

AGENDA
STATE RECORD BOARD
11 October, 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 Board of Accountancy – new series
4. Kansas Lottery – new series
5. Kansas Department of Corrections – All Facilities
 - a. New series
 - b. Revised series
 - c. Series superseded by agency-specific schedules
 - d. Obsolete schedules
 - e. Series superseded by general schedules
6. Other business:
 - a. Electronic Records Committee
 - b. Future meetings:
 - i. January 10, 2013
 - ii. April 11, 2013
 - iii. July 11, 2013
 - iv. October 10, 2013

State Records Board
26 July 2012
Center for Historical Research, West Conference Room

Present:

Lisa Mendoza, chair, designee for the Attorney General
Dennis Taylor, Secretary, Department of Administration
Matt Veatch, State Archivist, Kansas State Historical Society
Pat Michaelis, designee for the Executive Director, KSHS

Not present:

Bill Sowers, designee for the State Librarian

Also present:

Susan Maxon, Kansas Department of Transportation
Janet Arndt, Office of the Attorney General – Crime Victims Compensation
Board
Darrell Garwood, State Records Manager, KSHS
Lu Ann Harris, KSHS
Marcella Wiget, KSHS
Martin Gengenbach, KSHS

1. Ms. Mendoza called the meeting to order at 8:38 a.m. Introductions were made.
2. *Minutes:* Ms. Maxon made a request for a minor change to the 19 April meeting minutes; Ms. Mendoza also requested a minor change.
Motion to approve: Mr. Veatch moved approval as amended for the 19 April meeting and as written for the 19 June meeting, Ms. Michaelis seconded, unanimous approval as amended for the 19 April meeting and as written for the 19 June meeting.
3. *Kansas Department of Agriculture – Fertilizer and Pesticide Program:* Ms. Harris explained that there are two records series related to these investigations, those with no action (under discussion today) and those with. The no-action series, 0150-046, was originally listed to be sent to Archives and staff would like to reappraise for destruction. There are some boxes in the Archives that will be deaccessioned if this is approved. Will change word from “issued” to “confirmed” in description.
Motion to approve: Mr. Veatch approved, Secretary Taylor seconded, unanimous approval as revised.
4. *Kansas Department of Transportation:*
 - a) *Bureau of Local Projects:* Ms. Maxon first discussed the Bureau of Local Projects records series. Documents in this series are not those kept in the final project file permanently, but instead are considered working documentation. They may include inspections to ensure project is staying on schedule. The agency wants to keep these records through project closure in case of litigation, need for fiscal information and information that may not be needed for official correspondence, and other related reasons. Mr. Veatch noted the “vital records” remark and asked Ms. Maxon whether she has been trying to determine that information across the agency. Ms. Mendoza asked whether completion close and fiscal finalization were the same date; Ms.

Maxon explained that fiscal completion may occur years after the physical completion of the project. Ms. Maxon also explained that she's putting together a file plan for each unit in her agency and that she may therefore include more information than needed for the retention schedule creation. Secretary Taylor requested more information about potential litigation during a project, concerned that these records may need to be kept longer than the fiscal close. Ms. Maxon explained that KDOT usually expects litigation during project construction and therefore would already either have a litigation hold and/or expect the permanent project file to support the agency in its litigation. Ms. Mendoza wondered whether the working files may still be necessary for an agency to support it in litigation. Ms. Maxon discussed the notices of acceptance in which county and city officials sign off on their agreement with the department on construction projects. Secretary Taylor argued that there can be an unwilful acceptance, if there is something discovered after the notice of acceptance has been signed. Ms. Maxon suggested that the state department largely acts as a pass-through for funds and that most of the documents that could be considered litigious likely would be held in the city or county offices. Ms. Michaelis wondered whether this retention schedule should be put on held for Transportation's legal staff to look; Ms. Maxon explained that the legal staff essentially wrote this schedule and that their lawyer who mostly works with these documents has stated he has never needed to look at the working documents during a litigatory process. Mr. Veatch asked the two lawyers in the room whether a court would ever admonish an agency for having too short a retention; Secretary Taylor explained that a court would probably not substitute a judgment based upon an administrative agency's decision.

Motion to approve: Mr. Veatch moved approval as submitted, Secretary Taylor seconded, unanimous approval as written.

- b) *Office of Civil Rights:* The Office of Civil Rights at Transportation has never thrown anything away, but now the agency is going through an office and other space consolidation process. Ms. Maxon was concerned with the contract compliance reviews particularly, as they can contain sensitive information and date back up to 30 years. When a review is done—20 to 25 a year—the contractor is sending in a great deal of information about recruitment process, benefit packages, payroll documentation, and other related information that could be considered confidential. The federal government only requires that these review documents be kept for 3 fiscal years after the cut off. KDOT sends an annual summary report on each of the reviews to the U.S. Department of Transportation, and Transportation chooses to keep that report in Word so they can refer back to it. Ms. Michaelis wondered whether the reports should be kept permanently for historical purposes; Ms. Maxon explained that the federal agency keep these reports for that reason and do not require the states keep these reports. Mr. Veatch moved on to the Inactive (Dead) DBE files, noting that this records series seems to include a great deal of sensitive information. He wondered whether KSA 45-221(a)(3) should also be added to the Restrictions, as well as a KSA 45-221(a)(30) restriction for both this series and the OJT records. Ms. Mendoza questioned whether noting a restriction based upon a taxpayer's statute should also be added. Ms. Maxon explained that oftentimes in the OJT programs will provide information about individuals' financials; Ms. Mendoza suggested using KSA 45-221(a)(30) instead. Will strike out "in Word" in Contract Compliance Reviews and add to Comments that summary reports are maintained permanently at the federal level.

