs or improvements to buildings for state agencies. It is the responsibility of the secretary of administration to prepare all of the necessary documentation to support claims by the state against any project architect, engineer, land surveyor, contractor, manufacturer, supplier or other person.

In addition K.S.A. 75-3765b provides that the Secretary of Administration is responsible for planning the use of “all state-owned or leased building and storage space”.

Several months ago I directed that the Office of Facilities and Property Management (OFPM) of the Department of Administration undertake an assessment of our storage space and advise me how we might ensure that we maintain copies and availability of all of the above construction documents while also ensuring the most efficient and effective use of such storage space. The Office of Facilities and Property Management has completed its study and has made several recommendations.

One of the recommendations concerns the storage space in the basement of the Landon State Office Building. Approximately 80 percent this space is occupied by construction documents related to projects of various Regents institutions. OFPM has recommended to me that the Department of Administration transfer these documents to each of the relevant institutions for storage and retention. It is believed that such moves would provide a better climate controlled environment for document preservation than is possible in the Landon basement. We would enter into separate Memorandums of Agreement (MOA) with each of the Regents institutions to accomplish this transfer.

The Regents institutions typically have their own in-house architectural and engineering staff or local on-call professionals who may require access to these documents. Having these documents onsite would be an added convenience to the design professionals and maintenance staff.

Archived drawings, subject to transfer, have been scanned and are stored electronically in the database of the Office of Facilities and Property Management (OFPM) of the Department of
Administration. OFPM would continue to maintain an electronic file with CD backup of all previous and future construction related documents.

As of 2009 all contracts, change orders, reports etc. are required to be submitted electronically and filed in the Department of Administration’s database. Only the original drawing sheets and specifications stamped by the design professional are required to be sent in hard copy to OFPM for archive.

If an original document was required to support a claim of the State of Kansas, the relevant Regents institution would be able to provide such documents upon the request of the Department of Administration legal staff if the electronic file document would not be accepted by any relevant legal authority.

Transfer of these documents would begin upon the approval of this Board and the development and execution of each of the Memorandums of Agreement (MOA) described above. This process is expected to take 4 to 6 months.
Testimony - Transfer of Archive Records
Kansas Board of Records

Jim Modig, University Architect/Director
KU Office of Design and Construction Management
April 19, 2012

Members of the Board, my name is Jim Modig representing the University of Kansas Design and Construction Management. I’m here in support of the proposal to transfer the archive records currently maintained by the Department of Administration, Office of Facilities and Property Management (OFPM) to the Regents Institutions.

KU Design and Construction Management is in frequent contact with OFPM to get copies of records on almost every major project. We currently have a small archive of building records stored at DCM that are duplicates of the materials in storage at the Landon Building. This duplication of records has been maintained for increased efficiency and ease of access to the information needed on a daily basis. The University sees the distribution of the records to the institution as a way to reduce duplication of documents and a space savings measure.

As an institution that has six buildings on the National Register of Historic Places, developed the Campus Heritage Plan and currently maintain project records at the Spencer Research Library, we understand the importance in the stewardship of important archive records. The University is prepared to accept that stewardship. We have worked on identifying an appropriate location on campus to store the records and have received funding commitment to cover the relocation costs of the KU Lawrence Campus records.

Thank you for the opportunity to comment in support of the transfer of records proposal. I stand ready for any questions.
MEMORANDUM OF AGREEMENT

NOW, on this ____ day of _______________, 2012, the State of Kansas, Department of Administration (DOA), and Wichita State University (University) mutually agree to the terms of this Memorandum of Agreement (MOA), concerning the care and custody of University capital improvement documents.

WHEREAS, K.S.A. 75-1267(a) states as follows:

"(a) the secretary of administration shall obtain and maintain copies of all drawings, specifications, contracts, change orders, field orders, warranties and other documents relating to all capital improvement projects for the construction of buildings or for major repairs or improvements to buildings for state agencies. It is the responsibility of the secretary of administration to prepare all of the necessary documentation to support claims by the state against any project architect, engineer, land surveyor, contractor, manufacturer, supplier or other person regarding any such capital improvement project."; and

WHEREAS, the University desires to take possession of the above-mentioned capital improvement documents, currently being maintained by the DOA, to allow them to have easier access to the documents; and

WHEREAS, the DOA needs to reduce the storage space required for them to maintain the above-mentioned capital improvement documents for all state agencies.

IT IS THEREFORE MUTUALLY AGREED as follows:

1. University, at their expense, will obtain and maintain capital improvement documentation currently held by the DOA pursuant to K.S.A. 75-1267(a). University further agrees to maintain said capital improvement documents for future construction of University buildings and major repairs or improvements to University buildings.

2. University agrees to store and maintain the above-mentioned documents in an environment that will insure the preservation of the documents.
3. Should the DOA be required to repossess, or request the return of certain capital improvement documents, University agrees to provide DOA the documents at the DOA's expense.

4. Following the transfer of the above-mentioned documents, University agrees to prepare all necessary documentation needed to support claims on capital improvement projects at the University.

5. The University agrees to comply with the requirements of K.S.A. 75-3501 et seq., K.A.R. 53-3-1 et seq., and K.S.A. 45-215 et seq., concerning records retention and records open to the public.

Signed and dated by the respective parties as follows:

STATE OF KANSAS  
DEPARTMENT OF ADMINISTRATION  
WICHITA STATE UNIVERSITY

By: Dennis R. Taylor, Secretary  
By: President

Date:  
Date:
1. **Agency:** Kansas Department of Health and Environment

2. **Records Officer:** Phone:

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

4. **Date of Appraisal:** 16 Dec. 2011

5. a) **Total records – No. of Series:** 1
   
b) **New series – No. of Series:** 1
   
c) **Revised existing series – No. of Series:**
   
d) **Obsolete schedules – No. of Series:**
   
e) **Series superseded by other schedules – No. of Series:**
   
f) **Series superseded by general schedules – No. of Series:**

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

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

8. **Appraisal Based Upon:**

   Discussions with Marcus Meerian and Debbie Clure in the Bureau of Environmental Remediation Division at Kansas Department of Health and Environment

9. **Appraisal Narrative:**

   Marcus Meerian contacted the Archives Division to discuss a new series that needs to be added to their agency's retention schedules. We reviewed the records and are submitting a new schedule for approval. The series has also been reviewed by Paul Marx in KDHE legal division, and the proposed schedule meets all federal guidelines.
Retention/Disposition Schedule Entries

264-002  
Department of Health and Environment  
Environment Division  
Bureau of Environmental Remediation

Underground/Above Ground Storage Tank Information (Series Unknown)  
Documents related to compliance with the Underground Storage Tank (UST) act regarding release prevention monitoring, testing, and permitting.  
Entry Status: Draft  
Recommended Status: Approve As New  
Retention Period: See Comments  
Disposition: Destroy  
Restrictions: K.S.A. 65-34, 108 (d)  
Comments: Retain in office one year until the new permit renewal information is received, then transfer paper copy to the Records Center for 30 yrs. Records are scanned, but the paper copy remains the record copy.  
Schedule Authority: Agency schedule  
Last Surveyed 09 March 2012  
Record Copy: Paper, Electronic  
Electronic Recordkeeping Plan Not Required  
Remarks: 3/9/12 - New entry
1. **Agency:** Kansas Dept. of Health & Environment - Lab

2. **Records Officer:**

3. **Appraising Archivist:** Marcella Wiget, Darrell Garwood

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

5. a) **Total records – No. of Series:** 1

   b) **New series – No. of Series:**

   c) **Revised existing series – No. of Series:** 1

   d) **Obsolete schedules – No. of Series:**

   e) **Series superseded by other schedules – No. of Series:**

   f) **Series superseded by general schedules – No. of Series:**

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

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

8. **Appraisal Based Upon:**

   Discussions with KDHE microbiology lab manager Stacey Sandstrom and other laboratory staff.

