

AGENDA
STATE RECORDS BOARD

1/23/2014

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 from previous meeting
3. Office of Administrative Hearings
 - a. Revised entry
 - b. Superseded to other agency-specific entries
4. Kansas Department of Corrections: revised entry
5. Kansas Public Employees Retirement System (KPERs)
 - a. Electronic Recordkeeping Plan
 - b. New entry
6. Kansas State Department of Education: new entries
7. Kansas Commission on Veterans' Affairs
 - a. Revised entries
 - b. Superseded to other agency-specific entries
8. Kansas Corporation Commission
 - a. Revised entries
 - b. Superseded to other agency-specific entries
9. Office of the State Bank Commissioner
 - a. Electronic Recordkeeping Plan
 - b. New entries
 - c. Revised entries
 - d. Superseded to other agency-specific entries
10. Kansas Department of Agriculture – Division of Conservation
 - a. Electronic Recordkeeping Plan
 - b. New entry
 - c. Revised entries
 - d. Superseded to other agency-specific entries
11. Kansas Department of Agriculture – Legal Section
 - a. New entries
 - b. Revised entries
 - c. Superseded to other agency-specific entries
12. Kansas Department of Agriculture – Division of Animal Health
 - a. Electronic Recordkeeping Plan
 - b. New entry
 - c. Superseded to other agency-specific entries
 - d. Revised entries
13. Housekeeping changes:
 - a. Housekeeping edits

- Kansas Corporation Commission
 - Office of Administrative Hearings
 - Kansas Commission on Veterans' Affairs
- b. Obsolete entries
- Office of the State Bank Commissioner
 - Kansas Corporation Commission
 - Office of Administrative Hearings
 - Kansas Commission on Veterans' Affairs
- c. Superseded to the general schedule
- Kansas Department of Agriculture
 - Office of the State Bank Commissioner
 - Kansas Corporation Commission
 - Office of Administrative Hearings
 - Kansas Commission on Veterans' Affairs
14. Other business:
- a. Revised State Records Board and records management procedures
- b. Future meetings:
- April 17, 2014
 - July 17, 2014
 - October 16, 2014
 - January 15, 2015

State Records Board
24 October 2013
Kansas Historical Society, Executive Conference Room

Present: Lisa Mendoza, chair, designee of the Attorney General
Matt Veatch, State Archivist, Kansas Historical Society
Patricia Michaelis, designee of the KHS Executive Director
John Yeary, designee of the Secretary of Administration

Not Present: Bill Sowers, designee of the State Librarian

Also present: Ruth Glover (Kansas Human Rights Commission)
Kelli Stevens (State Board of Healing Arts)
Michele Mainey (Healing Arts)
Scott Carlson (Department of Agriculture – Division of Conservation)
Lu Ann Harris (KHS)
Marcella Wiget (KHS)
Rick Scheuffler (Agriculture – Legal Section)
Holly Fenton (Agriculture - Legal)
Shawnel Neal (Kansas Department of Revenue)
Jackie Yingling (Kansas Board of Pharmacy)

Introductions and announcements: Ms. Mendoza called the meeting to order at 8:34 a.m. Introductions were made. The Historical Society's recent reorganization was discussed.

Minutes: **Motion:** Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of minutes as submitted.

Kansas Department of Revenue: Ms. Wiget explained that Mr. Veatch did a Chief Information Technology Office-reportable IT project plan review several months ago for the Department of Revenue, during which process it was discovered that records series 0003-565, Licensing files, for the Alcoholic Beverage Control needed to be revised and an Electronic Recordkeeping Plan (ERP) created in order to retain the long-term records electronically. The ERP was handed out to the board in paper form to review.

Motion: Ms. Michaelis moved approval, Mr. Yeary seconded, unanimous approval of ERP.

Motion: Mr. Veatch moved approval, Ms. Michaelis seconded, unanimous approval of revised schedule entry as submitted.

Kansas Human Rights Commission: Ruth Glover described the process the HRC follows regarding active and inactive investigative case files created by the commission.

Motion: Mr. Veatch moved approval, Mr. Yeary seconded, unanimous approval of revised series entries as submitted.

Kansas State Board of Healing Arts: Kelli Stevens explained that the protocols of the new series are paperwork filed between physicians and staff who dispense prescribed drugs. Ms. Wiget explained that this entry is coming before the board, despite the electronic component, due to paper records needing to go immediately to the State Records Center. Discussion surrounded the paper versus electronic

records; a public comment was added, stating “Paper records will be maintained for the length of retention period. Electronic records will be maintained until the Electronic Recordkeeping Plan has been endorsed by the Electronic Records Committee and approved by the State Records Board.”

Motion: Ms. Michaelis moved approval, Mr. Yeary seconded, unanimous approval of new entry as revised.

Discussion moved onto the revised entries; Healing Arts is updating their schedule overall, and Ms. Stevens briefly went through each of the entries. Mr. Veatch questioned 0017-105, Licensing Files, and the 30 calendar year retention, which is from the date of creation rather than from an inactive date. Ms. Stevens also explained that staff are already scanning records and sending paper copies to the State Archives. The board generally expressed concern about this entry and tabled it until they received the agency’s ERP. Mr. Veatch also questioned keeping the renewal records separately, but Ms. Stevens explained that these annual renewal records are in fact filed separately from the initial application file.

Motion: Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of all revised series except 0017-105, which was tabled for further discussion.

Motion: Mr. Veatch moved approval, Mr. Yeary seconded, unanimous approval of superseded entry.

Agriculture – Division of Conservation: The board looked over the department’s Electronic Recordkeeping Plan, provided in paper form. The use of Docuware will be phased throughout the agency, Conservation being the first division to implement it. Scott Carlson indicated the division’s satisfaction with the system and the vendor.

Motion: Mr. Veatch moved approval, Ms. Michaelis seconded, unanimous approval of ERP as submitted.

The board proceeded to discuss the new entry. All five conservation commissioners are elected by conservation district supervisors and serve two-year staggered terms. Ms. Michaelis suggested revising the title to state “Commissioners’ election records” to clarify what kind of election records the series entry described.

Motion: Mr. Yeary moved approval, Ms. Michaelis seconded, unanimous approval of new entry as amended.

Ms. Wiget noted that all the revised entries submitted at this meeting relate to the use of Docuware. Another system used by the Division of Conservation specifically, CSIMS, does not yet have an endorsed ERP, and so several other entries are waiting for board approval.

Motion: Mr. Veatch moved approval, Mr. Yeary seconded, unanimous approval of revised schedule entries as submitted.

Conservation districts discussion: Ms. Mendoza noted that the statutory language “public body corporate and politic” reminded her of the Kansas Turnpike Authority. Mr. Carlson pointed out that in the past when discussing conservation districts, legal counsel have suggested that these districts are like school districts. He explained that the districts have always been told that certain of their records are permanent, even if there has never been formal authority providing for that, such as from the State Records Board. Those records include meeting minutes and certain financial records, over which the Conservation Commission has oversight.

Mr. Carlson proposed that the districts have read-only access to Docuware to deposit their records, and the Department of Agriculture become the official records custodian. Districts could also email their records to the agency. He noted that it is unknown whether all districts have kept all their records since their formation, and that the agency intends to keep the local records electronically no matter what decision the State Records Board makes regarding transfer to the State Archives. Both Ms. Michaelis and Ms. Mendoza pointed out that any records sent to the Division of Conservation should be

scheduled as state records, rather than local records. The outstanding issue becomes legacy paper records from all 105 conservation districts.

Mr. Veatch explained that the State Archives has moved away from being a repository for local records. His concerns focused on the fact that these records, while being sent to a state agency, are not actually state records and whether or not they should be scheduled to come to the State Archives as a permanent record. Ms. Mendoza recommended focusing the board's efforts on those records it can govern through the Department of Agriculture, meaning those records the agency requires the local districts to send.

Ms. Michaelis, as coordinator for the Kansas State Historical Records Advisory Board (KSHRAB), indicated that the board may be able to help the Division of Conservation with finding out more information from the districts regarding what records they still maintain, their quantity, and other related information. She thought KSHRAB may be able to help coordinate granting opportunities from the NHRPC. Mr. Carlson also indicated that many districts are co-located with U.S. Department of Agriculture natural resource agencies, who often provide technical services for the districts. Mr. Carlson thought they would be very cooperative in scanning these records and therefore grants may not be required. Ms. Mendoza pointed out that she does not want these records to disappear but does not want to impose an impossible task on the local districts either. Mr. Carlson thought the districts would be glad for the guidance, particularly as they are going through office consolidation space across the state. Mr. Veatch indicated that these records are of enduring value and open and therefore may be good candidates to transfer to KEEP.

Board of Pharmacy: Ms Yingling, records officer for the Pharmacy Board, explained that her agency wishes to deal with the paper records as soon as possible, recognizing that they also need to deal with their electronic records. The agency has about 30 boxes of paper records ready to be destroyed. Ms. Yingling noted that if a business re-opens it will probably do so within a year, and when re-opening the business has to re-apply and a new record and license number are created for that business.

Motion: Mr. Veatch moved approval, Mr. Yeary seconded, unanimous approval of new entry as submitted.

Discussion briefly centered around the appraisal decisions for licensing files. One suggestion involved capturing data fields that are open and unrestricted from agencies' licensing databases.

Motion: Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of revised entries as submitted.

Office of the Attorney General: Ms. Mendoza explained that the 2 year retention period, as revised in the last Records Board meeting for series 0050-082, General Legal Services – State Agencies, Boards, and Commissions was a mistake; while the agency may maintain some of these records a year or two after a matter is closed, the agency wanted more flexibility in its disposal of matters that are dealt with quickly. Mr. Yeary asked for clarification about the "legal opinion" language, and Ms. Mendoza explained this is part of their daily work and general legal counsel services, not work related to formal opinion-writing.

Motion: Ms. Michaelis moved approval, Mr. Veatch seconded, unanimous approval of revised schedule entry as submitted.

Kansas Housing Inspectors Registration Board: This board was created in 2010 and sunsetted at the end of fiscal year 2013. At that time, the board chair arranged to transfer all electronic records to the Kansas Historical Society; paper records remained at the accountant's office who served as staff support for the board. The majority of the records transferred fell within general retention and disposition schedule entries, but the housing inspector and school application and renewal records needed to be separately scheduled.

Ms. Mendoza suggested that because this is a sunsetted agency that will not be brought back to life by the State Legislature, the disposition should be changed to “destroy immediately.”

Motion: Mr. Veatch moved approval, Mr. Yearly seconded, unanimous approval of new entry as revised.

Local records – Count Public Works and General Schedule: Ms. Wiget explained that both these new entries on the local records retention schedule are actually copies of entries on two state agencies’ schedules. Ms. Anderson, records manager with Johnson County, found both these entries on the state schedule and wished to use them for her county. In order to do so, they needed to be added to the local records schedule. The hygrothermograph entry could be useful for any county museum or other entity that may track environmental conditions for its office or storage spaces.

Motion: Mr. Veatch moved approval, Ms. Michaelis seconded, unanimous approval of both entries as submitted.

Housekeeping changes: For the benefit of John Yearly, Mr. Veatch described the purpose of the housekeeping report, focusing specifically on general schedule entries appearing on agency-specific schedules. This is a pre-cursor to a larger project to clean up the actual general schedule.

The board acknowledged the housekeeping report.

Ms. Wiget will send out an email regarding both the upcoming meetings for records officers and the social media survey. There are 28 responses so far, a high response rate, but she would like more input. Ms. Mendoza believes that any guidance from the board regarding social media will be like the email white paper from several years ago, focusing on the underlying content rather than the media, and rather than creating actual specific schedule entries on the general schedule or on agency-specific schedules. Mr. Veatch pointed out that email is typically housed internally and therefore agencies have more control over it, unlike social media. Mr. Veatch requested that Ms. Mendoza be a secondary facilitator on the social media survey discussion at the records officers’ meeting.

Ms. Wiget pointed out the earliness of the January board meeting date and asked whether the board would prefer to meet on a different date. The board agreed to meeting on January 23 instead and proposed in future that the board should regularly meet on the third Thursday of the month instead of the second.