Motion to approve: Ms. Michaelis moved approval as amended, Mr. Veatch seconded; the DBE series is approved with the understanding that it will come back in October for revision to include that taxpayer's confidentiality statute. Unanimous approval as amended.

5. *Kansas Department of Corrections – All Facilities*: Records management staff at KSHS have talked with all the facilities' records officers and received approval from the Central Office's records officer to begin revising and updating the facilities' retention schedules. A majority of the facilities' ROs had given their approval to proceed about the schedules under discussion today; Mary Chambers also confirmed going ahead. Discussion of revised 0172-521; there are currently two versions available of this series on the public records management interface, and Ms. Wiget would prefer to go with the 2006 version, which allows for destruction rather than sending to Archives as in the previous version. Mr. Veatch would prefer that firmer language be found than "Retain until no longer useful, then destroy"; also need to change the KSA 45-221(a)(4) restriction to KSA 45-221(a)(30). Will table this records series until that disposition can be changed.

Motion to approve obsolete schedules: Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of obsolete schedules.

Tabled series: Tabled 0134-521 for discussion at a later date when it can be discussed with the facilities' in conjunction with 0515-521 and other disciplinary records.

Motion to approve agency-superseded schedules: Ms. Michaelis moved approval of agency-superseded schedules minus the first one, Mr. Veatch seconded, unanimous approval for these schedules.

Motion to approve general-schedule superseded schedules: Mr. Veatch moved approval, Secretary Taylor seconded, unanimous approval of schedules superseded by general schedule.

6. *Attorney General – Crime Victims Compensation Board*: Jan Arndt from the Crime Victims Compensation Board explained the board's purpose, noting that individuals who go before the board usually have no other compensation available, such as for medical bills, lost wages, property damage, etc. Police officers and medical personnel, used to providing a great deal of proof, usually provide too much information. These are confidential records under statute and therefore cannot be opened.

Ms. Mendoza worked with Ms. Wiget to revise this schedule. All records referencing a claim were required to be kept for 25 years; the Board does not ask for or require many records, which are sent to them voluntarily. Ms. Michaelis asked about other records from the Board, wanting to know if there were any higher-level information from the Board documenting what it does without providing information about specific individuals, such as meeting minutes or annual reports. Mr. Veatch wanted more information about what is presented to the Board to help them make their determination, and Ms. Arndt explained that everything necessary is compiled into board packets used at their meetings. Secretary Taylor asked for clarification about what was considered extraneous documentation if it was compiled into the board packet, objecting to the "Documents not relied upon by the board" language. The board is not as interested in the medical information as it is in the crime itself. Ms. Arndt clarified that the board receives a packet and then when a hearing occurs the victims may receive additional documents. Revise Comments in 0154-082 to "Documents presented to the board for a claim in a packet or at a hearing are kept for 25 years, then destroyed. Documents not presented to the board may be destroyed when the appeal process is final." Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of records series as amended.

7. *State Records Board & Records Management staff procedures*: Ms. Wiget stated that section IV. Procedures Specific to Electronic Records is incomplete as written, or rather that she expects more will be added to this section, but she wanted to move it out of the State Records Board general procedures, as discussed at the 19 June meeting. Mr. Veatch explained that they still

plan to bring to the October or January meeting electronic records standards for the Board to approve and that at that point this section may be completely revised or expanded as needed, but it reflects current practices. Ms. Wiget confirmed that this document will go on the KSHS website. Mr. Veatch moved approval, Ms. Michaelis seconded, unanimous approval of procedures as presented.

8. *Other business:* Ms. Michaelis talked about Kansas Bureau of Investigation case files that have come up for auction regarding the Klutter murders; KBI staff are pursuing these records in order to bring them back to the agency and will begin working with the son of the investigating officer, who is auctioning them. Ms. Michaelis noted that KSHS has in the past gone directly to the dealer and told the dealer that these are state records that cannot be sold, and the dealer usually turns them over. Ms. Mendoza said that she has been part of higher-level discussions in her agency about what remedies are available to the state in this instance, and Mr. Veatch noted that the State Archives staff would like to be kept informed about this issue, as it is of tremendous importance to government archivists.

Meeting was adjourned at 10 a.m.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 5, 2012**

1. **Agency:** Kansas Board of Accountancy
2. **Records Officer:** Susan Somers **Phone:** 296-2162
3. **Appraising Archivist:** Darrell Garwood
4. **Date of Appraisal:** September 7, 2012
5. **a) Total records – No. of Series:** 1
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:
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 Accountancy's records officer.
9. **Appraisal Narrative:**

Susan Somers contacted Records Management staff at KSHS in order to create a retention and disposition schedule for a records series that has recently become obsolete. She would like to destroy these records.