9. **Appraisal Narrative:**

   Records management staff were contacted by KDHE after a water line break at their lab; in working with them on records that were damaged by the water, discovered two of the lab’s records series needed revising.
Retention/Disposition Schedule Entries

264-004
Department of Health and Environment
Division of Health and Environmental Laboratories
Office of Sample and Data Management

Laboratory Submission Forms and Reports (Series 0575-264)
Universal health submission and blood lead analysis forms and reports of analysis, including amended reports, regarding screenings performed on individually identifiable individuals from physicians, hospitals, clinics, and county health departments.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(3), HIPAA
Comments: Destroy paper copies and delete data 2 calendar years after date received for all forms and reports, except HIV reports of analysis, which must be retained 5 calendar years from date received.
Schedule Authority: Agency Schedule
KAR Number 53-2-140
Last Surveyed 22 December 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 04/03/2012: Revised series description, added retention comments and HIPAA restriction.

Neonatal Screening and Environmental Toxicology Laboratory records (Series 0570-264)
Submission forms and reports of analysis, including any amended reports, regarding newborn screening performed by the KDHE laboratory on individually identifiable newborns. Data is entered into the Informix database and forms have been scanned into either DocuWare or ImageNow systems.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(3), HIPAA
Comments: Retain paper copy until scanned, quality assured, and data entered, then destroy. If not quality assured, retain paper copy. Information must be retained for 18 years + 3 years statute of limitations (21 years).
Schedule Authority: Agency Schedule
KAR Number 53-2-140
Last Surveyed 22 December 2011
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 04/02/2012: Revised series description, retention comments, and added HIPAA restriction. Made record copy both paper and electronic; ERP will be required if and when
ImageNow system becomes fully trustworthy.
1. **Agency:** Kansas Dept. of Health & Environment – Bureau of Family Health – Newborn Screening

2. **Records Officer:** Phone:

3. **Appraising Archivist:** Marcella Wiget, Darrell Garwood

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

5. a) **Total records – No. of Series:** 1

b) **New series – No. of Series:**

c) **Revised existing series – No. of Series:** 1

d) **Obsolete schedules – No. of Series:**

e) **Series superseded by other schedules – No. of Series:**

f) **Series superseded by general schedules – No. of Series:**

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

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

8. **Appraisal Based Upon:**

   Discussions with KDHE – BFH – NBS manager Marc Shiff and staff.

9. **Appraisal Narrative:**

   In revising laboratory records related to newborn screening records, also contacted Newborn Screening staff to update and revise records series retention schedule related to the records they create in their unit.
Retention/Disposition Schedule Entries

264-003
Department of Health and Environment
Health Division
Bureau of Family Health
Children and Youth with Special Health Care Needs/NBS

Newborn Screening Notification records (Series 0342-264)
Paper and electronic documents used to alert doctors to an abnormal screening of a genetic disease, including lab reports from the KDHE laboratory, letters to physicians, correspondence and lab reports from physicians, forms, notes, spreadsheets created to generate aggregate data and make mail merges, etc. Data is also entered into the Bureau for Family Health web-based database system, which is maintained separately.

Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See comments
Disposition: Destroy
Restrictions: KSA 45-221(a)(3)
Comments: Retain paper and electronic records for 5 calendar years after last contact with physician and/or parent, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-084
Last Surveyed 12 January 2012
Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required
Remarks: 01/12/2012: Revised agency hierarchy, description, and retention comments. Spreadsheets and other electronic records are currently generated for convenience. webBFH and its parent webIZ (the web-based database system) need to be scheduled separately; this is where information about infants lost to follow-up will be maintained.
1. **Agency:** Kansas Dept. of Transportation – Bureau of Transportation Planning

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

3. **Appraising Archivist:** Bob Knecht, Marcella Wiget

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

5. a) **Total records – No. of Series:** 3
   
b) **New series – No. of Series:** 3
   
c) **Revised existing series – No. of Series:** 0
   
d) **Obsolete schedules – No. of Series:** 3
   
e) **Series superseded by other schedules – No. of Series:** 0
   
f) **Series superseded by general schedules – No. of Series:** 0

6. **Archival/Permanent records – No. of Series:** 3

7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 3

8. **Appraisal Based Upon:**
   Discussions with KDOT records officer and staff; appraisal of materials.

9. **Appraisal Narrative:**
   KDoT Bureau of Transportation Planning staff and Records Officer Susan Maxon contacted State Archives Division staff for appraisal of maps and related materials they held in their offices; KDoT is attempting to consolidate space and wanted to either transfer these materials to the State Archives or receive authorization to dispose of them. The records had never been scheduled and are no longer created.
Retention/Disposition Schedule Entries

276-012
Kansas Department of Transportation
Bureau of Transportation Planning
Geospatial Intelligence Section

City Plat Maps (Series Unknown)
Maps provided to the Kansas Department of Transportation by cities detailing platted lots within the incorporated areas, typically after new annexations. These maps were supplemental to the legal descriptions contained within annexation ordinances and boundary resolutions used to determine roadway maintenance responsibilities. They are a cartographic representation of the cadastral development in the incorporated areas at the time they were printed and originated from the incorporated areas.

Entry Status: Draft
Recommended Status: Obsolete
Retention Period: See comments
Disposition: See comments
Restrictions: None
Comments: Obsolete series; transfer to State Archives immediately. KDOT receives maps as reference only.

Schedule Authority: Agency schedule
Last Surveyed 17 February 2012
Record Copy: Paper
Remarks: 04/02/2012: new schedule entry; maps have already been transferred to the State Archives.

County Index Maps - Federal Aid Secondary (FAS) (Series Unknown)
Maps created by the Kansas Department of Transportation displaying the Federal-Aid Principal, Secondary, and feeder routes, supporting DOT reporting requirements on Federal-Aid Highway Acts. Each map is individually dated and shows the roads eligible for federal aid and feeder routes with an identifier key including the administrative owner, such as T for township, C for county, etc.

Entry Status: Draft
Recommended Status: Obsolete
Retention Period: See comments
Disposition: See comments
Restrictions: None
Comments: Obsolete series; transfer to State Archives immediately. Changes in Federal-Aid Act requirements deemed the FAS system obsolete and therefore no longer used as a highway information reference system.

Schedule Authority: Agency schedule
Last Surveyed 17 February 2012
Record Copy: Paper
Remarks: 04/02/2012: new schedule entry. Maps have already been transferred to the State Archives; all counties are represented except Elk, Finney, Gove, Labette, Logan, McPherson, Meade, Miami, Nemaha, Stevens, and Thomas.
Master construction records by county (Series Unknown)
Kansas Department of Transportation-produced journal entries detailing projects and financial accounts of construction, maintenance, and rehabilitation of state highways. Associated with the ink-on-linen map book also produced by KDOT that shows old and new routes and projects distinguished by using red ink.

Entry Status: Draft
Recommended Status: Obsolete
Retention Period: See comments
Disposition: See comments
Restrictions: None
Comments: Obsolete series; transfer to State Archives immediately.
Schedule Authority: Agency schedule
Last Surveyed 17 February 2012
Record Copy: Paper
Remarks: 04/02/2012: new entry. Construction records and ink-on-linen map book have already been transferred to the State Archives.
1. **Agency:** Kansas Dept. of Transportation – Financial Services – Office of Financial and Investment Management

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

3. **Appraising Archivist:** Marcella Wiget

4. **Date of Appraisal:** March/April 2012

5. a) **Total records – No. of Series:** 1

   b) **New series – No. of Series:** 1

   c) **Revised existing series – No. of Series:** 0

   d) **Obsolete schedules – No. of Series:** 0

   e) **Series superseded by other schedules – No. of Series:** 0

   f) **Series superseded by general schedules – No. of Series:** 0

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

7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 1

8. **Appraisal Based Upon:**
   Discussions with KDOT records officer; appraisal of materials.