Ms. Mendoza adjourned the meeting at 10:45 a.m.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Office of Administrative Hearings
2. **Records Officer:** Sharon Wiedmaier **Phone:** 296-2895
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** 10 December 2013
5. **a) Total records – No. of Series:** 19
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 1
d) Obsolete schedules – No. of Series: [2 – see housekeeping report]
e) Series superseded by other entries – No. of Series: 2
f) Series superseded by general schedule entries – No. of Series: [14 – see housekeeping report]
6. **Archival/Permanent records – No. of Series:** 1
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**
Discussions with records officer.
9. **Appraisal Narrative:**

State Archives staff and records officer Sharon Wiedmaier wished to clean up outstanding issues with Office of Administrative Hearing's retention schedule, including moving still-existing schedule entries out of Dept. of Administration into OAH's schedule now that it is a separate agency and noting that some records once maintained separately are part of the same electronic system holding the Administrative Hearing Case Files, which has an approved Electronic Recordkeeping Plan.

Retention/Disposition Schedule Entries

178-001

Office of Administrative Hearings

Administrative Hearing Case Files (Series 1024-173)

Hearing requests, correspondence, exhibits, notes, copies of decisions and orders and other documents relating to administrative hearings. Hearings cover appeals of any state agency's action, including but not limited to food stamps, license revocation, etc. OAH staff attorneys oversee the hearings, and final decision may be appealed to District Court. Also includes database of docket information.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Permanent

Restrictions: KSA 39-709b, 39-758, 39-1404, 39-1430, 39-1507, 38-1506, 38-1508, 38-1607, 38-1608, 38-1609, 59-2111, 72-4311, 34 CFR sec. 361.49.

Comments: Scan paper documents, and retain paper copy for six years from date of appeal, then destroy. Retain digital copy permanently in system according to Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-158

Last Surveyed 10 December 2008

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: Restricting statutes/regulations: KSA 39-709b, 39-758, 39-1404, 39-1430, 39-1507, 38-1506, 38-1508, 38-1607, 38-1608, 38-1609, 59-2111, 72-4311, 34 CFR sec. 361.49.

Revised description & retention; required Electronic Recordkeeping Plan.

7/9/09 revised agency code to reflect OAH becoming an independent agency.

05/20/2013 mwiget: 7/9/09 revised agency code to reflect OAH becoming an independent agency.

05/20/2013 mwiget: Removed restrictions information from Remarks to Restrictions field.

12/03/2013 mwiget: Removed notation about Records Center from disposition comments.

12/10/2013: revised description to specifically include information about dockets.

Retention/Disposition Schedule Entries

178-001

Office of Administrative Hearings

Decisions and Orders (Series 1027-173)

Copies of decisions and orders rendered in administrative hearings maintained for convenience of reference.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: See below

Comments: Retain until no longer useful, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-104

Last Surveyed 22 November 2013

Record Copy: Unknown

Remarks: Restricting statutes/regulations: KSA 39-709b, 39-758, 39-1404, 39-1430, 39-1507, 38-1506, 38-1508, 38-1607, 38-1608, 38-1609, 59-2111, 72-4311, 34 CFR sec. 361.49. Record copy of orders and decisions maintained in case files.

7/9/09 revised agency code to reflect OAH becoming an independent agency.

11/22/2013: Supersede to 1024-173, Administrative Hearing Case Files.

Docket Files (Series 1039-173)

Main frame computer database, computer printouts, file cards, and handwritten lists containing summary data on administrative hearing cases files: case number, name, status, and disposition.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: See Comments

Restrictions: See below

Comments: Retain electronic format for 2 calendar years, then produce a printout and destroy the electronic data. Retain computer printouts, file cards, and handwritten lists for 7 calendar years, then transfer to the archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-104

Last Surveyed 08 November 1991

Record Copy: Unknown

Remarks: Restricting statutes/regulations: KSA 39-709b, 39-758, 39-1404, 39-1430, 39-1507, 38-1506, 38-1508, 38-1607, 38-1608, 38-1609, 59-2111, 72-4311, 34 CFR sec. 361.49. Printout is arranged numerically--not an alphabetical cross reference.

7/9/09 revised agency code to reflect OAH becoming an independent agency.

11/22/2013: Supersede to 1024-173, Administrative Hearing Case Files.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Department of Corrections
2. **Records Officer:** Mary Chambers **Phone:** 296-1136
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** 7 November 2013
5. **a) Total records – No. of Series:** 1
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 1
d) Obsolete schedules – No. of Series: (1)
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
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 records officer
9. **Appraisal Narrative:**

Records officer Mary Chambers contacted the State Archives regarding these inmate complaint files, wishing to know whether or not the archives wanted the records. She is cleaning out storage space in preparation for a move, and the Ombudsman for Corrections role has been abolished for several years.

Retention/Disposition Schedule Entries

147-001

Ombudsman for Corrections

Inmate Complaint Files (Series 0011-147)

Complaint sheet, correspondence, grievances, etc. relating to complaints filed by inmates seeking redress after efforts at the facility failed.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 004 fisc yrs

Disposition: Destroy

Restrictions: KSA 22-4707 & 45-221(a)(29); 45 CFR Parts 160 and 164 (HIPAA)

Comments: Retain in office 4 fiscal years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 04 May 2009

Record Copy: Unknown

Remarks: 05/04/2009: Revised restrictions.

11/07/2013: revised disposition after reappraisal; records no longer wanted by State Archives.

This series should also become obsolete, as the Ombudsman for Corrections has been abolished since 2003.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Kansas Public Employees Retirement System (KPERS)
2. **Records Officer:** John Hooker **Phone:** 296-6166
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** 23 December 2013
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 schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
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 records officer.
9. **Appraisal Narrative:**

In updating the agency's Electronic Recordkeeping Plan, records officer John Hooker discovered no existing entry for membership files and wished to rectify that. The revised ERP was endorsed at the December 2013 Electronic Records Committee meeting.

New entry

Retention/Disposition Schedule Entries

365-003

Kansas Public Employees Retirement System Member Services Division

KPERS Membership Records (Series Unknown)

Any document created or submitted to the Agency relating to the maintenance of a person's membership account with the Kansas Public Employees Retirement System. These include, but are not limited to, KPERS forms, correspondence, phone logs, and/or vital records maintained by the Agency.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 150 calendar years from date of last retrieval

Disposition: Destroy

Restrictions: K.S.A. 74-4909(10)

Comments: Records are stored electronically in KPERS Integrated Technology Solution database and on microfilm or microfiche. Those records that have not been accessed 150 years from the last retrieval date will be permanently purged/deleted from the system.

Schedule Authority: Agency schedule

Last Surveyed 19 December 2013

Record Copy: Electronic, Microfilm

Electronic Recordkeeping Plan Endorsed

Remarks: 03/05/2013: new entry.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Kansas State Department of Education
2. **Records Officer:** Cheryl Whelan **Phone:** 296-3204
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** 10 December 2013
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: 0
e) Series superseded by other schedule entries – No. of Series: 0
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 0
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Review of records, discussions with records custodians.
9. **Appraisal Narrative:**

In preparation for moving offices, Education staff discovered certain records remained unscheduled and asked permission to destroy these records. After reviewing the records, none appear to have archival or long-term value.

Retention/Disposition Schedule Entries

652-004

Kansas State Department of Education Career, Standards, and Assessments

Career and Technical Education VE2 Programs / Pathways (Series Unknown)

Records submitted to the Kansas State Department of Education from institutions providing organized educational activities to academic standards providing technical knowledge and skills needed to prepare and careers in current or emerging professions. Individual institutions' files may include applications and supporting documentation, course outlines, funding information, program standards and planning documents, and other related records. Formerly called VE-2s, now available as Pathways through the KSDE website.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: Retain 005 Fiscal years, then destroy and/or delete.

Disposition: Destroy

Restrictions: Portions may be restricted per K.S.A. 45-521 and K.S.A. 75-3520

Schedule Authority: Agency schedule

Last Surveyed 02 August 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/09/2013: new entry.

Driver Education / Commercial Driving School records (Series Unknown)

Commercial Driving School original records; licensing of school and instructors. Contains forms, correspondence, financial documents, insurance information, social security numbers which may be needed in the event of a lawsuit.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 003 cldr years

Disposition: Destroy

Restrictions: K.S.A. 45-221 & K.S.A. 75-3520

Comments: School licenses are annually renewed.

Schedule Authority: Agency schedule

Last Surveyed 02 August 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 09/09/2013: new entry

Kansas Standards & Assessment Peer Review (Series Unknown)

Report and documentation of teaching standards and assessment systems for Kansas, as required under the No Child Left Behind Act of 2001 to be submitted to the U.S. Department of Education. These records are peer reviewed by national experts knowledgeable in the fields of standards and assessment.

Entry Status: Ready for SRB

Recommended Status: Approve As New

Retention Period: 10 cldr years after documentation is returned from USDE.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency schedule

Last Surveyed 28 August 2013

Record Copy: Paper

Remarks: 12/10/2013: new entry.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
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January 23, 2014**

1. **Agency:** Kansas Commission on Veterans' Affairs
2. **Records Officer:** Kafer Peele **Phone:** 296-3977
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** 17 December 2013
5. **a) Total records – No. of Series:** 86
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 3
d) Obsolete schedules – No. of Series: [56 – see housekeeping report]
e) Series superseded by other schedule entries – No. of Series: 1
f) Series superseded by general schedule entries – No. of Series: [26 – see housekeeping report]
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 records officer.
9. **Appraisal Narrative:**

Records Officer Kafer Peele had been contacted by State Archives staff regarding superseding appropriate agency-specific schedule entries to the general schedule; he in turn worked with other agency staff to review KCVA's entire schedule. The agency will need to work on an Electronic Recordkeeping Plan for its members database in order to complete its records retention and disposition schedule revisions.

Retention/Disposition Schedule Entries

694-001

Kansas Commission on Veterans Affairs Central Office

Kansas Soldiers Home and Kansas Veterans' Home Patient Case Files (Series 0015-694)

Documents concerning admission and stay at veterans' homes for patients transferred from state hospitals. Maintained in two sub-series: active & inactive.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr years after veterans' death or discharge from either facility

Disposition: Destroy

Restrictions: KSA 45-221(a)(3)

Schedule Authority: Agency Schedule

KAR Number 53-2-072

Last Surveyed 11 December 2013

Record Copy: Unknown

Remarks: 08/20/1987: new entry.

12/17/2013: revised title, description, and retention period.

694-002

Kansas Commission on Veterans Affairs Kansas Soldiers' Home and Kansas Veterans' Home

Kansas Soldiers Home and Kansas Veterans' Home Case Files (Series 0014-694)

Includes applications for admission, correspondence, various legal documents, and other related records. Used to document all aspects of the lives of members at the Home.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr years after veterans' death or discharge from either facility.

Disposition: Destroy

Restrictions: KSA 45-221(a)(3)

Schedule Authority: Agency Schedule

KAR Number 53-2-072

Last Surveyed 11 December 2013

Record Copy: Unknown

Remarks: 08/20/1987: new entry.

12/17/2013: revised series title, description, and retention period.

Members and Transfer Patients Medical Record (Series 0091-694)

Medical histories, hospital admission records, doctors and nurses notes, nutrition records, laboratory records, health assessments, and other documents related to mental and physical health of members

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr years after veterans' death or discharge from either facility.

Disposition: Destroy

Restrictions: KSA 45-221(a)(3)

Schedule Authority: Agency Schedule

KAR Number 53-2-072

Last Surveyed 24 September 1987

Record Copy: Unknown

Remarks: 09/24/1987: new entry.

12/17/2013: revised retention period from 22 years to 10 after death or discharge; revised disposition from archives to destroy. Agency note: If there is an event that would justify longer, i.e. case in legal, than the decision would be made on a case by case basis.

SUPERSEDE TO ANOTHER
AGENCY-SPECIFIC
SCHEDULE ENTRY

Retention/Disposition Schedule Entries

694-002

**Kansas Commission on Veterans Affairs
Kansas Soldiers' Home and Kansas Veterans' Home**

Member Case Files (Series 0090-694)

Used to document all aspects of the lives of members at the Home. Includes applications for admission, correspondence, various legal documents, and other related records.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: KSA 45-221(a)(3) & KSA 65-2423

Comments: Retain for 10 years following death or discharge of member, then transfer to archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-072

Last Surveyed 23 September 1987

Record Copy: Unknown

Remarks: 09/23/1987: new entry.