Retention/Disposition Schedule Entries

028-001

Board of Accountancy

Certified Public Accountant Practice by Notification (Series Unknown)

Notification form of licensure for out-of-state CPAs to practice in Kansas. This license replaces the certificate or permit previously required. This one page form is submitted to the Board.

Entry Status: Draft

Recommended Status: Obsolete

Retention Period: 002 cldr yrs

Disposition: Destroy

Schedule Authority: Agency Schedule

Record Copy: Paper

Remarks: This series was made obsolete by the CPA practice mobility legislation K.S.A. 1-322, passed in 2009.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 5, 2012**

1. **Agency:** Kansas Lottery
2. **Records Officer:** Amber Korbe **Phone:** 296-5781
3. **Appraising Archivist:** Darrell Garwood
4. **Date of Appraisal:** August 30, 2012
5. **a) Total records – No. of Series:** 6
b) New series – No. of Series: 6
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 Kansas Lottery staff Amber Korbe and Carol Sprague.
9. **Appraisal Narrative:**

These six series all need to be scheduled due to the Lottery's new responsibilities under KSA 74-8733 et seq. to oversee state-run casinos. All are electronic and kept for relatively short retention periods before destruction.

Retention/Disposition Schedule Entries

450-002

Kansas Lottery

Finance and Administrative Services Division

Casino-Daily Reports (Series Unknown)

PDF files with daily reports from the casino activity.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 3 fisc years

Disposition: Destroy

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: KSA 74-8733, et seq.

Casino-Invoicing Tool (Series Unknown)

Spreadsheet application file with daily net revenues and distribution calculations.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 fisc years

Disposition: Destroy

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: KSA 74-8733, et seq.

Casino-Monthly Reports (Series Unknown)

PDF files with the monthly summary of casino activity.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 fisc years

Disposition: Destroy

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: KSA 74-8733, et seq.

Casino-Receipts Log (Series Unknown)

Spreadsheet application file with daily deposits and voucher that give a cash balance.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 fisc years

Disposition: Destroy

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: KSA 74-8733, et seq.

Casino-Vouchers (Series Unknown)

PDF files with vouchers for casino distributions.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 fisc years

Disposition: Destroy

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: KSA 74-8733, et seq.

Casino-Weekly Reports (Series Unknown)

PDF files with the weekly summary of casino activity.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 003 fisc yrs

Disposition: Destroy

Schedule Authority: Agency Schedule

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: KSA 74-8733, et seq.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 5, 2012**

1. **Agency:** Department of Corrections – All Facilities
2. **Records Officer:** Mary Chambers (Central Office) **Phone:** 296-1136
3. **Appraising Archivist:** Marcella Wiget, Lu Harris
4. **Date of Appraisal:** 28 August 2012
5. **a) Total records – No. of Series:** 55
b) New series – No. of Series: 4
c) Revised existing series – No. of Series: 4
d) Obsolete schedules – No. of Series: 6
e) Series superseded by other schedules – No. of Series: 39
f) Series superseded by general schedules – No. of Series: 2
6. **Archival/Permanent records – No. of Series:** 2
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Conference call and email discussions with facilities' records officers and Mary Chambers.

9. **Appraisal Narrative:**

Continuation of revision and update to Dept. of Corrections' facilities' retention and disposition schedules. Marcella and Lu focused in this round on certain groupings of records series, such as subject files, laundry records, inmate mail records, call-out records, and fire and safety records. Will continue to work with the facilities and Mary in the coming months to keep the revision process moving.

Retention/Disposition Schedule Entries

521-010

Department of Corrections

All Facilities

Call-Out Records (Series Unknown)

Memoranda and other communications to cellhouses indicating which inmates may attend meetings of organized, approved groups (e.g. religious groups, choirs, programs, etc.)

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 001 fiscal year

Disposition: Destroy

Restrictions: KSA 45-221(a)(29), KSA 22-4707

Schedule Authority: Agency schedule

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 08/28/2012: new entry. This retention schedule supersedes 0443-521, 0363-521, 0444-521, 0445-521, 0118-521, 0448-521, and 0449-521.

Fire and Safety Records (Series Unknown)

Logs, maintenance and inspection records, correspondence, inventories, evacuation plans, meeting records, training materials, and other records regarding fire and safety issues in correctional facilities.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Destroy

Restrictions: Portions restricted per KSA 45-221(a)(12).

Comments: Retain for 5 fiscal years or until information is superseded, whichever is longer, then destroy. Certification information required by regulations to remain on file perpetually should be retained until superseded, then destroyed.

Schedule Authority: Agency schedule

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 08/28/2012: new entry to supersede 0342-521, 0408-521, 0435-521, 0436-521, and 0136-521.

Inmate mail records (Series Unknown)

Includes opened inmate mail lists, inmate mail review log books, postage stamp issuance logs, legal mail logs, and other related materials regarding contraband, censored material, and the general handling of mail sent to and received by inmates.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 03 fiscal years

Disposition: Destroy

Restrictions: Portions may be restricted per K.S.A 45-221(a)(10), K.S.A. 45-221(a)(12), K.S.A. 45-221(a)(29)

Schedule Authority: Agency schedule

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 08/28/2012: new entry to supersede 0507-521, 0223-521, and portions of 0229-521.