9. **Appraisal Narrative:**
   This series was initially presented to the State Records Board at the January 2012 meeting, but approval of the series was tabled until further appraisal of the records could be performed. Originally the series had been scheduled for destruction; now a copy of every presentation can be transferred to the State Archives for keeping or purging.
Retention/Disposition Schedule Entries

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

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
Recommended Status: Approve As New
Retention Period: See comments
Disposition: See comments
Restrictions: None
Comments: Transfer one electronic copy at time of creation to State Archives for purging. Retain original electronic version until superseded or no longer useful, then destroy.

Schedule Authority: Agency schedule
Last Surveyed 21 December 2011
Record Copy: Electronic

Electronic Recordkeeping Plan Not Required
04/13/2012: Revised comments; originally records series was to be destroyed.
1. **Agency:** State Library

2. **Records Officer:** Tom Roth  **Phone:** 785-296-3296

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

4. **Date of Appraisal:** 16 Feb. 2012

5. a) **Total records – No. of Series:** 17

   b) **New series – No. of Series:**

   c) **Revised existing series – No. of Series:**

   d) **Obsolete schedules – No. of Series:** 1

   e) **Series superseded by other schedules – No. of Series:**

   f) **Series superseded by general schedules – No. of Series:** 16

6. **Archival/Permanent records – No. of Series:** 6

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

8. **Appraisal Based Upon:**

   Discussions with Records Officer Tom Roth at the State Library.

9. **Appraisal Narrative:**

   The Kansas State Library contacted the Archives Division to discuss an overhaul of their agency’s retention schedule. We reviewed the schedules and are submitting a portion of the schedules for approval. The majority of the series have been superseded by the general retention and disposition schedule. One series has been determined obsolete and is no longer being created. More agency-specific schedules will be appraised for future State Records Board meetings.
Retention/Disposition Schedule Entries

434-001
State Library

Monthly Microfilm and Video Statistics (Series 0015-434)
Report listing statistics gathered on the number of microfilm and video requests which were compiled for grant documentation purposes.

Entry Status: Ready for SRB
Recommended Status: Obsolete
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Obsolete series. Destroy immediately.
Schedule Authority: Agency Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper
Remarks: 3/15/12- OBSOLETE SERIES: Follow disposition requirements for the remaining documents
Retirement/Disposition Schedule Entries

434-001
State Library

Budget Preparation Files - Annual (Series 0001-434)
Documents used in the preparation of the annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.

Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
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 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper
Remarks: 2/16/12 - SUPERSEDED by general schedule: 0016-000 - Budget Preparation Files- Annual

Budget Requests and Appeals - Annual (Series 0002-434)
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
Recommended Status: Supersede by GenSchd
Retention Period: 005 fisc yrs
Disposition: Archives
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper
Remarks: 3/7/12 - SUPERSEDED by general schedule: 0017-000- Budget Requests and Appeals - Annual

Contracts (Series 0003-434)
Legal agreements with individuals and organizations. Includes all associated documents, eg. DA-146 series.

Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until expiration of contract plus 5 calendar years, then destroy.
Schedule Authority: General Schedule
Correspondence - Routine (Series 0005-434)
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
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then destroy.
Schedule Authority: General Schedule

Employee Personnel Files (Series 0006-434)
Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, and other personnel materials.

Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
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

Employee Time Report Records (Series 0007-434)
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
Recommended Status: Supersede by GenSchd
Retention Period: 005 fisc yrs
Disposition: Destroy
Restrictions: KSA 45-221(a)(4)
Comments: Internal agency forms. See also Leave Requests.
Grant Files - Funded (Series 0008-434)
Variety of documents relating to applications for federal, state, and private grants and to the implementation of those received.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
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.

Inventory Records - Expendable Property (Series 0010-434)
Records of receipts, disbursements, and balances of office supplies and other expendable inventory materials.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0049-000- Grant Files-Funded

Inventory Records - Non-Expendable Property (Series 0011-434)
Records related to capital equipment inventory management: DA forms 80 thru 83, computer reports from the Department of Administration, internal documents, correspondence, etc.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until superseded by new inventory plus 3 fiscal years, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Unknown
Remarks: 3/15/12 - SUPERSEDED by general schedule: Inventory Records - Non Expandable Property

**Leave Requests** (Series 0013-434)
Internal forms used to request and authorize the taking of leave by employees.
**Entry Status:** Ready for SRB
**Recommended Status:** Supersede by GenSchd
**Retention Period:** 005 fisc yrs
**Disposition:** Destroy
**Restrictions:** KSA 45-221(a)(4)
**Comments:** See also Employee Time Report Records.
**Schedule Authority:** General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0067-000- Leave Requests

**Minutes** (Series 0014-434)
Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.
**Entry Status:** Ready for SRB
**Recommended Status:** Supersede by GenSchd
**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 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper, Electronic
**Electronic Recordkeeping Plan Pending**
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0075-000- Minutes

**Payroll Warrant Registers** (Series 0017-434)
Monthly listing of warrant checks issued to state agency employees for payroll purposes.
**Entry Status:** Ready for SRB
**Recommended Status:** Supersede by GenSchd
**Retention Period:** 003 fisc yrs
**Disposition:** Destroy
**Restrictions:** None
**Schedule Authority:** General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Unknown
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0080-000- Payroll Warrant Registers
Photographic and Video Materials (Series 0018-434)
Photo-prints, negatives, slides, films, and videotapes.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until no longer useful, then contact the archives for appraisal - if not accepted for transfer to the archives, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0018-000- Photographic and Video Materials

Publications (Series 0020-434)
Internally produced newsletters, pamphlets, leaflets, and brochures distributed to inform a constituency about the activities of the agency.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain in office 1 year, then transfer 2 copies to the archives and destroy the remainder.
Schedule Authority: General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0091-000- Publications

Purchasing Records (Series 0021-434)
Documents related to the purchase of goods and services: correspondence, vouchers, invoices, ledger books and cards, requisitions, etc.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number 53-2-117
Last Surveyed 16 February 2012
Record Copy: Unknown
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0093-000- Purchasing Records
Vendor Files (Series 0022-434)
Records concerning purchases from specific vendors: invoices, correspondence, vouchers, ledger books and cards, etc.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
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 53-2-117
Last Surveyed 16 February 2012
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Pending
Remarks: 3/15/12 - SUPERSEDED by general schedule: 0121-000- Vendor Files
1. **Agency:** General schedule

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

3. **Appraising Archivist:** Marcella Wiget

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

5. a) **Total records – No. of Series:** 1
   
   b) **New series – No. of Series:** 1
   
   c) **Revised existing series – No. of Series:**
   
   d) **Obsolete schedules – No. of Series:**
   
   e) **Series superseded by other schedules – No. of Series:**
   
   f) **Series superseded by general schedules – No. of Series:**

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

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

8. **Appraisal Based Upon:**

   Discussions with records officers and Secretary of State’s staff; research of administrative regulations creation process.