12/17/2013: Supersede into 0014-694.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
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January 23, 2014**

1. **Agency:** Kansas Corporation Commission
2. **Records Officer:** Judy Jenkins **Phone:** 271-3181
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** January 2014
5. **a) Total records – No. of Series:** 57
b) New series – No. of Series: 0
c) Revised existing series – No. of Series: 12
d) Obsolete schedules – No. of Series: [38 – see housekeeping report]
e) Series superseded by other schedule entries – No. of Series: 3
f) Series superseded by general schedule entries – No. of Series: [4 – see housekeeping report]
6. **Archival/Permanent records – No. of Series:** 3
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**
Discussions with records officer.
9. **Appraisal Narrative:**

Kansas Corporation Commission staff are intending to update and overhaul their existing records retention and disposition schedule to reflect current business practices and clarify record copy ownership. Records officer Judy Jenkins began working with the Conservation Division because they will be moving offices this calendar year. They are working on Electronic Recordkeeping Plans in order to ensure records they used to microfilm can now be kept long-term electronically.

Retention/Disposition Schedule Entries

Revised entries

143-015

State Corporation Commission Litigation Division

Conservation Division Case Files - Production (Series 0250-143)

Legal Division's attorney work product-case files related to petroleum production issues.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain for 5 calendar years after the matter is closed, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/14/2014: revised sub-agency information, series title and description, and changed retention from permanent to destroy.

Subject Files (Series 0351-143)

Wide variety of documents regarding legal division activities: reports, budget materials, publications, etc.

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

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/16/2014: revised sub-agency information; removed "correspondence" from description to deal with separately; revised disposition comments.

143-050

State Corporation Commission Conservation Division

Activity Reports (Series 0245-143)

Reports filed by district offices regarding various field activities: Old Well Work Over Reports, Seismic Core Hole Reports, etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 calendar years

Disposition: Destroy

Restrictions: None

Comments: This series is now maintained only in each district office where created. Duplicate copies may be destroyed when no longer useful.

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/12/2014 mwiget: revised retention, disposition, and comments.

Correspondence - Extension and Exception (Series 0255-143)

Requests submitted by oil and gas well operators extensions or exceptions to specific rules and regulations regarding the petroleum industry.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 002 calendar years

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/12/2014: revised retention and disposition, deleted comment.

EPA Miscellaneous Files (Series 0265-143)

Records regarding inter-actions between the Environmental Protection Agency and the Conservation Division: correspondence, reports, procedures, regulations, etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 002 calendar years

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/14/2014: revised sub-agency information, retention, and changed disposition from archives to destroy.

Plugging Invoices (Series 0324-143)

Copies of invoices sent to operators assigning fees for the plugging of abandoned oil and gas wells.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 007 fiscal years

Disposition: Destroy

Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 10 January 2014
Record Copy: Unknown
Remarks: 01/14/2014: lengthened retention, deleted comments.

Administrative Services Section

Division Director's Files (Series 0354-143)

Wide variety of documents related to full range of division activities: reports, minutes, notes, etc.

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

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/16/2014: revised sub-agency information; removed "correspondence" from description; revised disposition comments.

General Administration Files (Series 0352-143)

Wide variety of documents related to general routine administration concerns of the division.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 007 calendar years

Disposition: Destroy

Restrictions: None

Comments: Records may be maintained electronically.

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 01/12/2014: revised retention period, noted record copy format.

Underground Injection Control Primacy Application and Underground Injection Control Records (Series 0369-143)

Records related to commission's application to the Environment Protection Agency for authority to control underground injections of oil wells in Kansas. This series also includes relevant grant applications.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 015 calendar years
Disposition: Archives
Restrictions: None
Comments: Updated annually.
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 10 January 2014
Record Copy: Unknown
Remarks: 01/12/2014 mwiget: revised description and series title.

Legal Section Compliance Unit

Compliance Tracking System (Series 0253-143)
Electronic databases or spreadsheets used to track the penalty process or any other docket, from District recommendation or initial application until the matter is closed.
Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: See Comments
Disposition: Destroy
Restrictions: None
Comments: Retain until no longer useful, then delete.
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 10 January 2014
Record Copy: Electronic
Electronic Recordkeeping Plan Not Required
Remarks: 01/14/2014: revised description.

Technical Services Section Production Unit

Oil and Gas Pro-Ration Schedules (Series 0302-143)
Schedules of production levels allowed for each well in the state that is operating on a pro-rated basis.
Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: 001 calendar year
Disposition: Destroy
Restrictions: None
Schedule Authority: Agency Schedule
KAR Number 53-2-074
Last Surveyed 10 January 2014
Record Copy: Unknown
Remarks: 01/14/2014: revised retention period.

Oil and Gas Pro-Ration Summary (Series 0270-143)

Computer listings of all pro-rated gas fields by location.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: Retain current record until superseded, then destroy.

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/14/2014: revised series title and retention; deleted comment.

Retention/Disposition Schedule Entries

Superseded by other
agency-specific
schedule entries

143-050

State Corporation Commission Conservation Division Administrative Services Section

Rules and Regulation Committee Records (Series 0343-143)

Records of committees related to the establishment of oil and gas industry regulations: Oil and Gas, Plugging and Completion, Pits and Ponds, and Underground Injection Control.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 010 cldr yrs

Disposition: Archives

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/12/2014: supersede to 0297-143, Oil and Gas Advisory Committee Records.

Technical Services Section Environment Unit

Subject Files - Underground Injection Control (Series 0357-143)

Wide variety of documents related to underground injection of oil wells: correspondence, reports, notes, minutes, 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 archives for purging.

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 10 January 2014

Record Copy: Unknown

Remarks: 01/14/2014: supersede into 0369-143, Underground Injection Control Primacy Application and Underground Injection Control Records.

Production Unit

Oil Pro-Ration Summary (Series 0305-143)

Computer listing of all pro-rated oil fields by locations.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: currt

Disposition: Destroy

Restrictions: None

Comments: Generated from "Pro-Rated Oil Field Orders Database" (q.v.).

Schedule Authority: Agency Schedule

KAR Number 53-2-074

Last Surveyed 12 January 1988

Record Copy: Unknown

Remarks: 01/14/2014: supersede into 0270-143, Oil and Gas Pro-Ration Summary.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Office of the State Bank Commissioner
2. **Records Officer:** Glen Caspers **Phone:** 296-2266
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** 30 December 2013
5. **a) Total records – No. of Series:** 55
b) New series – No. of Series: 8
c) Revised existing series – No. of Series: 22
d) Obsolete schedules – No. of Series: [17 – see housekeeping report]
e) Series superseded by other schedule entries – No. of Series: 6
f) Series superseded by general schedule entries – No. of Series: [2 – see housekeeping report]
6. **Archival/Permanent records – No. of Series:** 9
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**
Discussions with records officer and legal staff.
9. **Appraisal Narrative:**

General counsel Diane Bellquist worked in conjunction with records officer Glen Caspers to update and revise the Bank Commissioner office's records retention and disposition schedule to reflect current business practices and recordkeeping needs. The agency's Electronic Recordkeeping Plan was endorsed at the December 2013 Electronic Records Committee meeting.

Retention/Disposition Schedule Entries

094-001

Office of the State Bank Commissioner

Administrative Interpretations (Series Unknown)

Formally issued interpretations of the Kansas Uniform Consumer Credit Code authorized pursuant to KSA 16a-6-104.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Archives

Restrictions: None

Comments: Retain until revoked or superceded, then transfer a copy to the State Archives. Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: new entry. Agency note: Legal maintains the records on the network drives.

Banking Division Application Logs (Series Unknown)

Lists of applications received and statuses of each.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: Portions per KSA 9-1712

Comments: Records may be maintained electronically per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: new entry.

Banking Division Applications (Series Unknown)

Applications pertaining to bank holding companies, banks, trust companies and money transmitters.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: Permanent

Disposition: Permanent

Restrictions: Portions per KSA 9-1712, KSA 45-221(a)(1)(30)

Comments: Records may be maintained electronically per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: new entry. Agency note: Active records are maintained electronically on network drives and KSIMS.

Closed Bank Files - No Longer Supervised By Office of the State Bank Commissioner

(Series Unknown)

Bank files for banks that no longer are supervised by our agency as a result of a merger, purchase and assumption, dissolution, conversion, or other action.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 001 cldr year

Disposition: Destroy

Restrictions: Portions per KSA 9-1712

Comments: Records may be maintained electronically per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: new entry.

Legal Opinions and Memorandums (Series Unknown)

Formal written and issued memorandums or legal opinions analyzing the facts of a scenario and applying the law.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: KSA 45-221(a)(15) and Attorney-Client Privileged

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: new entry. Agency note: Legal. Records are maintained electronically on shared drives.

Meeting Summary Reports (MSRs) (Series Unknown)

Written summaries of meetings with banks that are not related to an examination.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: KSA 9-1712

Comments: Records may be maintained electronically per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 12/13/2013: new entry.

Professional Organizations files (Series Unknown)

Documents relating to membership/participation in professional organizations.Â

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: None

Comments: Records may be maintained electronically per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: new entry. Agency note: Same as general schedule 0088-000, except active records are maintained for a longer duration.

Subpoenas (Series Unknown)

Subpoenas directed to the OSBC and the response, along with any documents produced.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: Portions per KSA 9-1712, KSA 9-2217, and KSA 16a-6-106

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency schedule

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: new entry. Agency note: Legal maintains the records on the network drives.

Retention/Disposition Schedule Entries

094-001

Office of the State Bank Commissioner

Abstracted Bank History (Series 0001-094)

Ledgers listing banks and any changes in name, location, status, disposition, etc. and maintained for convenience of reference. a.k.a. A-B Books.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See comments

Disposition: See comments

Restrictions: None

Comments: Retain permanently or transfer to the archives when no longer useful.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 17 July 1997

Record Copy: Paper

Remarks: 12/12/2013: revised restrictions and retention period. Note from agency: Banking - Hard Copies are archived on book shelves in Elektriever room.

Amendments to Articles of Incorporation (Series 0002-094)

Copies of various amendments to articles of incorporation of regulated entities originally filed with the Secretary of State's Office.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: None

Comments: Retain until stamped for approval and submitted to the Kansas Secretary of State. No copies retained by the Office of the State Banking Commissioner.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 17 July 1996

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/12/2013: revised comments.

Annual Reports of Regulated Entities (Series 0003-094)

Annual reports required to be submitted by regulated entities reporting officers, owners, and business activities.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: Portions KSA 45-221(a)(30)

Comments: Records may be maintained in electronic format per Electronic Recordkeeping

Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-116

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/12/2013: Revised description, retention and disposition, restrictions, and noted that records are now electronic. Agency note: Active records are maintained electronically on network drives.

Audits - Revenue Bond Issuers (Series 0005-094)

Annual audits compiled by revenue bond issuers to document an acceptable debt service ratio as required by KAR 17-14-1.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 1 year from date of audit

Disposition: Destroy

Restrictions: None

Comments: Records may be maintained in electronic form per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 12/12/2013: revised retention and comments.

Banking Board Files (Series 0007-094)

Agenda, minutes, summaries of bank applications, correspondence, tape recordings, etc. documenting bank related activities conducted at the monthly board meetings.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: Portions per KSA 9-1712

Comments: Tape recordings were the official record from Feb. 1993 through Aug 1996. Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 17 July 1996

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/12/2013: revised description, retention, comments, and restrictions. Agency note: Banking Administrative Assistant. Records maintained electronically.

Call In Sheets (Series 0009-094)

Work papers relating to nearly completed regulated entities examinations conducted by bank reviewers reporting progress to the central office.

Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: 005 cldr years
Disposition: Destroy
Restrictions: KSA 9-1712
Comments: Records may be maintained in electronic format. Kansas Secretary of State maintains original filings.
Schedule Authority: Agency Schedule
KAR Number 53-2-110
Last Surveyed 12 December 2013
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 12/12/2013: revised retention and comments. Agency note: Banking examination staff maintain active records electronically on network drives and upload to KSIMS.

Charters - Regulated Entities (Series 0012-094)

Charters granted to individual regulated entities as required by KSA 9-1801 to conduct business in the state.

Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: Permanent
Disposition: Permanent
Restrictions: None
Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.
Schedule Authority: Agency Schedule
KAR Number 53-2-110
Last Surveyed 12 December 2013
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed
Remarks: 12/12/2013: revised retention and disposition and comments. Note from agency: Banking - Director of Corporate Activities. Paper copies retained in file cabinet in Dana's office.

Consumer Complaint and Resolution File (Series 0015-094)

Correspondence and other documents relating to written complaints directed to the agency.