Laundry Records (Series Unknown)

Logs and other records regarding the tracking and handling of inmate laundry.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 001 calendar year

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency schedule

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 08/28/2012: new entry to supersede 0414-521, 0296-521, 0438-521, and 0457-521.

Retention/Disposition Schedule Entries

521-010

Department of Corrections

All Facilities

Canine Operations records (Series 0402-521)

Wide variety of documents related to the kennel operation and maintenance and dog training for those dogs working with the Department of Corrections: requisitions, correspondence, dog ownership papers, disposition records, vet bills, inspections and searches, search exercises, etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain until information is superseded or for 5 fiscal years, whichever is longer, then contact the State Archives for appraisal - if not accepted, then destroy and/or delete.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 02/14/1989: new entry.

08/28/2012: revised title, revised description to include information from 0401-521 so two series can be combined; revised disposition comments using 5 year recommendation from 0401-521.

Need separate series for animal programs in which inmates participate? (Horse program records retention schedules available under agency 522, KCI.)

Chaplain's records (Series 0301-521)

Documents regarding a wide range of facility issues: inmate control sheet, attendance worship records, volunteer demographics information, correspondence, notes, sermons, etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 01 calendar year

Disposition: See comments

Restrictions: None

Comments: Retain for 1 calendar year, then contact the State Archives for appraisal - if not accepted, then destroy and/or delete.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Pending

Remarks: 02/02/1989: new entry.

08/28/2012: revised title, revised disposition comments from "retain until no longer useful" to 1 calendar year, based upon emailed recommendation from Winfield Correctional Facility staff; changed disposition to allow either sending to the State Archives or destruction.

Inmate Count Records (Series 0133-521)

Inmate head counts taken throughout each shift.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 006 months

Disposition: Destroy

Restrictions: None

Comments: Duplicate copies may be destroyed whenever no longer useful.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 01/24/1989: new entry.

08/28/2012: revised series title and description.

Programs records (Series 0204-521)

Documents covering a wide range of program issues: correspondence, program evaluations, minutes, agendas, and other related materials. Includes pre-release programs.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 03 fiscal years

Disposition: Destroy

Restrictions: Portions may be restricted per K.S.A. 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 08/28/2012: revised title, revised description to include pre-release programs (from 0275-521), disposition from Archives to Destroy, gave definite retention period of 3 fiscal years, and added restriction from 0257-521.

Retention/Disposition Schedule Entries

521-010

Department of Corrections

All Facilities

Cassette Tape Loan Records (Series 0350-521)

Log of cassette tapes loaned to inmates (circulation records).

Entry Status: Ready for SRB

Recommended Status: Obsolete

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: OBSOLETE series: Follow disposition requirements for remaining records. Retain until log is complete, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - OBSOLETE series: Follow disposition requirements for remaining records.

Inmate Pass Book Log (Series 0413-521)

Documents of pass books distributed to correctional officers.

Entry Status: Ready for SRB

Recommended Status: Obsolete

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: OBSOLETE series: Follow disposition requirements for remaining records. Retain until log book is complete, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - OBSOLETE series: Follow disposition requirements for remaining records.

Livestock Weekly Log (Series 0225-521)

Documents made on a weekly basis of livestock population numbers and overall health conditions.

Entry Status: Ready for SRB

Recommended Status: Obsolete

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: OBSOLETE series: Follow disposition requirements for remaining records

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - OBSOLETE series: Follow disposition requirements for remaining records

Receiving Material Log (Series 0374-521)

Control sheet on material or documents received by the parole planning section.

Entry Status: Ready for SRB

Recommended Status: Obsolete

Retention Period: 001 cldr yr

Disposition: Destroy

Restrictions: None

Comments: OBSOLETE series: Follow disposition requirements for remaining records.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - OBSOLETE series: Follow disposition requirements for remaining records.

Sending and Receiving Work Log (Series 0156-521)

Documents relating to paperwork sent by unit team to classification and records section for processing.

Entry Status: Ready for SRB

Recommended Status: Obsolete

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Comments: OBSOLETE series: Follow disposition requirements for remaining records.

Schedule Authority: General Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - OBSOLETE series: Follow disposition requirements for remaining records.

Teletype Logs (Series 0514-521)

Recorded print messages indicating security emergencies or criminal information.

Entry Status: Ready for SRB

Recommended Status: Obsolete

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: KSA 22-4707 & 45-221(a)(29)

Comments: OBSOLETE series: Follow disposition requirements for remaining records

Schedule Authority: Agency Schedule

KAR Number 53-2-103

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - OBSOLETE series: Follow disposition requirements for remaining records

Retention/Disposition Schedule Entries

521-010

Department of Corrections All Facilities

Dog Training Files (Series 0401-521)

Documents pertaining to individual dog training exercises: date, time, weather conditions, approximate search location, search item, comments, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 005 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 02/14/1989: new entry.

08/28/2012: SUPERSEDE into 0402-521, Canine Operations records.

Fire Alarm Log (Series 0408-521)

Machine generated documents of fire alarm discharges: time, date, location, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 02/13/1989: new entry.

08/28/2012: SUPERSEDE with new Fire and Safety Records bucket retention schedule.