9. **Appraisal Narrative:**

   It came to the archivist’s attention that there was no general schedule for the records related to the creation, revision, and revocation of Kansas administrative regulations (KARs). A few state agencies have a retention schedule specific to their agency; if this schedule is approved, recommend that these agency-specific schedules be superseded as records management staff time permits.
RetentionPolicy/Disposition Schedule Entries

000-001
State General Retention and Disposition Schedule
Administrative

Administrative rules and regulations files (Series Unknown)
Records related to the process of adopting administrative rules and regulations (KARs). May
include drafts and final copies of proposed, revised, and/or revoked regulations, correspondence,
legislation and bills affecting creation of regulations, meeting minutes and sign-in sheets from
public hearings, notices of meetings, and other related records.
Entry Status: Draft
Recommended Status: Approve As New
Retention Period: See comments
Disposition: State Archives
Restrictions: None
Comments: Maintain records in office for 3 years (per KSA 77-421(c)) or until regulation is
revoked, whichever is longer. Transfer meeting minutes, drafts and final copies of regulations,
and correspondence to the State Archives, destroy other documents.
Schedule Authority: General schedule
Last Surveyed 03 February 2012
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 02/06/2012: new entry. Propose that if approved, schedules under specific state
agencies are superseded by this one.
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.
RetentionPolicy/Disposition Schedule Entries

288-001
Kansas State Historical Society
Administration Division
Promotions

Job ticket (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:** December 2011, February 2012

5. 
   a) **Total records – No. of Series:** 34
   b) **New series – No. of Series:** 1
   c) **Revised existing series – No. of Series:** 16
   d) **Obsolete schedules – No. of Series:** 1
   e) **Series superseded by other schedules – No. of Series:** 8
   f) **Series superseded by general schedules – No. of Series:** 8

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

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, which led to a fuller meeting with Archeology & Historic Preservation staff to review and revise the division’s retention and disposition schedule more generally. Includes some series that have been superseded either by either agency-specific schedules or the general retention schedules, some that have changed disposition from Archives to Destroy, and some that have changed disposition from Archives to Permanent. Also includes 1 new series and 1 series that is now obsolete.
Retention/Disposition Schedule Entries

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

Field notes (Series Unknown)
Notes made by archeological staff during visits to sites and from investigations looking for potential archeological sites. Also may includes notes on collections held by other institutions.

Entry Status: Draft
Recommended Status: Approve As New
Retention Period: Retain until no longer useful, then purge and transfer to the Archives.
Disposition: Archives
Restrictions: Portions may be restricted per KSA 45-221(a)(36).
Schedule Authority: Agency schedule
Last Surveyed: 03 February 2012
Record Copy: Unknown
Remarks: 02/03/2012: new entry. Pulled this record type out of 0315-288, the only record not scheduled elsewhere under general retention and disposition schedules.
Retention/Disposition Schedule Entries

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

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
Recommended Status: Revise
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 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
Recommended Status: Revise
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 Not Required
Remarks: 01/07/2004: Description and Comments amended.
12/20/2011: Amended description to include aerial photographs; amended comments to say "paper copies."
Archeology Laboratory Files (Series 0311-288)
Wide variety of documents related to laboratory operations: correspondence, loan
documentation when loaning specimens, publications, forms, notes, and other miscellaneous
materials.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain until no longer useful, then purge and transfer to the Archives.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 03 February 2012
Record Copy: Unknown
Remarks: 01/07/2004: Title and Comments amended.
02/03/2012: Amended description to include loan documentation; amended comments to read
"Retain until no longer useful, then purge and transfer to the Archives."

Audiovisual Collection (Series 0305-288)
Audiovisual records of department activities and of archeological artifacts - includes photo-
prints and negatives, color slides, digital images, video tapes, and audio tapes.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until no longer useful, then contact the archives for appraisal - if not
accepted for transfer to the archives, then destroy.
Schedule Authority: General Schedule
KAR Number 53-2-076
Last Surveyed 03 February 2012
Record Copy: Paper, Electronic, Analog
Electronic Recordkeeping Plan Not Required
Remarks: 02/03/2012: Modified description to include digital images and video tapes. Have
volunteer scanning slides to the R: drive.

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
Recommended Status: Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: Portions under KSA 45-221(a)(7), 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; added restriction.

Publication Masters (Series 0314-288)
Camera ready masters of publications, not including the record copy of any reports or other record series.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Retain until published, then destroy. Published copy is the record copy.
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 03 February 2012
Record Copy: Unknown
Remarks: 01/07/2004: Disposition and Comments amended
02/03/2012: Amended retention period.

Unmarked Burial Sites Preservation Board (Series 0415-288)
Correspondence, notes, reports, minutes and other documents related to the operations of the board.
Entry Status: Draft
Recommended Status: Revise
Retention Period: Retain until no longer useful, then purge and transfer to the Archives.
Disposition: Archives
Restrictions: Portions under KSA 45-221(a)(36), KSA 75-2746(b)
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 03 February 2012
Record Copy: Unknown
Remarks: 02/03/2012: Amended retention period and disposition; added Unmarked Burials Act restriction.

Historic Preservation Office

Certified Local Government (CLG) Files (Series 0413-288)
These working files include ordinances, correspondence, contracts and agreements, agendas, and minutes related to historic preservation commissions in cities that have been designated Certified Local Governments (CLGs). CLGs are communities designated by the National Park Service and the Kansas State Historic Preservation Office (SHPO) which have a certified local preservation ordinance.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See comments
Disposition: See comments
Restrictions: None
Comments: Retain ordinances and agreements with CLGs permanently; destroy other materials

02 April 2012
after one calendar year. Any city that is de-listed as CLG, transfer ordinances and agreements to the Archives.

**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-138  
**Last Surveyed** 03 February 2012  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Not Required**  
**Remarks:** 02/03/2012: Changed sub-agency to HPO from Archeology; changed retention period, disposition, and comments. Much of this material should be retained locally by the CLG, or serves no purpose after a year.

**Cultural Resources Site Maps** (Series 0318-288)  
USGS 7.5 minute master quadrangle maps with hand-drawn markings to indicate locations and other information regarding historical and archeological sites.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** Permanent  
**Disposition:** Permanent  
**Restrictions:** Portions under KSA 45-221(a)(36)  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-138  
**Last Surveyed** 03 February 2012  
**Record Copy:** Paper, Electronic  
**Electronic Recordkeeping Plan Not Required**  
**Remarks:** 01/07/2004: Description amended  
02/03/2012: Changed retention period and disposition to Permanent; added "master" to description; removed sub-agency as all these maps for both Archeology and HPO are stored together. Maps go on GIS now and are hosted through DASC.

**Federal Historic Preservation Fund (HPF) Files** (Series 0319-288)  
Documents related to the administration of historic preservation grants by the department: correspondence, financial records, reports, drawings, photos, etc.  
**Entry Status:** Ready for SRB  
**Recommended Status:** Revise  
**Retention Period:** 3 federal fiscal years  
**Disposition:** Destroy  
**Restrictions:** None  
**Comments:** Retain 3 federal fiscal years beyond grant expiration, then destroy.  
**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-138  
**Last Surveyed** 03 February 2012  
**Record Copy:** Unknown  
**Remarks:** 01/07/2004: Title amended  
02/03/2012: Changed retention period, disposition, and comments.

**Grant Files - Heritage Trust Fund** (Series 0340-288)  
Variety of documents relating to applications received for heritage trust fund grants and to the implementation of those grants awarded.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain 5 fiscal years after the end of the grant period, transfer original application, contracts, agreements, and annual and final performance reports to the National and State Register of Historic Places Files and retain accordingly.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 07 January 2004
Record Copy: Paper
Remarks: 01/07/2004: Comments amended
02/03/2012: Noted that record copy is paper; electronic copies are retained for convenience.

Historic Sites Board of Review Files (Series 0320-288)
Meeting minutes, correspondence, notes, reports, and other documents related to the board.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Retain until no longer useful, then purge and transfer to the Archives.
Disposition: Archives
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 07 January 2004
Record Copy: Paper
Remarks: 01/07/2004: Description amended
02/03/2012: Added meeting minutes to description; changed retention period.

Historic Structures and Sites Inventory Files (Series 0322-288)
Records documenting historic and some archeological sites, as well as bridges, buildings, structures, or objects in Kansas: correspondence, clippings, maps, drawings, photographs, survey reports, inventory forms, and other supporting materials.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Archives
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain paper copies until no longer useful, then transfer to Archives. All information is now hosted by Data Access Support Center (DASC).
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 07 January 2004
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 01/07/2004: Title, Description, and Comments amended
02/03/2012: Comments amended. Records are created purely electronically now, through DASC.
National and State Registers of Historic Places Files (Series 0417-288)
Correspondence, nominations, research, photographs, drawings, grants, reviews and maps associated with properties listed on the Register of Historic Kansas Places and National Register of Historic Places. May include tax incentive, review and compliance, and Heritage Trust Fund (HTF) records when applicable.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: Permanent
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain permanently or transfer to the Archives.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 03 February 2012
Record Copy: Paper
Remarks: 02/03/2012: Amended description to include review & compliance; amended retention period and comments.