Entry Status: Ready for SRB
Recommended Status:Revise
Retention Period: 003 cldr years
Disposition: Destroy
Restrictions: Portions per K.S.A. 45-221(a)(30)
Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.
Schedule Authority: Agency Schedule
KAR Number 53-2-110
Last Surveyed 12 December 2013
Record Copy: Paper, Electronic
Electronic Recordkeeping Plan Endorsed

Remarks: 12/12/2013: revised retention period, comments, and restrictions.

Correspondence - Legal (Series 0017-094)

Written inquiries from regulated entities and the general public pertaining to the agency's regulatory jurisdiction and the agency's responses.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: Portions KSA 45-221(a)(30)

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/12/2013: revised description, lengthened retention, added comment. Note from agency: Legal maintains these in electronic format in email and on network drive.

Correspondence - Regulated Entities (Series 0018-094)

Incoming letters and copies of the responses to regulated entities and/or to third parties regarding the financial condition and status of regulated entities.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: KSA 9-1712 & KSA 9-2217 & KSA 16a-6-106

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/12/2013: revised comments and restrictions. Agency note: Agency wide. Records maintained electronically in KSIMS, network drive, and email.

Failed Banks files (Series 0021-094)

Correspondence, Federal Deposit Insurance Corporation (FDIC) receivership information, etc. relating to closed banks.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: KSA 9-1712

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 17 July 1996

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/12/2013: revised title, retention, disposition, and comments. Agency note: Legal Records maintained electronically in KSIMS and on network drive.

Fidelity Bonds (Series 0022-094)

Copy of fidelity bond, declaration page, proof of payment, correspondence, etc. required by KSA 9-1115 and 17-5319 for all regulated entities to ensure against employee theft, etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: KSA 9-1712

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: revised retention and comments.

Legal Case Files and Supervisory Actions (Series 0019-454)

Variety of documents relating to legal proceedings against licensees or registrants.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: See comments

Restrictions: KSA 45-221(a)(1), (25), (30) & KSA 9-2217 & KSA 16a-6-106 & attorney client privilege. Restrictions for archived records: portions KSA 9-1712, KSA 45-221(a)(30), KSA 9-2217 and KSA 16a-6-106.

Comments: Retain entire case file for 5 calendar years after case is closed, then maintain the final agency order permanently. Records may be maintained in electronic form per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-090

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 07/11/2013 dgarwood: CCC moved to Office of State Bank Commission (094-001).

12/12/2013: revised description to remove investment certificate companies; revised retention and disposition comments and restrictions. Agency note: Legal maintains records on network drives and KSIMS.

Licensees Files (Series 0021-454)

Documents relating to the application, licensing, examination and supervision of licensees and registrants to ensure compliance with statutes, regulations, and standards. Included are files on individual owners and officers of companies.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: Portions per KSA 45-221(a)(30) and KSA 16a-6-106

Comments: Retain until after licensee's license has been inactive for 3 calendar years, then destroy. Retain owner and officer files until 3 calendar years after their owner or officer status was terminated, then destroy. Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-090

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 07/11/2013 dgarwood: CCC moved to Office of State Bank Commission (094-001).

12/13/2013: revised description, retention and disposition, comments, and restrictions. Agency note: CML Licensing. Maintained in NMLS, KSIMS, electronic files on network drives and in hard copy.

Monitoring Sheets (Series 0029-094)

Work sheets generated for use in the central office summarizing examinations conducted by bank reviewers regarding problem regulated entities.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 005 cldr years

Disposition: Destroy

Restrictions: KSA 9-1712

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: Agency note: Banking Division Review Examiners. [Examples: SCOR Reports, offsite monitoring forms]

Notifications (Series 0025-454)

Worksheets used in notifying registrants of fees due, cancellations, etc.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Retain until the licensee's license has been inactive for 3 calendar years.

Disposition: Destroy

Restrictions: None

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-090

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 07/11/2013 dgarwood: CCC moved to Office of State Bank Commission (094-001).

12/13/2013: revised retention period and comments. Agency note: CML Licensing. Maintained in electronic files.

Public Guidance Documents (Series 0027-094)

Memos related to policy and non-policy information issued by the Bank Commissioner to regulated entities.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See comments

Disposition: Archives

Restrictions: None

Comments: Retain until no longer useful, then transfer to the State Archives. Records may be maintained in electronic format per the Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Pending

Remarks: 12/13/2013: revised retention period, comments, and restrictions. Agency note: Agency wide. Memos are saved in the OSBC Public News and on network drives.

Registrants and Licensees Databases (Series 0026-454)

Computer databases of current registrants/licensees files.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: Permanent

Disposition: Permanent

Restrictions: None

Comments: Data will be retained permanently per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-090

Last Surveyed 22 April 1991

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 07/11/2013 dgarwood: CCC moved to Office of State Bank Commission (094-001).

12/13/2013: Agency note: KSIMS

Reports of Examination (Series 0031-094)

Reports prepared by examination staff documenting the results of the examinations of the regulated financial institutions.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 010 cldr yrs

Disposition: Destroy

Restrictions: KSA 9-1712 & 16a-6-106 & 9-2217

Comments: Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: revised description, retention period, and comments; changed disposition from Archives to Destroy. Agency note: Banking and CML examination staff. Active documents are maintained on network drives and in KSIMS.

Revenue Bond Applications (Series 0032-094)

Prospectus, attorney opinion and other documentation as required by KAR 17-14-1 relating to the bond issuance approval process.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain until maturity of bond, then destroy. Retain incomplete or not approved revenue bond applications for 3 calendar years, then destroy. Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: revised title and retention comments. Agency note: Legal maintains active records on network drives and in KSIMS.

Telecommunications and Inquiry Logs (Series 0030-454)

Registers recording incoming and outgoing telephone calls and emails of the agency.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: 003 fiscal years

Disposition: Destroy

Restrictions: None

Comments: Records may be maintained in hard copy or electronic format per Electronic Recordkeeping Plan.

Schedule Authority: General Schedule

KAR Number 53-2-090

Last Surveyed 13 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 07/11/2013 dgarwood: CCC moved to Office of State Bank Commission (094-001).

12/13/2013: revised title, description, retention period, and comments. Agency note: would like to maintain for a longer duration than general schedule dictates.

Work Papers - Exam (Series 0036-094)

Variety of documents and information obtained, created, or generated during the examination process conducted by examination staff.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 9-1712 & KSA 9-2217 & KSA 16a-6-106

Comments: Retain until subsequent examination, then destroy. Records may be maintained in electronic format per Electronic Recordkeeping Plan.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/13/2013: revised description, restrictions, and retention comments.

Retention/Disposition Schedule Entries

Supersede by other
agency-specific entries

094-001

Office of the State Bank Commissioner

Administrative Files (Series 0001-454)

Variety of documents relating to the administration of the agency.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: Portions may be restricted

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

Schedule Authority: Agency Schedule

KAR Number 53-2-090

Last Surveyed 11 July 2013

Record Copy: Unknown

Remarks: 07/11/2013 dgarwood: CCC moved to Office of State Bank Commission (094-001).

12/12/2013 mwiget: supersede to appropriate agency-specific and general retention and disposition schedule entries. Note from agency: Overly Broad so confusing as to what falls within this category.

Annual Trust Questionnaire (Series 0004-094)

Questionnaire completed by trust departments/companies listing the types and numbers of trust accounts and the market value of fiduciary assets used to establish fees paid to the Bank Commissioner.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 9-1712

Comments: Retain until no longer useful, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 17 July 1996

Record Copy: Unknown

Remarks: 12/12/2013: Supersede into 0003-094, Annual Reports.

Call Reports - Trust Companies (Series 0011-094)

Annual consolidated reports of condition and income of trust companies including the balance sheets and income statements.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Archives

Restrictions: KSA 9-1704

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 31 December 1996

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: 12/12/2013: supersede to 0003-094, Annual Reports of Regulated Entities.

Enforcement Actions (Series 0020-094)

Final agency orders issued against regulated entities in enforcement cases.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: Permanent

Disposition: Permanent

Restrictions: Portions per KSA 9-1712, KSA 45-221(a)(30), KSA 9-2217 and KSA 16a-6-106

Comments: Records may be maintained in electronic format.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 12 December 2013

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/12/2013: supersede into 0019-454, Legal Case Files and Supervisory Actions.

Agency note: Legal. Records maintained electronically in KSIMS and on network drive.

Line Sheets (Series 0026-094)

Work papers completed by bank reviewers listing each loan, the property state, and term name which is used to analyze the loan for any problems.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 9-1712

Comments: Retain until superseded or no longer useful, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-110

Last Surveyed 24 July 1996

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: 12/13/2013: supersede into Examination work papers, 0036-094.

Registrants Files (Series 0027-454)

Documents relating to the application and licensing of retail firms which extend credit to consumers to ensure compliance with statutes, regulations, and standards.

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 archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-090

Last Surveyed 22 April 1991

Record Copy: Unknown

Remarks: 07/11/2013 dgarwood: CCC moved to Office of State Bank Commission (094-001).

12/13/2013: supersede to 0021-454, Licensees' files.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Kansas Department of Agriculture – Division of Conservation
2. **Records Officer:** Steve Stankiewicz **Phone:** 296-5197
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** October 2013, January 2014
5. **a) Total records – No. of Series:** 8
b) New series – No. of Series: 1
c) Revised existing series – No. of Series: 3
d) Obsolete schedules – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 4
f) Series superseded by general schedule entries – No. of Series: 0
6. **Archival/Permanent records – No. of Series:** 2
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**

Discussions with Division of Conservation staff and legal counsel.
9. **Appraisal Narrative:**

This represents a continuation of the division's work to update and revise its retention and disposition schedule to reflect current recordkeeping practices and to allow for electronic recordkeeping of long-term electronic records. The Electronic Recordkeeping Plan for CSIMS, the division's cost share contract management system, was endorsed at the December 2013 Electronic Records Committee meeting.

Retention/Disposition Schedule Entries

New entry

046-013

Department of Agriculture Division of Conservation

Conservation District Documents (Series Unknown)

Documents provided by statutory requirement per K.S.A. 2-1907 to the Division of Conservation by conservation districts. May include annual reports, audits of financial records, budgets submitted to the county, and district meeting minutes.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: Permanent

Disposition: Permanent

Restrictions: None

Comments: Records may be maintained electronically and may be transferred to the State Archives upon request.

Schedule Authority: Agency schedule

Last Surveyed 14 January 2014

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/14/2014: new entry to cover all records received by Division of Conservation from conservation districts. Supersedes 0003-634, 0005-634, 0006-634, and 0034-634.

Retention/Disposition Schedule Entries

Revised entries

634-001

State Conservation Commission

Buffer Initiative Contracts (Series 0009-634)

Documents relating to a program which provides state cost-share assistance to landowners for planting and maintaining either grasses or trees.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 015 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Retain in office 15 calendar years, then destroy or delete.

Schedule Authority: Agency Schedule

KAR Number 53-2-121

Last Surveyed 08 October 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/09/2013: Merging 0010-634 for tree contracts into this series. Records are now maintained in CSIMS.

Conservation Districts Organizational Files (Series 0012-634)

Memorandum of agreement, election certificate of organization, general correspondence, newsletters, directories, and other records relating to the establishment and organization of a conservation district within each county.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: None

Comments: Retain until superseded or no longer useful, then transfer to the archives memoranda of agreement, election certificate of organization, policy-related correspondence, and directories. Destroy the remainder.

Schedule Authority: Agency Schedule

KAR Number 53-2-178

Last Surveyed 08 October 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/16/2013 and 01/08/2014: revised description and retention comments to specify what should be transferred to the State Archives. Directory information currently retained in CSIMS, which has an endorsed ERP; division may also export that information and other records to be retained in Docuware, which has an endorsed ERP.

Cost Share Contracts (Series 0065-634)

Contracts and supporting documentation submitted by landowners to the Division of Conservation requesting state cost-share assistance to build conservation structures. Types of

contracts include water resources, riparian and wetland, and non-point source contracts.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 010 fisc yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-121

Last Surveyed 03 January 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: contracts now maintained in CSIMS, which has an endorsed ERP.
Revised series title and description to be more inclusive of types of contracts.

Retention/Disposition Schedule Entries

Superseded by other
agency-specific schedule
entries

634-001

State Conservation Commission Administrative Operations

Subject Files - Assistant Director (Series 0057-634)

Variety of documents relating to the activities and operation of the agency.

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 archives for purging.

Schedule Authority: Agency Schedule

KAR Number 53-2-121

Last Surveyed 08 October 2013

Record Copy: Unknown

Remarks: 10/09/2013: Supersede to appropriate agency-specific and general retention schedule entries.