Fire and Safety Records - Monthly (Series 0435-521)

Documents regarding maintenance and inspections of Department of Corrections penal institutions for fire, health, safety, and other related issues.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Retain 3 calendar years, then destroy, except for certification required by regulations to remain on file perpetually-retain these documents until superseded, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Fire and Safety Records bucket retention schedule.

Fire and Safety Records - Weekly (Series 0436-521)

Documents regarding maintenance and inspections of Department of Corrections penal institutions for fire, health, safety, and other related issues on a weekly basis.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Retain 3 calendar years, then destroy, except for certification required by regulations to remain on file perpetually- retain these documents until superseded, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Fire and Safety Records bucket retention schedule.

Fire and Safety Training Records (Series 0136-521)

Documents regarding the instruction of fire and safety for facility correctional officers: correspondence, photographs, videotapes, lesson plans, blueprints, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 005 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 24 January 1989

Record Copy: Unknown

Remarks: 01/24/1989: new entry.

08/28/2012: SUPERSEDE with new Fire and Safety Records bucket retention schedule.

Inmate Bible Study Call-Out Records (Series 0443-521)

Memoranda to cell-houses indicating which inmates may attend meeting of the Bible Study.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Destroy

Restrictions: KSA 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Call-Out Records bucket retention schedule.

Inmate Call-Out Records (Series 0363-521)

Memoranda to cellhouses indicating which inmates may attend meetings of the Alcoholics Anonymous meetings.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Destroy

Restrictions: KSA 22-4707 & 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 02/14/1989: new entry.

08/28/2012: SUPERSEDE with new Call-Out Records bucket retention schedule.

Inmate Catholic Catechism Call-Out Records (Series 0444-521)

Memoranda to cellhouses indicating which inmates may attend meetings of the Catholic Catechism.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Destroy

Restrictions: KSA 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Call-Out Records bucket retention schedule.

Inmate Choir Call-Out Records (Series 0445-521)

Memoranda to cellhouses indicating which inmates may attend meetings of the Choir.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Destroy

Restrictions: KSA 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Call-Out Records bucket retention schedule.

Inmate Count Log - Daily (Series 0132-521)

Documents of daily inmate counts and where they are distributed.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until sheet is completed, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/24/1989: new entry.

08/28/2012: SUPERSEDE with 0133-521, Inmate Count Records.

Inmate Education Files - Vocational Students (Series 0195-521)

Documents relating to the performance and progress of individual inmates enrolled in vocational training.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 22-4707 & KSA 45-221(a)(29)

Comments: Retain until inmate leaves the corrections system plus 5 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-133

Last Surveyed 05 June 2012

Record Copy: Paper

Remarks: 5 June 2012: SUPERSEDED by agency schedule 0305-521 - Inmate Education File.

Inmate Education Program Weekly Call-Out Records (Series 0118-521)

Lists of the times inmates are to be in education programs.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Destroy

Restrictions: KSA 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/23/1989: new entry.

08/28/2012: SUPERSEDE with new Call-Out Records bucket retention schedule.

Inmate Grievance Records - Unit Team (Series 0446-521)

Correspondence, reports, and supporting documentation relating to inmate grievances and complaints that were answered by the Unit Team.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)
Retention Period: See Comments
Disposition: Destroy
Restrictions: KSA 22-4707 & KSA 45-221(a)(29)
Comments: Retain until case is resolved plus 5 years, then destroy.
Schedule Authority: Agency Schedule
KAR Number 53-2-133
Last Surveyed 05 June 2012
Record Copy: Paper
Remarks: 5 June 2012: SUPERSEDE by agency schedule 0376-521, Inmate Grievance files - Facilities.

Inmate Mail Records - Postage Stamp Issuance Log (Series 0223-521)

Documents of postage stamps purchased for and issued to inmates.

Entry Status: Ready for SRB
Recommended Status:Supersede (Other)
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-086
Last Surveyed 28 August 2012
Record Copy: Unknown
Remarks: 08/28/2012: SUPERSEDE by new Inmate mail records series.

Inmate Mail Review Log Book (Series 0507-521)

Log of decisions made regarding contraband and censored material in inmate mail.

Entry Status: Ready for SRB
Recommended Status:Supersede (Other)
Retention Period: 003 cldr yrs
Disposition: Destroy
Restrictions: KSA 45-221(a)(10)(12)(29)
Schedule Authority: Agency Schedule
KAR Number 53-2-086
Last Surveyed 28 August 2012
Record Copy: Unknown
Remarks: 08/28/2012: SUPERSEDE by new Inmate mail records series.

Inmate Moorish Temple Call-Out Records (Series 0448-521)

Memoranda to cellhouses indicating which inmates may attend meetings of the Moorish Science Temple.

Entry Status: Ready for SRB
Recommended Status:Supersede (Other)
Retention Period: 001 cldr yr
Disposition: Destroy
Restrictions: KSA 45-221(a)(29)
Schedule Authority: Agency Schedule
KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Call-Out Records bucket retention schedule.

Inmate Narcotics Anonymous Call-Out Records (Series 0449-521)

Memoranda to cellhouses indicating which inmates may attend meetings of Narcotics Anonymous.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Destroy

Restrictions: KSA 22-4707 & 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Call-Out Records bucket retention schedule.