Review and Compliance Files (Series 0326-288)
Records documenting the review of construction projects and their impact upon historical and archeological sites according to state and federal environmental impact requirements.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions under KSA 45-221(a)(36)
Comments: Retain for 15 calendar years past inactivity, then purge findings of no affect or no property and transfer remainder to Archives.
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 07 January 2004
Record Copy: Paper
Remarks: 01/07/2004: Comments amended
02/03/2012: NOTE--Paper copies remain the record copies of this series, until CRD staff and State Archivist can come to an agreement regarding how to keep these records purely electronically.

Tax Incentive Projects Records (Series 0329-288)
Documents related to the processing of historic preservation federal and state tax incentive programs and projects: correspondence, applications, plans, specifications, photos, studies, reports, etc.
Entry Status: Ready for SRB
Recommended Status: Revise
Retention Period: See Comments
Disposition: Archives
Restrictions: Portions under KSA 45-221(a)(36); 5 USC 552a
Comments: Retain until no longer useful, then retain in National and State Register of Historic
Places Files.

**Schedule Authority:** Agency Schedule

**KAR Number** 53-2-138

**Last Surveyed** 07 January 2004

**Record Copy:** Paper

**Remarks:**
- 01/07/2004: Description and Comments amended.
- 12/27/2011: All projects include parts 2 and 3 (essentially before and after, or intention and documentation of work performed; only projects in historic districts include part 1). State projects tend to be for private homes and smaller projects; federal tax credit projects tend to be bigger, commercial endeavors. Individuals HAVE to give SSNs for KDoR tax certificate, to prove they've been filing taxes. This is another series that CRD staff would like to create and preserve electronically, rather than in paper form.
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
Recommended Status: Supersede (Other)
Retention Period: See Comments
Disposition: Archives
Restrictions: KSA 45-221(a)(36)
Comments: Retain until no longer useful, then transfer to the archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-102
Last Surveyed 03 February 2012
Record Copy: Paper, Electronic
Electonic Recordkeeping Plan Pending
Remarks: 02/03/2012: SUPERSEDED by 0330-288, Archeological Site files.

Archeological Field Maps (Series 0331-288)
Original maps created by the staff during investigations of archeological sites.

Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
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 03 February 2012
Record Copy: Paper
12/20/2011: SUPERSEDE this series with 0330-288, Archaeological site files.

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
Recommended Status: Supersede (Other)
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
Recommended Status: Supersede (Other)
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
Recommended Status: Supersede (Other)
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
Recommended Status: Supersede (Other)
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

Historic Preservation Office

Architectural Plans, Drawings, Maps, and Specifications (Series 0316-288)
Graphic architectural records related to records of specific projects located in other series.
Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
Retention Period: See Comments
Disposition: Archives
Restrictions: KSA 45-221(a)(12)
Comments: Retain until no longer useful, then transfer to the archives for purging.
Schedule Authority: Agency Schedule
KAR Number 53-2-076
Last Surveyed 03 February 2012
Record Copy: Paper
Remarks: 02/03/2012: SUPERSEDE this series with such series as Heritage Trust Fund, National Register, tax credits, and other more specific project types. These records are all associated with the projects, even if they have to be filed separately due to size.

Historic Sites Board of Review Minutes (Series 0321-288)
Proceedings of periodic meetings of the board.
Entry Status: Ready for SRB
Recommended Status: Supersede (Other)
Retention Period: Permanent
Disposition: Archives
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-138
Last Surveyed 03 February 2012
Record Copy: Paper
Remarks: 02/03/2012: SUPERSEDE this series with 0320-288, Historic Sites Board of Review Files.
Retention/Disposition Schedule Entries

288-005
Kansas State Historical Society
Cultural Resources Division
Historic Preservation Office

Project Reports (Series 0325-288)
Reports concerning historic preservation projects required by law to be filed by the public with the department - used by the department for review and compliance operations, and for reference.

Entry Status: Ready for SRB
Recommended Status: Obsolete
Retention Period: 010 cldr yrs
Disposition: Archives
Restrictions: None
Comments: These reports may also be found at other state and federal institutions.

OBSOLETE SERIES. Contact State Archives for appraisal.

Schedule Authority: Agency Schedule
KAR Number 53-2-076
Last Surveyed 19 July 1988
Record Copy: Unknown
Remarks: 02/03/2012: OBSOLETE SERIES. Contact State Archives for appraisal.
Retention/Disposition Schedule Entries

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

Amateur Archeology Program Files (Series 0304-288)
Records regarding the department's amateur archeology program: correspondence, publications, annual reports, and other miscellaneous documents.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until no longer useful, then transfer to archives.
Schedule Authority: Agency Schedule
KAR Number 53-2-076
Last Surveyed 03 February 2012
Record Copy: Unknown
Remarks: 02/03/2012: SUPERSEDE this series by such general retention and disposition schedules as correspondence (either policy-related or routine), publications, etc. Annual reports are not created, and these materials are not filed together.

Correspondence Drafts - Projects (Series 0307-288)
Drafts of letters related to project reviews (see "Construction Projects Review Files").
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: 002 cldr yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-076
Last Surveyed 03 February 2012
Record Copy: Unknown
Remarks: 02/03/2012: SUPERSEDE with general retention and disposition schedule 0028-000, Correspondence - Routine.

Office Administrative Files (Series 0312-288)
Personnel records, budgets, planning notes, vehicle records, equipment records, publications, and other materials related to administration of the department.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: See Comments
Restrictions: Portions may be restricted
Comments: Dispose of materials found under "General Schedule" in accordance thereof -
request appraisal from archives for remainder when no longer useful and transfer or destroy accordingly.

**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-076  
**Last Surveyed** 03 February 2012  
**Record Copy:** Unknown  
**Remarks:** 02/03/2012: SUPERSEDE this series with general retention and disposition schedules, as needed.

**Subject Files - Miscellaneous** (Series 0315-288)  
Reference and working files maintained in archeologists' offices regarding wide range of archeological subjects: field notes, publications, correspondence, photographs, reports, drafts, etc.

**Entry Status:** Ready for SRB  
**Recommended Status:** Supersede by GenSchd  
**Retention Period:** See Comments  
**Disposition:** Archives  
**Restrictions:** None  
**Comments:** Retain until no longer useful, purge of routine materials, then transfer to archives.

**Schedule Authority:** Agency Schedule  
**KAR Number** 53-2-076  
**Last Surveyed** 22 July 1988  
**Record Copy:** Unknown  
**Remarks:** 02/03/2012: SUPERSEDE this series with general retention and disposition schedules. New, distinct series for field notes to be created.

**Historic Preservation Office**

**Correspondence - National Park Service** (Series 0317-288)  
Incoming and outgoing correspondence between the department and the National Park Service regarding historical preservation issues.

**Entry Status:** Ready for SRB  
**Recommended Status:** Supersede by GenSchd  
**Retention Period:** See Comments  
**Disposition:** See Comments  
**Restrictions:** None  
**Comments:** Retain until no longer useful, then contract the archives for appraisal - if not accepted for transfer to the archives, then destroy.

**Schedule Authority:** General Schedule  
**KAR Number** 53-2-076  
**Last Surveyed** 03 February 2012  
**Record Copy:** Unknown  
**Remarks:** 02/03/2012: SUPERSEDE with general retention schedules 0027-000, Correspondence - Policy Related and 0028-000, Correspondence - Routine.