Buffer Initiative Program

Buffer Initiative Contracts -Trees (Series 0010-634)

Documents relating to a program which provides state cost-share assistance to landowners for planting and maintaining trees.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 015 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Retain in office 15 calendar years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-121

Last Surveyed 08 October 2013

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: 10/09/2013: Supersede into 0009-634, Buffer Initiative Contracts - Grasses; revised that entry to indicate it covers both kinds of contracts.

Watershed District Programs

Budget Files (Series 0006-634)

Correspondence, drafts, reports, notes, etc. relating to watershed districts preparing their budget and submitted to the Conservation Commission.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

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

Schedule Authority: Agency Schedule

KAR Number 53-2-121

Last Surveyed 14 January 2014

Record Copy: Unknown

Remarks: 01/14/2014: supersede into new entry for all conservation district documents.

Minutes - County Districts (Series 0034-634)

Proceedings of regular or special meetings of the county watershed districts.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 001 cldr yr

Disposition: Archives

Restrictions: None

Schedule Authority: General Schedule

KAR Number 53-2-121

Last Surveyed 14 January 2014

Record Copy: Unknown

Remarks: 01/14/2014: supersede into new entry covering all conservation district documents.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Kansas Department of Agriculture – Legal Section
2. **Records Officer:** Steve Stankiewicz **Phone:** 296-5197
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** January 2014
5. **a) Total records – No. of Series:** 9
b) New series – No. of Series: 5
c) Revised existing series – No. of Series: 1
d) Obsolete schedules – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 1
f) Series superseded by general schedule entries – No. of Series: 2
6. **Archival/Permanent records – No. of Series:** 3
7. **Records Eligible for Immediate Transfer to Archives – No. of Series:** 0
8. **Appraisal Based Upon:**
Discussions with legal counsel.
9. **Appraisal Narrative:**

In working on the overall efforts to overhaul the Kansas Department of Agriculture's records retention and disposition schedule, Rick Scheuffler began working on his own section's schedule entries. A single entry for "case files" was not deemed sufficient to cover the variety of enforcement actions with which the legal section may become involved on behalf of the agency. All long-term or permanent electronic records will be held by Docuware, which has an endorsed and approved Electronic Recordkeeping Plan.

Retention/Disposition Schedule Entries

New entries

046-001

**Department of Agriculture
Office of the Secretary
Legal Section**

Appeal Files (Series Unknown)

Orders, pleadings, research correspondence, reports, notes, and other supporting documentation relating to cases appealed to the Office of Administrative Hearings, District Court, an Appellate Court, or another reviewing body.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Permanent

Restrictions: Portions may be restricted pursuant to K.S.A. 45-221(a)(2), (11), (14), (18), (25), (30), and (49).

Comments: Paper documents shall be scanned then, upon quality assurance verification, destroyed and the digital image and other electronic file records retained permanently in DocuWare, which has an endorsed ERP. Ten years after file closure, electronic copies shall be offered to Archives for appraisal.

Schedule Authority: Agency schedule

Last Surveyed 13 January 2014

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/14/2014: new entry, will in part supersede 0295-046, Litigation Case Files, if approved.

Contracts, Leases, Memoranda of Understanding (Series Unknown)

Records of supporting documentation relating to formal legal agreements with other entities, including correspondence, research, notes, and drafts.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Destroy

Restrictions: Portions may be restricted pursuant to K.S.A. 45-221(a)(11), (13), (14), (20), (25), (27), (28), (30), (31), (32), (33), (49), and K.S.A. 60-432.

Comments: Paper documents shall be scanned then, upon quality assurance verification, destroyed and the digital image and other electronic file records retained for five years after expiration of agreement, then deleted. If supporting documentation is not present and the original agreement is maintained elsewhere, a copy of the original agreement need not be retained.

Schedule Authority: Agency schedule

Last Surveyed 13 January 2014

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/14/2014: new entry.

Enforcement Action Files (Series Unknown)

Orders, pleadings, research, correspondence, reports, notes, and other supporting documentation in actions prosecuted on behalf of KDA Programs for violation of statutes, regulations, and codes administered and enforced by the Secretary, authorized representatives, and Programs.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: See comments

Restrictions: Portions may be restricted pursuant to K.S.A. 45-221(a)(2), (10), (11), (14), (25), and (30), and K.S.A. 60-432.

Comments: Paper documents shall be scanned then, upon quality assurance verification, destroyed and the digital image and other electronic file records retained for ten years after file closure, deleted, with the exception of files involving water rights, which shall be retained permanently in DocuWare, which has an endorsed ERP.

Schedule Authority: Agency schedule

Last Surveyed 13 January 2014

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/14/2014: new entry, which will in part supersede 0295-046, Litigation Case Files, if approved.

Enforcement Action Files - Decline to Prosecute (Series Unknown)

Research, correspondence, reports, notes, and other supporting documentation in matters submitted to the Legal Section for prosecution but which fail to meet evidentiary or other applicable standards for prosecution.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Destroy

Restrictions: Portions may be restricted pursuant to K.S.A. 45-221(a)(2), (10), (11), (14), (25), and (30), and K.S.A. 60-432.

Comments: Paper documents shall be scanned then, upon quality assurance verification, destroyed and the digital image and other electronic file records retained for five years after file closure, then deleted.

Schedule Authority: Agency schedule

Last Surveyed 13 January 2014

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/14/2014: new entry, will in part supersede 0295-046, Litigation Case Files, if approved.

Multi-State Action Files (Series Unknown)

Orders, pleadings, research, correspondence, reports, notes, and other supporting documentation relating to cases involving another State.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Permanent

Restrictions: Portions may be restricted pursuant to K.S.A. 45-221(a)(2), (10), (11), (14), (18), (25), and (30), and K.S.A. 60-432.

Comments: Paper documents shall be scanned then, upon quality assurance verification, destroyed and the digital image and other electronic file records retained permanently in DocuWare, which has an endorsed ERP. Ten years after file closure, electronic copies shall be offered to Archives for appraisal.

Schedule Authority: Agency schedule

Last Surveyed 13 January 2014

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/14/2014: new entry, which will in part supersede 0295-046, Litigation Case Files, if approved.

Retention/Disposition Schedule Entries

Revised entry

046-001

Department of Agriculture

Office of the Secretary

Legal

Subject Files - Legal (Series 0297-046)

Records relating to activities of the Legal Section, including research results, review results, opinions, memoranda, and reports.

Entry Status: Ready for SRB

Recommended Status:Revise

Retention Period: See Comments

Disposition: See comments

Restrictions: Portions may be restricted pursuant to K.S.A. 45-221(a)(2), (4), (6), (9), (10), (11), (13), (14), (18), (20), (25), (27), (28), (30), (31), (32), (33), and (49), and K.S.A. 60-432.

Comments: Research results, memoranda, opinions, and like records shall be appraised for transfer to folders maintained for that purpose. Paper documents so retained shall be scanned then, upon quality assurance verification, destroyed and the digital image retained. Digital images and electronic records shall be retained for one year and appraised annually for continued retention or deletion.

Schedule Authority: Agency Schedule

KAR Number 53-2-147

Last Surveyed 13 January 2014

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/14/2014: revised description, restrictions, and comments; noted electronic record copy format.

Retention/Disposition Schedule Entries

Superseded to other
agency-specific schedule
entries

046-001

Department of Agriculture

Office of the Secretary

Legal

Litigation Case Files (Series 0295-046)

Correspondence, court documents, research materials, reports, press releases, etc. documenting litigation involving the agency.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: K.S.A. 45-221(a)(25)

Comments: Retain 2 years after case is closed, then transfer to the archives for purging.

Consolidates all Legal Case Files entries.

Schedule Authority: Agency Schedule

KAR Number 53-2-147

Last Surveyed 13 January 2014

Record Copy: Unknown

Remarks: 01/14/2014: supersede into new entries for Enforcement Action Files - Decline to Prosecute; Enforcement Action Files; Multi-State Action Files; and Appeal Files.

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
January 23, 2014**

1. **Agency:** Kansas Department of Agriculture – Division of Animal Health
2. **Records Officer:** Steve Stankiewicz **Phone:** 296-5197
3. **Appraising Archivist:** Marcella Wiget
4. **Date of Appraisal:** September 2013
5. **a) Total records – No. of Series:** 20
b) New series – No. of Series: 1
c) Revised existing series – No. of Series: 2
d) Obsolete schedules – No. of Series: 0
e) Series superseded by other schedule entries – No. of Series: 17
f) Series superseded by general schedule entries – No. of Series: 0
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 Animal Health staff and legal counsel.
9. **Appraisal Narrative:**

This represents Division of Animal Health's update to its retention and disposition schedule to reflect current recordkeeping practices. The vast majority of the division's recordkeeping now takes place in a single information management system, though livestock branding continues to be mostly a paper-based recordkeeping system. The Electronic Recordkeeping Plan for USA Herds, the system currently in use by Animal Health, was endorsed at the December 2013 Electronic Records Committee meeting.

Retention/Disposition Schedule Entries

046-014

**Department of Agriculture
Animal Health**

Animal Health Information Management System (Series Unknown)

Electronic system containing data and providing pdf and other attachments to manage information regarding account owners, premises, and animal traceability in Kansas. Includes information regarding licensing for veterinarians, feed lots, herds, disposal plants, and other related entities; inspections; vaccinations, quarantines, and disease tracking; complaints and investigations; livestock dealer registrations; and special programs.

Entry Status: Draft

Recommended Status: Approve As New

Retention Period: See comments

Disposition: Destroy

Restrictions: Portions restricted pursuant to KSA 45-221(a)(20) and (25), KSA 47-674(g), and KSA 47-1709(d) and (i).

Comments: Retain all data until inactive plus 5 years, except certificates of veterinary inspection, which shall be retained for 10 years, then destroy or delete. Records of inspections pursuant to the Pet Animal Act citing a deficiency or violation not resulting in an enforcement action shall be destroyed or deleted within 3 years after the division receives notice the deficiency or violation is remedied.

Schedule Authority: Agency schedule

Last Surveyed 04 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 12/18/2013: new entry. Agency has begun scanning records and is saving records in USA Herds, which has an endorsed ERP. Division may conduct some legacy scanning as possible; otherwise records from prior to FY2012 will remain in paper form. If approved, will supersede 0015-055, 0019-055, 0020-055, 0023-055, 033-055, 0055-055, 0056-055, 0058-055, 0039-055, 0040-055, 0041-055, 0042-055, 0044-055, 0045-055, 0046-055, 0047-055, and 0048-055.

Retention/Disposition Schedule Entries

Revised entries

055-004

Animal Health Department Brands

Livestock Brand Renewal Cards (Series 0051-055)

Brand-renewal requests from livestock owners.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 003 years

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 04 September 2013

Record Copy: Paper

Remarks: 01/08/2014: revise retention period from 4 to 3 years to be consistent with 0050-055, Livestock Brand Inspection Certificates.

Livestock Theft Report (Series 0053-055)

Copy of report from the county sheriff notifying the agency of cattle theft.

Entry Status: Ready for SRB

Recommended Status: Revise

Retention Period: 001 cldr year

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 04 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 01/08/2014: revised retention period.

Retention/Disposition Schedule Entries

055-001

Animal Health Department Administration

Hearing and Investigation Files - Working Files (Series 0055-055)

Drafts, notes, memorandum, etc. relating to preliminary research into an investigation or public hearing conducted by the agency regarding possible violations of the Kansas Pet Animal Act.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(20) &(25)

Comments: Retain until no longer useful, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-136

Last Surveyed 19 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

055-002

Animal Health Department Animal Facilities Inspection

Complaint Files (Series 0015-055)

Documents relating to complaints filed by consumers alleging possible violations of the Kansas Pet Animal Act.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 47-1709(d)

Comments: Retain in office 3 years after deficiency is corrected, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 December 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Health Certificates - Small and Exotic Animals (Series 0019-055)

Certificate verifying inspection allowing the owner of an animal to enter or leave the state with it to ensure that the animal is free from obvious signs of infection as required by KSA 47-607.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 010 fisc yrs

Disposition: Destroy

Restrictions: None

Comments: Retain in office 3 fiscal years, transfer to the records center for 7 fiscal years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Hearing and Investigation Files (Series 0020-055)

Documents relating to investigations and public hearings conducted by the agency regarding allegations of violations of the Kansas Pet Animal Act.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Archives

Restrictions: None

Comments: Retain in office 10 years, transfer to the records center for 10 years, then transfer to the archives.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Unknown

Remarks: 01/08/2014: supersede to new entry for information management system.