Inmate Restriction Log (Series 0142-521)

Documents relating to an inmate's medical, disciplinary, work, and location restrictions.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: KSA 22-4707 & 45-221(a)(29)

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDE into other appropriate agency-specific schedules.

Laundry Log - Segregation (Series 0414-521)

Documents indicating the clothing sent and received from the laundry room.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 fisc yr

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 02/14/1989: new entry.

08/28/2012: SUPERSEDE with new Laundry Records bucket retention schedule.

Laundry Usage Log (Series 0296-521)

Documents regarding daily laundry activities and usage.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 fisc yr

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 02/02/1989: new entry.

08/28/2012: SUPERSEDE with new Laundry Records bucket retention schedule.

Laundry Usage Log - Infirmary (Series 0438-521)

Documents regarding daily laundry activities and usage in the infirmary.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 fisc yr

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 02/20/1989: new entry.

08/28/2012: SUPERSEDE with new Laundry Records bucket retention schedule.

Laundry Weights (Series 0457-521)

Documents related to the total weights of facility laundry.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 01/27/1989: new entry.

08/28/2012: SUPERSEDE with new Laundry Records bucket retention schedule.

Power Plant Operations Log - Daily (Series 0391-521)

Daily activities log noting repairs, odd incidents, and periodic checks.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-086

Last Surveyed 05 June 2012

Record Copy: Paper

Remarks: 5 June 2012: SUPERSEDED by agency schedule 0309-521 - Boiler Records.

Subject Files - Accounting (Series 0290-521)

Documents covering a wide range of accounting issues: receipts, reports, employee material, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules.

Subject Files - Administration (Series 0161-521)

A wide variety of documents relating to the general business operation for the facility: correspondence, reports, data sheets, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain in accordance with general schedule (KAR 53-3-1) where applicable-- otherwise retain until no longer useful, then contact the State Archives for appraisal, if not accepted, then destroyed.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Contract Jail Program (Series 0456-521)

Documents covering a wide range of general operation issues: contracts, payroll, clothing allocation, training of jail staff, correspondence, notes, management concerns, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the State Archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Counseling (Series 0202-521)

A wide variety of documents used in correctional issues: correspondence, sign-up logs, program reports, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain until no longer useful, then contact the State Archives for appraisal - if not accepted, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Deputy Director's (Series 0297-521)

Documents covering a wide range of correctional issues: correspondence, contracts, reports, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain until no longer useful, then contact the State Archives for appraisal - if not accepted, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Director's (Series 0269-521)

Documents covering a wide range of correctional issues: disciplinary appeals, contracts, correspondence, grievances, inmate property claims, media requests, monthly reports, travel requests, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(4)(29)

Comments: Retain until no longer useful, then transfer to the State Archives. PORTIONS MAY BE RESTRICTED.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Education (Series 0488-521)

Wide variety of documents related to a range of educational and vocational issues.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain according to general schedule (KAR 53-3-1) where applicable--otherwise retain until no longer useful, then transfer to the State Archives for purging.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Fire and Safety (Series 0342-521)

Documents covering a wide range of fire and safety issues: correspondence, quarterly fire drills, fire extension inventories, evacuation plans, monthly fire and safety meetings, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the State Archives for purging.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Unknown

Remarks: 02/15/1989: new entry.

08/28/2012: SUPERSEDE with new Fire and Safety Records bucket retention schedule.

Subject Files - Maintenance (Series 0310-521)

Documents covering a wide range of mechanical issues: inspections, maps, drawings, operational material, work orders, schedules, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(12)

Comments: Retain according to general schedule or other institution/agency schedule entries (KAR 53-3-1) where applicable--otherwise retain until no longer useful, then destroy.

PORTIONS MAY BE RESTRICTED.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Personnel (Series 0326-521)

Documents covering a wide range of personnel issues: correspondence, accreditation, equal employment opportunity material, group health insurance information, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 45-221(a)(4)

Comments: Retain according to general schedule (KAR 53-3-1) where applicable--otherwise retain until no longer useful, then contact the State Archives -if not accepted, then destroy.

PORTIONS MAY BE RESTRICTED.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Postal Operations (Series 0229-521)

Documents covering a wide range of issues: postage meter reports, censorship, certified mail logs, opened inmate mail list, correspondence, minutes, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Pre-Release (Series 0257-521)

Wide variety of documents related to the pre-release program unit: lesson plans, weekly class

lists, grade sheets, class rosters, correspondence, complete work assignments, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 45-221(a)(29)

Comments: Retain until no longer useful, then contact the State Archives for appraisal - if not accepted, then destroy. PORTIONS MAY BE RESTRICTED.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 08/28/2012: SUPERSEDE into 0204-521, Programs records.