**Grant Files - Unfunded Heritage Trust Fund** (Series 0341-288)  
Applications and supporting documentation relating to federal, state, and private grants which were not funded.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: 001 cldr yr
Disposition: Destroy
Restrictions: None
Schedule Authority: General Schedule
KAR Number: 53-2-119
Last Surveyed: 22 May 1998
Record Copy: Unknown
Remarks: 03/26/2012: SUPERSEDE with general retention schedule 0050-000, Grant files - Unfunded.

Slide Collection (Series 0327-288)
Visual records of historic and archeological structures - 35mm color slides.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: See Comments
Restrictions: None
Comments: Retain until no longer useful, then contact the archives for appraisal - if not accepted for transfer to the archives, then destroy.
Schedule Authority: General Schedule
KAR Number: 53-2-076
Last Surveyed: 03 February 2012
Record Copy: Unknown
Remarks: 02/03/2012: SUPERSEDE this series with general retention and disposition schedule 0083-000, Photographic and video materials.

Subject Files - General (Series 0328-288)
Wide variety of documents relating to most aspects of the department's operations and to other subjects concerning historic preservation.
Entry Status: Ready for SRB
Recommended Status: Supersede by GenSchd
Retention Period: See Comments
Disposition: Archives
Restrictions: None
Comments: Retain until no longer useful, then transfer to archives for purging.
Schedule Authority: Agency Schedule
KAR Number: 53-2-076
Last Surveyed: 03 February 2012
Record Copy: Unknown
Remarks: 02/03/2012: SUPERSEDE this series with general retention and disposition schedule 0113-000, Technical Reference Files.
**Electronic recordkeeping system validation review**

**Case Summary**

<table>
<thead>
<tr>
<th>Case ID</th>
<th>Case name</th>
<th>Date initiated</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERS 2011-02</td>
<td>HR Employee Files</td>
<td>06/29/2011</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Department</th>
<th>State records series</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resources</td>
<td>Employee Personnel Files</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Custodian</th>
<th>Department contact(s)</th>
</tr>
</thead>
</table>
| Shawne Boyd, HR Director | Lisa Totten, HR Management Analyst
|                  | Bethany Carpenetti, HR Assistant |

**Problem statement**

HR was awarded a County Sustainability Grant to scan Active Employee Files and implement an e-records system for these records. A vendor is performing document preparation and scanning services. HR wishes to destroy paper after the vendor returns it after scanning and a quality assurance period is complete, rather than incurring costs to maintain and store paper source materials. After processing the backfile, the intent is that HR staff will scan new paper scan source and will destroy after completing quality assurance on an on-going basis.

---

**Base findings (Custodial department)**

(with RM updates/clarifications added within brackets)

<table>
<thead>
<tr>
<th>1</th>
<th>What does the custodial department call the paper materials? Describe information content. Please provide samples, if they would assist in description (redact any confidential portions).</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Human Resources Personnel and ADA/benefits files [i.e., files on individual employees]. These files include personally identifiable information, including applications, performance evaluations, copies of Drivers licenses and Social Security cards, salary, withholding and FMLA information.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2</th>
<th>What is the volume involved and rate of accumulation?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Each Sedgwick County employee has both a personnel file and an ADA/benefits file, there are approximately 6,000 files. Yearly performance evaluations are added to each file, and as an employee makes changes to withholdings, direct deposit information, FMLA, or Personnel Action Forms are completed on the employee and this documentation is added to their file.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3</th>
<th>Is the proposed destruction a one-time backfile or does it represent an ongoing destruction after quality assurance (QA) is complete?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>This proposed destruction is a one-time backfile, and we will be destroying all active employee files after they are scanned and quality checked.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4</th>
<th>Where are the paper materials currently stored or located?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Currently the employee files are stored at our vendor’s warehouse in San Antonio, TX. When they are returned they will temporarily be stored on the 2nd floor of the Historic Courthouse. Before this scanning project they were in several locked filing cabinets and one large rolling electronic power file locked cabinet. [Since the request’s initiation, vendor scanned and returned materials. Seven pallets of scan source materials are stored in the Courthouse Records Center.]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5</th>
<th>How are the paper materials secured?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The large electric filing cabinet is unlocked and locked daily; the smaller filing cabinets are unlocked and unlocked as files are needed from them. [Since materials were returned by the scanning vendor they have been stored inside the Courthouse Records Center.]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6</th>
<th>Are the paper materials source for scanning into OnBase (or another digital imaging system) or for database data capture or both?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>They are being scanned both to capture the image and the data from the image, allowing us to recreate each employee's paper file electronically.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7</th>
<th>Briefly describe the system containing/maintaining the e-records.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>We will use OnBase to capture and maintain the records. We will have the ability to index the images using a variety of pre-established indexing fields and have the flexibility to add new indexing fields as necessary.</td>
</tr>
</tbody>
</table>
| 8 | Are the paper materials organized so as to be fully accessible as records? That is, could a specific item (i.e., client chart, case file or specific document) be retrieved directly and relatively quickly, knowing only its date, sequence or other identifiers?  
Currently the records are stored alphabetically by file type (personnel or ADA), there is a checkout sheet so files are easy to locate if they are not in their appropriate location. [After preparation for scanning, scanning and return by the vendor, paper source materials are no longer foldered and arranged to be accessible as records.] |
|---|---|
| 9 | Are the paper source materials organized to support quality assurance (QA) only? That is, are materials organized only by dates scanned, employee who scanned, scan batches or similar?  
The paper source materials are organized by employee, then by file type, then by date filed. Materials scanned will be indexed by employee number and name, then by file type and effective date, or date received. [See comment in previous answer – returned materials have been de-foldered, clips removed and are otherwise no longer fully accessible as they were pre-scanning.] |
| 10 | When and why were these paper source materials last accessed? And for what purpose(s) – correction of capture errors, audit, litigation support, subpoena?  
Employee files are accessed on a daily basis, records are added, viewed, subpoenaed, and also can be used to support litigation. [Since scanning and return, HR has not needed to access the paper source materials.] |
| 11 | What is the cost to continue to maintain/retain the paper source materials?  
Maintenance and service fees for Human Resources’ Powerfile are approximately $245 per year; additional cost savings will be noticed as boxed employee files will no longer be sent for storage to the Records Center, then on to the Salt Mine for a period of 62 years. Currently nearly $700 is spent on Personnel and ADA file storage at the salt mine and as of October, $575 in expenses have been incurred for salt mine record retrieval, for a total yearly expense total of $1,520. As files are destroyed yearly, this cost will decrease over time. A cost savings in paper usage will also be noticeable as HR will no longer be printing electronic documents for filing, we will be moving electronic documents to employee folders. Scanning files will save departments time as they will have the ability to view files directly from their desktop rather than coming to HR. |
| 12 | Is there any other information relevant to issue of retaining or destroying the paper source materials?  
[None submitted.] |

Submitted 10/20/2011 by Lisa Totten, HR Management Analyst

Base findings (DIO/IT Business Solutions)

| 13 | Provide a brief description of the e-recordkeeping system (ERS) – the software and hardware components used and other relevant characteristics.  
Onbase – is a data management solution for Sedgwick County. Onbase allows you to import, index and retrieve data from a desktop client and/or web client. Onbase system consists of a web/application server and a database server. |
| 14 | If the paper materials are scan source for an OnBase application, does DIO/IT-BSG Document Imaging confirm the application is compliant with appropriate OnBase application standards and best practices (i.e., QA, security, user training, backup, COOP, etc.)?  
Yes |
| 15 | If the paper materials are source for a non-OnBase imaging application/database application, does the responsible DIO/IT BSG application manager confirm the application as implemented complies with appropriate DIO/IT standards and best practices (i.e., QA, security, user training, backup, COOP, etc.)?  
Yes. |
| 16 | How would DIO/IT-BSG implement and document a destruction of a defined subset of e-records from the e-recordkeeping system, if ordered by the Board of County Commissioners as part of a records destruction case?  
Currently, we do not destroy electronic data. Manual destruction can be accomplished. However, with vendor support and Onbase Records Management Module, we would construct a plan to automate the destruction of E-Records. |
17. What plan is in place (if any) to provide for the eventual migration of data and the e-records they represent, so that the County can retain and provide records access consistent with law?