Pet Animal Licensing File (Series 0023-055)

Application and supporting documentation relating to individuals applying to sell or distribute companion animals, operate a kennel, pet shop, research facility or shelter as required by KSA 47-1733.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 47-1709(i)

Comments: Retain in office until inactive plus 5 years, then destroy. KSA 47-1709(i) requires deficient kennels and catteries inspection forms to be retained 3 years after problem is corrected, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

055-003

Animal Health Department Disease Control

Health Certificate - Large Animal (Series 0033-055)

Certificate verifying inspection allowing an owner of a large animal to enter or leave the state to ensure that the animal is free from obvious signs of infection as required by KSA 47-607.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 010 fisc yrs

Disposition: Destroy

Restrictions: None

Comments: Retain in office 3 fiscal years, transfer to the records center for 7 fiscal years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Herd Owner Test Files (Series 0056-055)

Brucellosis test reports, vaccination records, permit to move for slaughter, etc. maintained by the agency on livestock suspected of disease after notification by the livestock market.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: 015 cldr yrs

Disposition: Destroy

Restrictions: None

Schedule Authority: Agency Schedule

KAR Number 53-2-136

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Sheep/Goat Premise Identification Form (Series 0058-055)

Forms submitted by the owner of a flock of sheep and/or goats requesting tags for each animal.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Maintain for the life of the flock, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-136

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

055-006

Animal Health Department

Licensing

Cattle Feedlot/Confinement Facility Licensing File (Series 0039-055)

Applications and supporting documentation relating to facilities designed to house cattle before slaughter as required by KSA 47-1503 to ensure the health and safety of the animals.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 5 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Cattle Herd Licensing Files (Series 0040-055)

Health certificate, livestock market chart, quarantine form, etc. relating to cattle owned by an individual to ensure that the livestock are healthy and do not pose a threat to other animals.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 10 years, transfer to the records center for 10 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Disposal Plant Licensing File (Series 0041-055)

Application and supporting documentation relating to facilities selling denatured packing house refuse as required by KSA 47-1203 to ensure the health and safety of the public.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 5 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Domesticated Deer Permit File (Series 0042-055)

Application and supporting documentation relating to individuals wanting to sell or raise domesticated deer or elk as required by KSA 47-2101 to ensure the health and welfare of the animals.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 10 years, transfer to the records center for 10 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Livestock Dealer Registration File (Series 0044-055)

Application and supporting documentation relating to individuals applying to buy or sell livestock in commerce as required by KSA 47-1804 to ensure the health and welfare of the animals.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 10 years, transfer to the records center for 10 fiscal years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Occasional Livestock Sale Licensing File (Series 0045-055)

Application and supporting documentation relating to operators applying to sell livestock at

auctions or breeder sales as required by KSA 47-1001d to ensure the health of the animal and the public.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 10 years, transfer to the records center for 10 fiscal years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Public Livestock Market Licensing File (Series 0046-055)

Applications and supporting documentation relating to operators applying to conduct public livestock sales as required by KSA 47-1001a to ensure the health and welfare of the animals.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 10 years, transfer to the records center for 10 fiscal years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Swine Feedlot/Confinement Licensing File (Series 0047-055)

Applications and supporting documentation relating to facilities designed to house swine before slaughter as required by KSA 47-1503 to ensure the health and safety of the animals.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 10 years, transfer to the records center for 10 fiscal years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Swine Herd Licensing Files (Series 0048-055)

Health certificate, livestock market chart, quarantine forms. etc. relating to swine owned by an individual to ensure that the livestock are healthy and do not pose a threat to other animals.

Entry Status: Ready for SRB

Recommended Status:Supersede (Other)

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain in office until inactive plus 10 years, transfer to the records center for 10 years, then destroy.

Schedule Authority: Agency Schedule

KAR Number 53-2-119

Last Surveyed 18 September 2013

Record Copy: Paper, Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 01/08/2014: supersede to new entry for information management system.

Housekeeping Changes Since 24 October 2013
17 January 2014

Housekeeping Edit

143-001

Kansas Corporation Commission
Executive Director

Inventory Records - Non-Expendable Property (Series 0280-143)

Description: Records related to capital equipment inventory management: DA forms 80 thru 83, computer reports from the Department of Administration, internal documents, correspondence, etc.

Change: Revised sub-agency information.-- mwiget, 16 January 2014

143-003

Kansas Corporation Commission
Fiscal Department

Conservation Division - Receipts (Series 0338-143)

Description: Receipt forms documenting cash payments for abandoned well plugging fees.

Change: Amended description and sub-agency information for clarification.-- mwiget, 14 January 2014

Ledgers - General (Series 0281-143)

Description: Records of agency-wide expenditures and receipts.

Change: Revised sub-agency information and spelled out "fiscal" in retention period.-- mwiget, 15 January 2014

143-050

State Corporation Commission
Conservation Division

Correspondence - Routine (Series 0258-143)

Description: Correspondence, incoming and outgoing, related to routine division administrative matters.

Change: Revised sub-agency information.-- mwiget, 12 January 2014

Correspondence - Routine (Series 0258-143)

Description: Correspondence, incoming and outgoing, related to routine division administrative matters.

Change: Spelled out "calendar" in retention period-- mwiget, 12 January 2014

Daily Checking Receipt Record (Series 0259-143)

Description: Log of all checks received by agency.

Change: Revised sub-agency information and spelled out "fiscal" in retention period.-- mwiget, 12 January 2014

Old Well Work-Over Log (Series 0309-143)

Description: Register of previously abandoned or plugged wells that are being re-worked.

Change: Revised sub-agency information.-- mwiget, 14 January 2014

Administrative Services Section

General Data Processing Files (Series 0353-143)

Description: Reference files containing wide variety of materials regarding computers and data processing.

Change: Revised title to clarify.-- mwiget, 12 January 2014

Oil and Gas Advisory Committee Records (Series 0297-143)

Description: Records related to the activities of the Oil and Gas Advisory Committee: minutes, notes, correspondence, reports, etc.

Change: Spelled out "calendar" in retention period-- mwiget, 12 January 2014

Statistical Lists - Quarterly and Monthly (Series 0350-143)

Description: Record of general statistics related to oil and gas industry in Kansas.

Change: Spelled out "calendar" in retention period-- mwiget, 12 January 2014

Technical Services Section

Environment Unit

Receipts Ledgers (Series 0339-143)

Description: Records of receipts of fees for plugging of abandoned wells.

Change: Spelled out "fiscal" in retention period.-- mwiget, 14 January 2014

Production Unit

Pro-Rated Gas Field Records (Series 0333-143)

Description: Documents related to gas fields producing on a pro-rated basis. Includes various test results, G-2 forms, history of production, and other supporting materials.

Change: Clarified description to include G-2 forms.-- mwiget, 14 January 2014

178-001

Office of Administrative Hearings

Administrative Hearing Tapes (Series 1041-173)

Description: Cassette tape recordings of the proceedings of administrative hearings.

Change: Database updated to reflect OAH is now independent agency-- mwiget, 03 December 2013

Monthly and Annual Statistical Reports (Series 1030-173)

Description: Monthly and annual statistics compiled regarding appeals received and the disposition of each case.

Change: Database updated to reflect OAH is now independent agency-- mwiget, 03 December 2013

694-001

Kansas Commission on Veterans Affairs

Central Office

Kansas Soldiers' Home and Kansas Veterans' Home Subject Files (Series 0016-694)

Description: Correspondence, reports, publications, financial records, histories, minutes, license applications, and miscellaneous reference materials.

Change: Revised series title to include both homes.-- mwiget, 17 December 2013

694-002

Kansas Commission on Veterans Affairs

Kansas Soldiers' Home and Kansas Veterans' Home

Energy Consumption Records for the Kansas Soldiers' Home (Series 0069-694)

Description: Records of natural gas and electrical power consumption at Home power plant.

Change: Revised series title to indicate only Soldiers' Home.-- mwiget, 17 December 2013

Gasoline Consumption Reports (Series 0075-694)

Description: Record of gasoline consumption by each official vehicle at the Kansas Soldiers' Home and the Kansas Veterans' Home.

Change: Revised series description to include both homes.-- mwiget, 17 December 2013

Letters of Inquiry (Series 0088-694)

Description: Correspondence from the general public requesting information regarding the Kansas Soldiers' Home and Kansas Veterans' Home, their operations, members, and other related subjects.

Change: Revised series description to include both homes.-- mwiget, 17 December 2013

Public Water System Reports for the Kansas Soldiers' Home (Series 0100-694)

Description: Certificates of water supply purity based upon sampling and tests by the Department of Health and Environment.

Change: Revised series title to indicate only Soldiers' Home.-- mwiget, 17 December 2013

Water Consumption Records for the Kansas Soldiers' Home (Series 0116-694)

Description: Records of weekly water usage from wells at the Kansas Soldiers' Home.

Change: Revised series title & description to indicate only Soldiers' Home.-- mwiget, 17 December 2013

Obsolete

094-001

Office of the State Bank Commissioner

Bank Moratorium of March 3, 1933 (Series 0006-094)

Description: Letters and telegrams relating to the bank moratorium reasserting control of banks in Kansas.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 December 2013

Billing Book (Series 0004-454)

Description: Log containing information about billing of finance companies for investigations.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 December 2013

Call Reports - Banks (Series 0010-094)

Description: Consolidated reports of condition and income of banks including the balance sheets and income statements.

Change: OSBC no longer receives data directly but imports from FDIC.-- mwiget, 09 January 2014

Cancelled Certificates of Registrants (Series 0007-454)

Description: Copies of certificates printed by DISC of registrants who did not renew which are also found in the registrant files.

Change: Agency staff confirm this series is obsolete.-- mwiget, 12 December 2013

Correspondence - Closed Banks (Series 0016-094)

Description: Letters and memoranda regarding outside inquiries on closed banks.

Change: Agency staff confirm this series is obsolete.-- mwiget, 12 December 2013

Deposit Ledger Sheets (Series 0014-454)

Description: Ledger sheets listing deposits made by the agency.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 December 2013

Home Office Files (Series 0016-454)

Description: Documents relating to dealings with the home office of licensees and registrants when they are out of state and have branch locations in the state.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 December 2013

Indexes to Registrants (Series 0017-454)

Description: Indexes used to locate registrants in agency records.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 December 2013

Investment Certificate Companies Files (Series 0018-454)

Description: Documents relating to the application and licensing of finance companies which are given special authorization to issue investment certificates that are similar to certificates of deposits.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 December

2013

Licensees Renewals and Cancellations Logs (Series 0022-454)

Description: Logs used to keep track of licensees as to when renewals are due or when cancellations occur.

Change: Agency staff indicate this series is no longer created.-- mwiget, 13 December 2013

Minutes - Staff Meeting (Series 0028-094)

Description: Minutes of daily staff meetings summarizing bank correspondence, examination problems, etc.

Change: Agency staff indicate this series is no longer created and that historical minutes will immediately be archived electronically.-- mwiget, 13 December 2013

Motor Pool Logs (Series 0023-454)

Description: Logs used to adjust financial account balances for motor pool usage.

Change: Agency staff indicate this series is no longer created.-- mwiget, 13 December 2013

Non-licensees Files (Series 0024-454)

Description: Documents used to keep track of new registrants as to when renewals are due or any cancellations.

Change: Agency staff confirm this series is obsolete.-- mwiget, 13 December 2013

Thrift Financial Report - Savings and Loans (Series 0033-094)

Description: Quarterly consolidated reports of condition and income of savings and loans including the balance sheets and income statements.

Change: Agency staff indicate this series is no longer created.-- mwiget, 13 December 2013

Violations Log (Series 0031-454)

Description: Log listing the financial errors found by agency examiners in investigating registrants and licensees to ensure that refunds are made.

Change: Agency staff indicate this series is no longer created.-- mwiget, 13 December 2013

Weekly Highlights Newsletter (Series 0035-094)

Description: Weekly newsletters updating staff on examination concerns, personnel issues, etc.

Change: Agency staff indicate this series is no longer created.-- mwiget, 13 December 2013

Criminal History Records Section

Criminal Referrals (Series 0019-094)

Description: Copies of Federal Deposit Insurance Corporation (FDIC) reports filed by regulated entities describing crimes or suspicious activities.