Subject Files - Public Information (Series 0506-521)

Wide variety of documents related to a breadth of Department of Corrections issues.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the State Archives for purging of duplicate material.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Security (Series 0422-521)

Documents and related material used for daily facility security operation: correspondence, evaluations, key requisition logs, inspections, fire and tornado drills, weekly reports, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 45-221(a)(12)

Comments: Retain according to general schedule (KAR 53-3-1) where applicable-otherwise retain until no longer useful, then contact the State Archives -if not accepted, then destroy. PORTIONS MAY BE RESTRICTED.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Supply (Series 0190-521)

A wide variety of documents relating to the general operation of the supply office: movement sheets, special orders, inspection reports, leave forms, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 003 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Subject Files - Unit Team (Series 0303-521)

Documents relating to general counseling issues: correspondence, adjustment counseling meetings, correspondence, treatment programs, escape notification, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(29)

Comments: Retain according to general schedule (KAR 53-3-1) where applicable--otherwise retain until no longer useful, then transfer to the State Archives for purging. PORTIONS MAY BE RESTRICTED.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general and/or agency-specific schedules

Retention/Disposition Schedule Entries

521-010

Department of Corrections All Facilities

Employee Training Officer Schedule Log (Series 0267-521)

Documents relating to the general operation of training personnel: schedules, tests, grades, course titles, date, hours, etc.

Entry Status: Ready for SRB

Recommended Status:Supersede by GenSchd

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(9)

Comments: Retain until no longer useful, then destroy.

Schedule Authority: General Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by appropriate general schedules.

Subject Files - Training (Series 0116-521)

Documents relating to security and general training of facility employees.

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 State Archives for appraisal, if not accepted, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-086

Last Surveyed 28 August 2012

Record Copy: Paper

Remarks: 28 August 2012 - SUPERSEDED by general schedule: 0040-000 -Employee Training Course Materials.

Electronic Records Committee
25 September 2012, 10 a.m.
Executive Conference Room, Center for Historical Research

Committee members present:

Matt Veatch, State Archivist (Kansas State Historical Society)
Martin Gengenbach (KSHS)
Cliff Hight (Kansas State University)
Duncan Friend (Office of Information Technology Services)
Pat Michaelis (KSHS)
Teresa Schwartz (Kansas State Board of Regents)

Also present:

Marcella Wiget (KSHS)
Lu Ann Harris (KSHS)
Darrell Garwood (KSHS)
Gordon Lansford (Kansas Criminal Justice Information Systems)
Steve Montgomery (Kansas Bureau of Investigation)
Nicole DeKat (KBI)
Kelly McPherron (KBI)
Leslie Moore (KBI)
Chris Bortz (Kansas Department of Transportation)

I. *Introductions and announcements:* Mr. Veatch convened the meeting at 10:06 a.m. He noted that it has been over a year since the Electronic Records Committee (ERC) last met. Introductions followed. Mr. Veatch then went over the ERC's mandate, noting that it is an advisory committee for the Information Technology Advisory Board (ITAB) and for the State Records Board (SRB). He stated that the Electronic Recordkeeping Plan(ERP) template has been in use for many years and may need to be updated, in part because of the changing role of the Kansas Enterprise Electronic Preservation (KEEP) project in state government's electronic recordkeeping and the State Archivist's new role in IT projects costing the state more than \$250K. The ERC was at one time active in recommending standards and best practices, and the hope is that the ERC can continue to help in preservation planning for long-term and permanent electronic records, particularly in conjunction with KEEP. Mr. Veatch discussed the national context, involving a near-crisis in electronic records at the state level across the U.S. About half of the states are doing little or nothing and half are attempting to do something to ensure that there will be authentic and accessible electronic records available hundreds years from now.

II. *Electronic Recordkeeping Plans*

a. KCJIS – eCitation Project: Mr. Veatch explained that a few months ago, after discussions with Steve Montgomery, he wrote a letter as State Archivist for an Enterprise Project Management Office (EPMO) review, stating that KBI and KCJIS would retain active storage and access of the eCitation records for the life of the records, and that agency staff would write up an ERP because these records are of long-term retention. Gordon Lansford stated that KCJIS is an umbrella over all the state and local law criminal justice organizations with numerous projects occurring

at any given time. Currently the eCitation project is in the testing phase, ingesting certain local records . Transportation is involved because of the Traffic Records Coordinating Committee (TRCC); both these entities see the value in having state-level information available for criminal justice cases and related road safety concerns. Project staff are building the repository & the ability to inquire on those records ingested into the repository; Mr. Montgomery specifically mentioned DUI citations because these are of especial interest to prosecutors (another DUI tracking system is planned for the future). Eventually KCJIS hope to work out an exchange with the courts so that paper citations will not need to be sent over to them, but that is not in the current project.

Source of record will always be at the local level; the state is not required to build this repository by statute. Any open records requests will be referred back to the local agency that created the record. Mr. Veatch pointed out that these are, nonetheless, uniquely compiled records. Mr. Montgomery stated that currently these records are expected to be retained indefinitely because there is no statutory guidance regarding how long they must be kept, and he thinks these records will be of value for law enforcement officers for a long time. Mr. Veatch pointed out that "indefinitely" is not verbiage that can be used in a retention schedule and suggested a number of ways a retention schedule or set of schedules could be created regarding these citations, noting that at the local level these records are divided between misdemeanors and felonies.