At this time, there is no such plan in place [specifically for this e-records system. Standards provide for acquiring systems that can be migrated and for which access can be maintained].

18. Is there any other information relevant for understanding the e-recordkeeping system’s capability to capture and maintain e-records?

Other than purchasing Onbase Records Management Module, there is no other relevant information to present at this time.

Submitted 12/02/2011 by Israel Ramos, Application Manager (OnBase)

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**Base findings (DIO/IT Records Management)**

19. What State Records Series provide retention and destruction authority?

The active HR employee files scanned fall within two State records series for counties:

**Employee Personnel Files**
Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, background checks, and other personnel materials.

Minimum Retention: See comments
Disposition: Destroy
Comments: Retain in office for length of employee’s tenure plus 3 calendar years (5 calendar years for contract employees). Purge documents to create abstracted work history (appointment data and change of status information), transfer to inactive storage for 62 calendar years, then destroy.
Restrictions: Portions under KSA 45-221(a)(4)
Date Approved: 07/14/1998; amended 01/08/2004

**Payroll Deduction Authorization Records - General**
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.
Minimum Retention: see comments
Disposition: destroy
Comments: Retain until superseded or no longer in effect plus 1 calendar year, then destroy. This schedule does not apply to W-4 forms (q.v.) or Payroll Direct Deposit Authorization Record (q.v.).
Restrictions: KSA 45-221(a)(4)
Date Approved: 07/14/1998

The KSA listed as a restriction is the KORA provision that excludes most content of employee personnel files from “mandatory disclosure” under KORA.

Certain content scanned into OnBase also is captured into SAP. How to accomplish the purge process described in Employee Personnel Files comments in which short-term (3-4 years) retention content is separated from long-term content (62 years) will involve SAP. The process to ensure retaining long-term content, including media and format has not been addressed in this request.

20. Do the department and DIO/IT-BSG appear prepared to retain, migrate (if necessary) and eventually destroy the e-records?

Yes, with qualifications.

While there is no specific plan at this time to retain, migrate and destroy these specific records, both HR and DIO/IT-BSG are committed to doing so in the larger context of the management of County OnBase and other applications. County IT standards for all systems prepare for migration by preferring non-proprietary data formats and adequate documentation for systems.

The County is in process of acquiring the Records Management module for OnBase, which will enhance ERM functionality to execute and document destructions of e-records maintained in all OnBase applications.

Because the 62-year retention/access requirement for the “abstracted work history” content presents a high bar to assure with migration from media/format to media/format over such a long period, output of each year’s worth of such content to a summary report for all employees terminated into both PDF/A and to high-quality paper may be appropriate. Access would be less sophisticated, but would be more dependable to maintain over the many decades. PDF/A is a digital format intended for migration over the long term and has been released as an open standard (i.e., no encryption, fonts embedded and other specs to facilitate migration and long-
Storage of summary paper reports for only the abstracted content should represent minimal costs, offset by the security it would provide to assure retention and access – previously, HR has stored all content, rather than purging files to store only “abstracted work history” at commercial storage.

### 21 Do there appear to be system and/or operational deficiencies that Sedgwick County should remediate over time?

Yes.

1. HR needs to document the QA process for the backfile project performed by the vendor, both the standards the vendor applied and any QA performed by HR staff.
2. HR needs to document the QA process it proposes to apply to in-house scanning of new materials on an on-going basis, and any plans it may have to revise that process over time.
3. The OnBase Records Management module needs to be implemented for all OnBase applications, to move from ad hoc destructions to an integrated and documented process.
4. The details of the purge process in which short-term content is separated from long-term content needs to be determined in the relatively near future, so that it could be executed routinely at the end of each year. The specific content to be retained long-term and the media(s) and format(s) for its retention over 62 years needs to be determined in the relatively near future.

### 22 Do any system and/or operational deficiencies present an obstacle to destroying paper source?

No.

The e-records system is already in use and appears to be fully functional for all HR purposes. HR staff have not needed to access scan source materials stored in the Courthouse Records Center since return from the scanning vendor on 11/01/2011.

Acquisition of OnBase Records Management module has been approved by the TRC. Funding is being identified.

With commitments from all parties to follow through on issues related to long-term retention, ample time to determine the process for retaining long-term content, and once QA is documented and approved, there is no reason to retain paper source materials and delay realizing cost savings.

---

**Stakeholder review results**

<table>
<thead>
<tr>
<th>Stakeholder / Reviewer</th>
<th>Response Date</th>
<th>Support validation</th>
<th>Support validation with reservations</th>
<th>Do no support validation</th>
<th>No opinion – not a stakeholder</th>
<th>Reservations or other comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT Standards</td>
<td></td>
<td></td>
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<tr>
<td>Roger Taylor</td>
<td>01/12/2012</td>
<td>X</td>
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<tr>
<td>DIO/IT Business Solutions Group Manager</td>
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<td>Jennifer Magaña</td>
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<tr>
<td>Deputy County Counselor</td>
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<td>Financial</td>
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<tr>
<td>Chris Chronis</td>
<td>01/13/2012</td>
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<tr>
<td>Chief Financial Officer</td>
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</tbody>
</table>

Submitted 12/16/2011 by Douglas King, Records Manager
<table>
<thead>
<tr>
<th>Stakeholder / Reviewer</th>
<th>Response Date</th>
<th></th>
<th></th>
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<th>Reservations or other comments</th>
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<tr>
<td>Bob Parnacott</td>
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<tr>
<td>Assistant County Counselor</td>
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<tr>
<td><strong>Personal Privacy</strong></td>
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<td>(PCI-DSS and Red Flag)</td>
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<tr>
<td>Sara Jantz</td>
<td></td>
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<tr>
<td>Director of Accounting</td>
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<td></td>
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<tr>
<td><strong>Kansas Open Records Act</strong></td>
<td>12/19/2011</td>
<td>X</td>
<td></td>
<td></td>
<td>Content excluded from &quot;mandatory disclosure&quot; under KORA.</td>
</tr>
<tr>
<td>Douglas King</td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Records Manager &amp; Freedom of Information Officer</td>
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<td><strong>Electronic Document Discovery</strong></td>
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<tr>
<td>Karen Leslie</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DIO/IT Contracts Manager</td>
<td></td>
<td></td>
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<tr>
<td><strong>DIO/IT Contracts</strong></td>
<td>01/12/2012</td>
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<tr>
<td>Karen Leslie</td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>DIO/IT Contracts Manager</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Consumer Privacy (KSA 50-7a01)</strong></td>
<td>01/12/2012</td>
<td>X</td>
<td></td>
<td></td>
<td>Though not formally assigned, this value is substantially similar to Personal Privacy. Until it is assigned, RM will echo the Personal Privacy vote for this value.</td>
</tr>
<tr>
<td>TBD – not yet formally assigned</td>
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<tr>
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<td></td>
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**Records Manager’s findings, analysis & recommendations**

**Findings**

**HIPAA compliance concerns.** Responding to questions from Assistant County Counselor Robert Parnacott (HIPAA Privacy Officer), HR responded that the “ADA Files” scanned as part of this project contain Family Medical Leave (FML) paperwork and other individually identifiable health information for individual employees covered by the County health plans. HR will be able to provide access, including providing hard copies, to employees and all persons with a right to obtain this information as long as necessary. Employees (or their representatives) will be able to review their files at HR or HR will be able to produce copies and provide on request.