Change: Agency staff confirm this series is obsolete.-- mwiget, 12 December 2013

143-050

State Corporation Commission

Conservation Division

Compliance Unit

Police Reports (Series 0331-143)

Description: Correspondence regarding past compliance issues (follow-up letters to operators who have been warned or penalized).

Change: Agency staff indicate this series is no longer created.-- mwiget, 10 January 2014

Spud Date Listing (Series 0348-143)

Description: Computer report of dates individual oil or gas wells were initiated (spud date). Includes date, operators name, license number, well name, location, and API number.

Change: Agency staff indicate this series is no longer created.-- mwiget, 10 January 2014

Violation Reports (Series 0370-143)

Description: Computer printout of oil and gas well operators currently in violation of requirement to file Affidavits of Completion with Commission.

Change: Agency staff indicate this series is no longer created.-- mwiget, 10 January 2014

Administrative Services Section

Hearing Docket Lists (Series 0277-143)

Description: Monthly typed lists of oil and gas issues slated for commission hearings.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 January 2014

Oil and Gas Assessment Record Books (Series 0298-143)

Description: Record of oil and gas production and tax assessments thereof for each well operator. Used to enforce tax collections.

Change: Agency staff indicate this job function has been transferred to Dept. of Revenue.-- mwiget, 12 January 2014

Pressure Check Cards (Series 0332-143)

Description: Records of pressure monitoring measurements at oil wells using underground injecting methods - formerly received from Department of Health and Environment.

Change: Agency staff confirm this series is obsolete.-- mwiget, 12 January 2014

Standby Pay Records (Series 0349-143)

Description: Records related to payment of "standby" pay to field employees.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 January 2014

Subscription Cards (Series 0358-143)

Description: Record of all subscribers to division publications.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 January 2014

Underground Injection Control Computer Reports - Miscellaneous (Series 0366-143)

Description: Computer printouts inherited from Department of Health and Environment when responsibility for UIC dropped from that agency.

Change: Agency staff confirm this series is obsolete.-- mwiget, 12 January 2014

Waiver of Mechanical Integrity Test Requirement (Series 0373-143)

Description: Records of special inquiries held at the request of the state legislature in regard to Environmental Protection Agency requirements for Mechanical Integrity Testing.

Change: Agency staff indicate waivers of this nature are no longer permitted.-- mwiget, 12 January 2014

Water Quality Protection Committees Reports Files (Series 0374-143)

Description: Copies of correspondence, minutes, reports, maps, and other such materials regarding various technical committees related to water quality protection.

Change: Agency staff indicate this series is no longer created.-- mwiget, 12 January 2014

Library

Oil and Gas Field Nomenclature System (Series 0300-143)

Description: Computer data base used to cross-reference geological formations of oil and gas fields: field name, operator name, lease name, location, date of first well in field, geological formation, county.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Plugging License Records (Series 0325-143)

Description: Copies of oil and gas well operators' licenses to plug wells in Kansas.

Change: Agency staff confirm this series is obsolete.-- mwiget, 14 January 2014

Production Reports - Annual and Monthly (Series 0336-143)

Description: Published reports from Petroleum Information detailing production of oil and gas by field.

Change: Agency staff indicate this information now handled by the KS Geological Survey.-- mwiget, 14 January 2014

Technical Services Section

Environment Unit

Enhanced Recovery Log (Series 0264-143)

Description: Card file log used to chart flow and progress of applications by operators to utilize underground injection oil production techniques.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Notice of Intention to Drill Log (Series 0296-143)

Description: Log of filings by individuals and companies of notices that they intend to drill for oil or gas: date, location, well code, operator name, lease owner, and well number.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Plugging Procedure Cards (Series 0326-143)

Description: Notices of procedures to be used in plugging abandoned oil and gas wells.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Plugging Record Cards (Series 0327-143)

Description: 4x6 cards used as a cross-reference to monitor payments of fees by

operators for oil and gas well pluggings - an accounts receivable record.
Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Repressuring Cards (Series 0342-143)

Description: 5x7 card file used for quick reference and index to Repressured Well Records (q.v.): operator name, address, docket #, lease name, well #, location, geologic formation, and status.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Salt Water Disposal Cards (Series 0344-143)

Description: 5x7 card files used for quick reference and indexing to "Salt Water Disposal Records (q.v.): operator name, address, docket #, lease name, well #, location, geologic formation, and status.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Production Unit

Cancelled Underage Listing (Series 0248-143)

Description: Computer report of all production underage cancellations for the Hugoton gas field.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Correspondence - NGPA FERC (Series 0256-143)

Description: Printed notices of policies and procedures, reports, and other general communications issued from the Federal Energy Regulatory Commission to all state energy agencies.

Change: Agency staff indicate law processes have changed, rendering this obsolete.-- mwiget, 14 January 2014

Docket Numbers Pertaining to Prospective Pro-Rations (Series 0260-143)

Description: Computer report index of all applications for pro-rational operations of oil or gas wells.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Dual Completion Records (Series 0261-143)

Description: Records of oil production from wells with two or more geological zones

(reservoirs) containing and producing oil: applications, orders, site descriptions, maps, logs, etc.

Change: Agency staff indicate this task has been transferred to KS Dept. of Revenue-- mwiget, 14 January 2014

Exception Location Orders System (Series 0266-143)

Description: Computer database used to cross reference oil and gas wells that have been granted exceptions to current rules and regulations on spacing of their wells.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Gas Field Spacing Orders Database (Series 0268-143)

Description: Computer database used to index orders related to special gas well spacing.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Gas Field Spacing Orders Listing (Series 0269-143)

Description: Computer report index of all orders related to special gas well spacing matters.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Gas Production Cards (Series 0271-143)

Description: Card file listing monthly gas production by individual wells.

Change: Agency staff confirm this series is obsolete.-- mwiget, 14 January 2014

Hearing Docket Case Files - NGPA (Series 0275-143)

Description: Copies of records related to KCC hearings regarding N.G.P.A. issues mostly hearing schedules, minutes, orders, and some supporting materials

Change: Agency staff indicate law has changed, rendering this obsolete.-- mwiget, 14 January 2014

Minutes - Co-Mingling and Dual Completion Wells (Series 0286-143)

Description: Copies of minutes of Commission hearings or records of administrative actions regarding co-mingling and dual completion oil wells.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

NGPA Application Files (Series 0289-143)

Description: Applications filed by well operator for permission to sell natural gas as

required by Federal laws and regulations, plus miscellaneous supporting documents: exhibits, well logs, etc.

Change: Agency staff indicate law has changed, rendering this obsolete.-- mwiget, 14 January 2014

NGPA Docket Books (Series 0290-143)

Description: Ledger of all applications or other activities regarding the National Gas Policy Act which involve the Corporation Commission; includes information on case history and current status.

Change: Agency staff indicate law has changed, rendering this obsolete.-- mwiget, 14 January 2014

NGPA Notices - FERC (Series 0291-143)

Description: Reports issued by Federal Energy Regulatory Commission assigning numbers and jurisdiction for state energy agencies operating under Natural Gas Pricing Act.

Change: Agency staff indicate law has changed, rendering this obsolete.-- mwiget, 14 January 2014

NGPA Phone Conversation Notes (Series 0292-143)

Description: Notes and transcripts of phone conversations regarding National Gas Policy Act matters.

Change: Agency staff indicate law has changed, rendering this obsolete.-- mwiget, 14 January 2014

New Pools Database (Series 0288-143)

Description: Computer database used to index "New Pool Records" (q.v.).

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Oil and Gas Purchasers Monthly Reports (Series 0303-143)

Description: Report from initial purchasers of gas and oil of amounts purchase--used to calculate production figures.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Production and Allowable Calculations Systems, Gas and Oil (Series 0335-143)

Description: Computer databases used to calculate monthly amounts of gas and oil production allowed by commission order for each operating well in Kansas.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

Subject Files - Pro-Rationed Oil and Gas (Series 0356-143)

Description: Wide range of documents regarding pro-rationed production of oil and gas in the state: correspondence, reports, publications, notes, etc.

Change: Agency staff indicate this series is no longer created.-- mwiget, 14 January 2014

178-001

Office of Administrative Hearings

Employee Training Course Materials (Series 1021-173)

Description: Manuals and other materials used to explain work procedures to staff.

Change: Agency confirms series is obsolete-- mwiget, 10 December 2013

Training Files - Computer Operation (Series 1026-173)

Description: Manuals, memos, typed instructions, etc. relating to training materials designed to instruct staff on computer operations.

Change: Agency confirms series is obsolete-- mwiget, 03 December 2013

694-001

Kansas Commission on Veterans Affairs

Central Office

Accounting Transaction Reports (Series 0001-694)

Description: KGMT-2003--formerly used to report financial transactions to Department of Human Resources, but discontinued upon re-establishment of commission as independent agency in 1986.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Accounts Receivable Reports (Series 0002-694)

Description: DA-32--reports supplied to Department of Administration summarizing funds due to commission from federal government in re-imbusement for participation in veterans programs.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Correspondence - Routine (Series 0007-694)

Description: Form letters sent to survivors of deceased veterans offering sympathy and informing them of benefits for which they may be eligible.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Daily Absence Report (Series 0008-694)

Description: Used to record absences of employees for updating of Employee Time and Leave Reports.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Federal Reimbursement Contracts and Vouchers (Series 0013-694)

Description: Documents regarding financial reimbursement by the Veterans Administration for the commission's participation in and administration of various federal veterans programs.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Monthly Financial Statement (Series 0020-694)

Description: Internal report detailing financial actions and used for agency fiscal management.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Monthly Listing of Active Educational Institutions (Series 0021-694)

Description: Lists all educational institutions actively participating in veterans education programs.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Monthly Report of Personnel Leave (Series 0022-694)

Description: Completed by employees to record hours worked for a calendar month; used internally to track employees' time and to justify various federal requests for work performance information.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Monthly Reports of Approved Educational Institutions (Series 0023-694)

Description: Reports summarizing participation and standing of schools participating in federal veterans education programs. Consolidated quarterly into the Quarterly Report of Approved Educational Institutions.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Property Inventory Records (Series 0027-694)

Description: Includes all documents related to maintenance of inventory: DAM013, KGMT 2326, DA-80, etc.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Veterans Case Card Files (Series 0033-694)

Description: 5 x 7 card containing vital information regarding veterans compiled from the veteran case file: name, address, life dates, service dates, service or social security number, and branch of service.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

694-002

Kansas Commission on Veterans Affairs

Kansas Soldiers' Home and Kansas Veterans' Home

Admissions and Discharges of Members - Mother Bick. Annex (Series 0042-694)

Description: Log of members admitted to the Mother Bickerdycke Annex and biographical information regarding them--obsolete record series.

Change: Agency staff confirm this series is obsolete.-- mwiget, 17 December 2013

Admissions and Military History of Members (Series 0043-694)

Description: Log of members admitted to the Home and biographical information regarding them--Obsolete record series.

Change: Agency staff confirm this series is obsolete.-- mwiget, 17 December 2013

Affirmative Action Quarterly Reports (Series 0044-694)

Description: Summaries of all employment actions as categorized by Federal Affirmative Action criteria--submitted to Department of Administration Equal Employment Opportunity Office.

Change: Agency staff indicate they receive this data now from Dept. of Administration through SHARP.-- mwiget, 17 December 2013

Annual Leave and Sick Leave Reports (Series 0047-694)

Description: Annual summary of leave usage by employees--obsolete record--during the 9/87 survey, one folder of these records for 1966-69 was present.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Batch Transmittal Forms (Series 0051-694)

Description: Copies of DA-199 forms used to transmit vouchers to Department of Administration in quantity; also includes B-7 forms listing vouchers transmitted.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Cash Disbursement Register (Series 0054-694)

Description: Manually completed record of cash disbursements to individuals and companies for goods and services.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Death Book (Series 0059-694)

Description: Register of deaths of members and patients including biographical information, cause and date of death, place and date of burial, name of attending physician, and remarks.

Change: Agency staff indicate this series is no longer created: discharge information, including due to death, is kept in individual's medical record.-- mwiget, 17 December 2013

Disbursement Reconciliation Sheets (Series 0061-694)

Description: Manual ledger sheets used to reconcile expenditures from various fund accounts each month.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Dormitory Annuals (Series 0062-694)

Description: Handcrafted memorial annuals created dormitory residents including photographs, essays, and other memorabilia.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Employee Card Files (See Employee Personnel Files) (Series 0064-694)

Description: Cards associated with the employment of specific personnel.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Expendable Items Supply Request - Internal (Series 0070-694)

Description: Obsolete accounting record series.