Ms. Michaelis wondered whether there was any consistency or uniformity in how citations are created; Mr. Lansford and Mr. Montgomery stated there is not, but that information found on the citations from any law enforcement agency is often consistent. NIES XML is the standard by which information will be received in the system; Mr. Montgomery admitted that as they work more closely with locals there may need to be some back-end assistance to ensure that the data is received in the desired manner. There will be a handful of required discrete data elements and the ability to send scanned documents, if the organization wishes to submit information that way. Mr. Friend questioned whether they received any requests from local agencies for copies of their own records; Mr. Montgomery indicated this did not happen often from what he's seen in other repositories they have already built; he also noted that currency of data is always a question. Chris Bortz explained that the eCitation project came out of discussions from the TRCC and the KCJIS. There will be some presentation mechanisms in eCitation that will aggregate data from various repositories, including crash reports. Ms. Schwartz pointed out that many kinds of open records requests will be sent to KBI as the owner of this repository, and that while KBI may suggest the requestor go to the local agency, they cannot force the requestor to do so and therefore may have to answer those requests. She was specifically thinking about the consolidation of these records from multiple sources. Mr. Montgomery stated that they plan in the next legislative session to get some kind of protection against those kinds of scenarios.

Mr. Veatch requested more information about how KBI maintains authenticity of records when migrating from new to old systems. Mr. Montgomery stated that staff use a comparison of database schemas, looking for like data; write migration

routines based upon that; and use variety of methods of review, e.g. benchmark reports (statistical and aggregate information is still matching up) and manual comparison. He used the example of KSSort, noting that this is a small data set and therefore the agency has the luxury of retaining it for a long time, and because offenders have to re-register quarterly during a year, this information is looked at frequently. Any problems will thus be noted quickly. He also observed that every system will have to be assessed on a case-by-case basis, however, and this may not hold true for other repositories.

Motion for endorsement: Mr. Friend moved to endorse, Ms. Schwartz seconded, unanimous endorsement of eCitation ERP. Mr. Friend thanked KCJIS and KBI for their work on this plan.

- b. KsORT: Staff based their development effort on a system provided by the federal government, given freely to all fifty states. KBI has done a great deal of customization based upon that system because Kansas offender registration is much greater than federal offender registration. These records fall under 0027-083, Offender Registration Files, which has a retention for the lifetime of the offender. This retention continues to be valid, according to KBI staff who work with the records. Sheriffs register the offenders and so let KBI know when offenders die. Death date is noted in the system, so KBI will be able to periodically purge.

Motion for endorsement: Ms. Michaelis moved, Mr. Gengenbach seconded, unanimous endorsement of ERP.

III. *KEEP update*: Not discussed at this meeting.

IV. *Other business*

- a. ERC membership: The ERC was originally commissioned to receive more technical expertise in order to develop electronic records policies for the state of Kansas. Ms. Michaelis requested more information about who would be good at the state level to invite, thinking about ITAB membership. Mr. Friend discussed building stakeholder support as well as technical and archival expertise, noting IT people are needed as well as business and financial people. Discussion followed regarding past and present purposes of the ERC, including education for state agencies and hammering out what information is needed of electronic records to create retention schedules. Ms. Michaelis questioned whether this kind of planning couldn't be done early on in initial planning under EPMO reviews. Mr. Veatch stated that there is the Electronic Records Retention Statement during those reviews, and that the ERC could re-draft those questions, as they no longer fully answer what the State Archives needs to know. He thought electronic records staff at the State Archives could use the ERP instead, or in conjunction with, the ERRS for new projects; staff still need to keep available an ERP template for existing systems that are not part of EPMO reviews. Staff can also use the ERP to discover more about the records themselves and ensure they are scheduled. Mr. Friend noted that this issue is like the issue of accessibility, requiring advocacy to make agencies aware that these kinds of questions of long-term preservation and authenticity must be planned for from the beginning.

First step: update the ERRS, bringing together stakeholders to discuss—including those who have already had to fill out an ERRS. Mr. Friend pointed out this will involve the KITO. Effort to engage those stakeholders may turn up a new member or two for the ERC. Mr. Friend brought up the question of business continuity and disaster recovery for essential records, noting that this could add more gravitas and relevance to questions in the ERRS and linking in agency staffs' minds the importance of authenticity and preservation to other important aspects they're already concerned with. Ms. Schwartz questioned whether the ERC was necessary or whether the SRB was sufficient; Mr. Veatch pointed out that outsider perspective and stakeholder buy-in is still necessary. This brought the discussion back to what else the ERC needs to do; Mr. Friend brought up the KEEP policy framework in which the ERC should be involved, such as preservation planning. Discussion also concerned KSA 45-414 and the State Archivist's duty to promulgate standards; Mr. Veatch wants the ERC to help him vet these standards before bringing them to the SRB. Ms. Schwartz noted that by forcing agencies to use standards, these agencies need to be informed; otherwise there will be backlash and agencies will refuse to comply.

- b. Future ERC meetings: Mr. Veatch questioned whether the ERC needs a standing meeting date and time. Mr. Friend pointed out that even if there are no ERPs to discuss, there are other matters that need to be deliberated. The group settled on Thursday, 13 December at 2 o'clock. Proposed that generally ERC meetings be held in the afternoon on the second Thursday of the month, a month before SRB meetings, so that if any retention scheduling needs to be done it may have enough time to be taken care of before the SRB meeting. Action steps for the December meeting: revised charter, revised ERRS.

Mr. Veatch adjourned meeting at noon.