Mr. Parnacott noted that HIPAA requires retaining protected health information (PHI) for six years, which exceeds the three to five year after termination retention required in State schedules for the two records series identified by the Records Manager. RM will so note in the internal description for both records series which controls disposition and increase the retention parameter set in the RM database to six years after termination.

**What quality assurance (QA) process applied to backfile scanning?** The following summarizes the QA process the vendor and HR staff applied to the backfile as part of the scanning project.
1. HR prepared for QA by planning the conversion process. It reviewed each document type, to ensure each would be filed in the correct area. After an in-depth review, HR implemented a scanning matrix based upon this file structure.
   - “ADA Files” contain documents such as confidential, deductions, insurance, retirement, and withholding orders.
   - “HR Personnel Files” contain documents such as, actions, evaluations, training and education.
2. HR sent Docucon (the project vendor) a database of all County employees, including employee ID number, first name, last name and department.
3. As the vendor scanned files ...
   - The employee operating the scanner reviewed the image quality for each document.
   - Images then went to the indexing area and the image quality was reviewed again, and the image indexed appropriately, using double key entry for the employee ID, which populated the fields containing the employee’s name for further verification.
   - The indexed image then went to two employees in the QA area who each checked image quality and indexing for each document.
   - At any point any error detected was corrected.
4. Docucon uploaded scanned Images daily to Sedgwick county via secure FTP.
5. DIO/IT-BSG moved the files into OnBase.
6. HR applied its own QA process – All files that were scanned by Docucon were listed in a spreadsheet, and every 10th item was QA’d by County staff.
   - Indexing was matched to the document.
   - Checking ensured all pages of documents were included.
   - Image quality was checked for each document (i.e., straight, readable).
   - Any errors detected were documented to identify possible trends requiring correction.
7. Once Docucon completed scanning and indexing all images the paper source materials were returned to Sedgwick County. HR staff selected and QA checked more than 10% of paper files. Each file was reviewed page-by-page against the OnBase file created by Docucon, and any errors were documented for possible trends.

HR reports that the outcome of its QA checking showed errors in the 2-3% range as received from the vendor, within the RFP specifications. Certain errors were systematic (e.g., driver licenses’ background too dark) and were corrected by the vendor. Other errors were the result of misfiles in the physical file sent to the vendor (i.e., vendor accurately scanned contents of a file, which contained one or more items for another employee), and were corrected by HR by revising indexing. **HR is confident that the outcome of the total QA process is that errors in the body of e-records is at or below the level of errors in the previous body of paper files.**

**What on-going QA and paper source destruction process does HR propose?** Going forward, HR proposes the following as it scans new documents into employee files:
1. Employees scanning will check quality of images and indexing as they scan. Employees scanning are highly knowledgeable about the indexing system.
2. On a weekly basis HR staff and supervisors will QA a 10% sample, using OnBase’s random QA queue.
   - Any errors found will be corrected and reviewed to see if they indicate problem trends.
3. If errors indicate additional training is needed, it will be conducted.
4. HR will maintain all source documents for at least 60 days after scanning.
5. A long term goal will be to be able to demonstrate the accuracy and reliability of the process, and be able to reduce QA percentage to 5%.

Analysis

This validation case has addressed the active files HR maintains on individual employees, which are separated into general non-medical and medical categories. The State’s “Employee Personnel Files” records series provides retention/disposition authority for the non-medical records. That series and the State’s “Payroll Deduction Authorization Records – General” together provide authority for the medical category, which includes documents relevant to participation in benefits, ADA and FMLA. Yet to be determined for this total body of records is a procedure to purge content after employees terminate. We should proceed to address this next issue.

The description of the “Employee Personnel Files” records series in the State retention schedule for counties requires county governments to retain full content for three to five years after termination (five for “contract employees”), and then purge to create an “abstracted work history” (consisting of “appointment data and change of status information”). If HR cannot or chooses not to distinguish contract from non-contract employees, then all records must be maintained for five calendar years after termination. As HR is subject to HIPAA, content relevant to employees’ participation in medical benefits, ADA and FMLA must be retained for six years after termination. Counties must retain the abstracted work history for terminated employees for an additional 62 years (i.e., to document pension rights of employees). To accomplish these requirements Sedgwick County must ...

1. Identify the specific content within “Employee Personnel Files” that satisfy the “abstracted employee history” requirement and any other content that may merit long-term retention.
2. Ensure that documents subject to HIPAA retention requirements are clearly identified.
3. Determine how to accomplish the purge of content that falls outside of “abstracted work history.”
4. Determine how to retain and make accessible the “abstracted work history” content for 62 years. Retention as e-records must assume that file formats and media would be migrated many times. Ensuring retention and access to any body of records for 62 years is a challenge. No body of e-records has ever been retained as e-records for a period this long. Perhaps these records merit retention as both e-records and as paper reports, to ensure stable access over 62 years.

Under current policy, each records disposal requires the approval of the Board of County Commissioners, in the form of a Consent Agenda resolution. To adhere to this existing policy, the purge of short-term records five/six years after termination, leaving the abstracted work history to be retained 62-years, would require such a resolution each year. This approach could continue, or we could seek approval of a new policy, in which the BOCC would authorize administrative destruction of these e-records (and perhaps other routine e-records) consistent with some form of standing authorization to administratively destroy.

Accomplishing this next phase would require active participation of Stakeholders, which would include HR, Legal, DIO/IT-BSG, DIO/IT-ERP (for associated SAP content) and DIO/IT-RM.

Recommendations (02/03/2011)

As Records Manager I recommend the following:

1. With all Stakeholders responding to approve validation of the e-records system without qualification on or before 01/13/2012, the e-records system described is validated, the e-records it maintains will be the copies of record, and the scan source documents may be destroyed.
2. HR staff should confer with RM staff at the earliest opportunity to discuss, determine, document and implement a mutually agreeable procedure to maintain on-going scan source materials during a QA period, ensure secure storage during QA, destroy after completion of QA and document each such destruction.
3. As part of implementing the new OnBase Records Management module for HR, determine what content meets the “abstracted work history” requirement and ensure content subject to HIPAA is coded appropriately to require six years retention.

4. RM will work with HR and Legal counsel to assemble Stakeholders later this year to determine how to manage these records after termination of employees – that is, how to accomplish the purge of short-term content and the retention of “abstracted work history” content for 62 years. Ideally, the procedure would be in place and implemented in OnBase to be able to execute the purge of eligible, short-term records by the end of 2012. As noted in the Analysis section, a review of existing retention/disposal policy and procedure as it applies to e-records, and possible creation of new policy for e-records, may be appropriate.

5. The Records Manager will report the outcome of this case to the State Records Board, by providing a copy of the final case summary.

6. RM will consign the paper scan source materials to the records destruction vendor at the earliest opportunity.
Authorized changes to state retention and disposition schedules
Without requiring State Records Board approval

I. Records Management Staff

A. The State Records Board (SRB) authorizes Records Management staff at the Kansas State Historical Society to make the following limited technical changes to records retention schedules without further review and approval by the SRB:

1. Make copy editing changes to improve the accuracy of the text, such as correct typos or spelling, modify punctuation, grammar, terminology, jargon, formatting, and other like technical revisions consistent with the intent expressed by the SRB;

2. Amend series title based upon additional input from agency staff to more accurately reflect the nature of the records at issue;

3. Make description enhancements that do not substantially alter the content, function, and subject matter of the records;

4. Update restriction information to reflect current statute or regulation numbers where no substantive change to the statute or regulation has occurred;

5. Modify retention schedules, without altering any substantive content in the retention schedule itself, to reflect agency reorganizations or changes to agency hierarchy, such as moving a records series from one sub-agency to another or from one agency to another;

6. Update instructions for retiring records to the State Records Center or other inactive records storage facility before destruction or transfer to the State Archives; and

7. Add comments or notes for internal use only to aid records management staff in their work.

B. All other changes, corrections, modifications, amendments, revisions or revocations require the review and approval of the State Records Board.