Change: Agency staff confirm this series is obsolete.-- mwiget, 17 December 2013

Family Sick Leave Reports (Series 0072-694)

Description: Copies of quarterly reports submitted to the Department of Administration summarizing statistics on family sick leave usage by employees.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Food Delivery Ledgers (Series 0073-694)

Description: Record of accounts payable for milk and bread deliveries.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Funding Charges for Adjustment Report (Series 0074-694)

Description: KIPPS computerized report used to manage agency payroll.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Housing Reports (Series 0078-694)

Description: Record of residents in housing units at the Home and monthly summary of numbers of residents by type, e.g.. members, employees, etc.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Inventory Books (Series 0079-694)

Description: Mobile duplicate copy of Property Cards.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

KIPPS Trial Run Reports (Series 0081-694)

Description: Computer reports used to educate agency regarding KIPPS during implementation of that system--obsolete record series.

Change: Agency staff confirm this series is obsolete.-- mwiget, 17 December 2013

Leave Balance Listings (Series 0082-694)

Description: KIPPS computer reports detailing all leave accrued and used by employees.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Leave Record Cards (Series 0083-694)

Description: Card files kept for each employee to record leave accrued and used.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December

2013

Lock-Up Inventory and Check Out Records (Series 0089-694)

Description: Register of equipment check-outs by Home employees from stores office.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Minutes (Series 0092-694)

Description: Proceedings of periodic meetings by members of the Kansas Veterans Commission. Duplicative of original minutes maintained at Commission central office and of photocopies in archives holdings.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Monthly Personnel Transaction Reports (Series 0094-694)

Description: Copies of monthly summary of personnel actions submitted to Veterans Commission Central Office.

Change: Agency staff indicate this series does not exist.-- mwiget, 17 December 2013

Mortality Cause Statistics (Series 0095-694)

Description: Brief synopsis of causes of death for members and patients who expire at Home hospital--required by Department of Health and Environment--KAR 23-34-83 (c).

Change: Agency staff indicate this series is no longer created: written when KSH was a convalescent hospital, which it no longer is.-- mwiget, 17 December 2013

Payroll Statistics Log (Series 0097-694)

Description: Handwritten ledgers recording in detail payroll figures on all employees--includes: name, position, dates of employment, amounts paid and deducted from pay. During 9/87 survey records were present

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Property Cards (Series 0098-694)

Description: Consists of one 4x5 card for every piece of real and capital property on inventory with notes on its value and location.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Property Disposition Records - Non-Expendable (Series 0099-694)

Description: Copies of DA forms 110 and supporting documents used to remove capital equipment from the agency inventory.
Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Purchasing Requests - Internal (Series 0101-694)

Description: Receipts, contracts, correspondence, and other documents related to purchasing operations--obsolete record series.

Change: Agency staff confirm this series is obsolete.-- mwiget, 17 December 2013

Sewer System Construction Records (Series 0104-694)

Description: Bids, contracts, plans, and other documents related to construction of sewage system.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Subject Files (Series 0107-694)

Description: Correspondence, reports, publications, and other documents related to a wide variety of subjects associated with the Home.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Supply Requests - Internal (Series 0071-694)

Description: Card files used to maintain running tally of expendable goods for purpose of reordering.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Transfer Patient Files (Series 0108-694)

Description: Used to document all aspects of the lives of patients transferred to the Home from state hospitals. Includes applications for admission, correspondence, various legal documents, and other related records

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Vendor Cards (Series 0110-694)

Description: Card file records of purchases filed by name of vendor and used for quick reference for figuring repetitious costs for goods and services.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

694-003
Kansas Commission on Veterans Affairs
Regional Office/Service Organizations

Case Card File - Veterans (Series 0119-694)

Description: 5x7 cards containing vital information regarding veterans and/or their dependents compiled from Veterans Case Files.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Claims Register (Series 0120-694)

Description: Log of veterans entitlement claims initiated through this agency.

Change: Agency staff confirm this series is obsolete.-- mwiget, 17 December 2013

Correspondence - Department of Human Resources Policies and Procedures (Series 0121-694)

Description: Copies of letters and memoranda from the Department of Human Resources concerning various routine administrative matters.

Change: Agency staff confirm this series is obsolete.-- mwiget, 17 December 2013

Correspondence - Policy Related (Series 0122-694)

Description: Correspondence and memoranda received from agency central office concerning full range of office activities.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Employee Personnel Files - Card Files (Series 0125-694)

Description: Record of employees' service: positions held, dates of service, salaries, and reason for termination. Compiled from Personnel Records.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Notice of Disagreement Lists (Series 0131-694)

Description: Lists of claimants denied entitlements who have initiated appeals to the VA through this agency.

Change: Agency staff confirm this series is obsolete: electronic records now directly filed with the federal VA.-- mwiget, 17 December 2013

Personnel Leave - Monthly Report of (Series 0132-694)

Description: Also known as "Personnel Distribution Report" or "Record of Annual & Sick Leave." Completed by employees to record hours worked, and used to justify

various federal requests for information.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Service Organization Records (Series 0135-694)

Description: Miscellaneous subject files (correspondence, reports, etc.) related to these offices' activities in their roles as an affiliates of veterans' services organizations.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Typewriter and Business Machine Records (Series 0137-694)

Description: Correspondence, warranties, user manuals, and other documents related to typewriters and other office business machines.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

694-004

Kansas Commission on Veterans Affairs

Field Service Offices

Case Card File - Veterans (Series 0141-694)

Description: 5x7 cards containing vital information regarding veterans and/or their dependents compiled from Veterans Case Files.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Correspondence - Routine (Series 0143-694)

Description: Communications to and from other state or federal agencies, and individuals on a wide variety of topics related to office activities.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Education - On the Job Training and Apprenticeship Files (Series 0144-694)

Description: Documents related to the monitoring of businesses, schools, and other institutions or organizations participating in Veterans Administration educational programs.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Personnel Leave - Monthly Report (Series 0155-694)

Description: Also known as "Personnel Distribution Report" or "Record of Annual &

Sick Leave." Completed by employees to record hours worked, and used to justify various federal requests for information.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Subject Files - Miscellaneous (Series 0156-694)

Description: Records related to full range of office activities: correspondence, minutes, reports, legal documents, budgets, notes, publications, and other miscellaneous materials.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Typewriter and Business Machine Records (Series 0158-694)

Description: Correspondence, warranties, user manuals, and other documents related to typewriters and other office business machines.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Veterans Pension Files (Series 0160-694)

Description: Copies of KVC forms 33 used to document the income of veterans or veterans' survivors who are receiving veterans pensions.

Change: Agency staff indicate this series is no longer created.-- mwiget, 17 December 2013

Superseded series

046-001

Department of Agriculture

Office of the Secretary

Legal

Legal Reference Files (Series 0293-046)

Description: Variety of reference materials maintained to assist in the legal preparation of specific cases.

Change: Superseded to 0113-000, Technical Reference Files.-- mwiget, 15 January 2014

Rules and Regulations Files (Series 0296-046)

Description: Documents relating to proposed agency revised rules and regulations including: sign-in sheets, hearing notices, public comments, certificate of adoption, etc. adopted by the Kansas Department of Agriculture.

Change: Superseded by 0228-000 on general schedule.-- mwiget, 15 January 2014

094-001

Office of the State Bank Commissioner

Correspondence - Reader Files (Series 0012-454)

Description: Copies of correspondence maintained in chronological order to provide easy access.

Change: Supersede to 0027-000 and 0028-000 depending upon the nature of the correspondence.-- mwiget, 12 December 2013

Personnel Information Files (Series 0030-094)

Description: Notebook relating to internal and state-wide personnel related policies and intended for new employee orientation.

Change: Agency staff indicate this series is no longer created.-- mwiget, 13 December 2013

143-050

State Corporation Commission

Conservation Division

Administrative Services Section

Computer Systems Documentation Book (Series 0254-143)

Description: Documentation for division computer programs. Includes program formats and sample reports.

Change: Superseded to 0051-000, Hardware and Software Documentation.-- mwiget, 16 January 2014

Legislative Relations Files (Series 0282-143)

Description: Copies of bills and statutes, drafts of legislation, notes, correspondence, testimony, and other miscellaneous documents related to various legislative activities.

Change: Superseded to 0069-000 on general schedule.-- mwiget, 16 January 2014

Receipt Ledgers and Vouchers (Series 0337-143)

Description: Handwritten records of receipts and copies of DA forms 3 (Receipt Vouchers).

Change: Superseded by 0126-000, Vouchers - Receipts-- mwiget, 16 January 2014

Library

Correspondence - Reference (Series 0257-143)

Description: Letters of inquiry regarding division records and answers thereof.

Change: Superseded by 0098-000, Requests for Access to Records-- mwiget, 16 January 2014

178-001

Office of Administrative Hearings

Budget Preparation Files - Annual (Series 1025-173)

Description: Documents used in the preparation of annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.

Change: Superseded by 0016-000 on general schedule.-- mwiget, 03 December 2013

Employee Personnel Files (Series 1029-173)

Description: Documents associated with employment of specific personnel: employee evaluation forms, applications for employment, INS Residence Status forms, and other personnel materials.

Change: Superseded by 0036-000 on general schedule.-- mwiget, 03 December 2013

Inventory Records - Non-Expendable Property (Series 1033-173)

Description: Records related to capital equipment inventory management: DA forms 80 thru 83, computer reports from the Department of Administration, internal documents, correspondence, etc.

Change: Superseded by 0061-000 on general schedule.-- mwiget, 03 December 2013

Leave Requests (Series 1034-173)

Description: Internal forms used to request and authorize the taking of leave by employees.

Change: Superseded by 0067-000 on general schedule.-- mwiget, 03 December 2013

Minutes (Series 1035-173)

Description: Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.

Change: Superseded by 0075-000 on general schedule.-- mwiget, 03 December 2013

Policy Statements (Series 1036-173)

Description: Original copies of formal explanations of agency policies and procedures issued in collective manual or individual statement formats.

Change: Superseded by 0048-000 on general schedule.-- mwiget, 03 December 2013

Postal Records (Series 1037-173)

Description: Records concerning the use of the U.S. Postal Service and express companies: mailing logs, postage purchase reports, registered mail receipts, express company receipts, mailing permits, etc.

Change: Superseded by 0085-000 on general schedule.-- mwiget, 03 December 2013

Procedures Manuals (Series 1038-173)

Description: Original copies of agency procedures issued in a collective manual.

Change: Superseded by 0087-000 on general schedule.-- mwiget, 03 December 2013

Purchase Requests - Internal (Series 1040-173)

Description: Documents used by subordinate organizations to request purchases of goods and services through the agency central purchasing office.

Change: Superseded by 0092-000, Purchase Orders - Internal, on general schedule.-- mwiget, 03 December 2013

Schedules - Office Activities (Series 1028-173)

Description: Internal forms, appointment books, paper and electronic calendars used to schedule employees, office activities, vehicles, meeting rooms, etc).

Change: Superseded by -- mwiget, 03 December 2013

Telephone Billing Records (Series 1031-173)

Description: Copies of computer billings and supporting documents concerning the use of a telecommunications service provider.

Change: Superseded by 0116-000 on general schedule-- mwiget, 03 December 2013

Vouchers - Travel (Series 1022-173)

Description: Copies of documents used to certify the validity of claims for the reimbursement of travel expenses: DA forms 121, 122, and 123.

Change: Superseded by -- mwiget, 03 December 2013

Work Orders and Logs - Printing Requests (Series 1023-173)

Description: Internal documents used to request and record requests for the performance of printing services.

Change: Superseded by -- mwiget, 03 December 2013

Administrative Hearings

Employee Time Report Records (Series 1020-173)

Description: 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.

Change: Superseded by 0039-000 on general schedule.-- mwiget, 03 December 2013

694-001

Kansas Commission on Veterans Affairs

Central Office

Budget Requests and Appeals - Annual (Series 0005-694)

Description: Summarizes yearly requests for appropriations for commission and Kansas State Soldiers Home; includes supplemental requests, also.

Change: Supersede to 0017-000 on general schedule.-- mwiget, 17 December 2013

Employee Personnel Files (Series 0010-694)

Description: Includes all documents associated with employment of commission personnel.

Change: Supersede to 0036-000 on general schedule.-- mwiget, 17 December 2013

Payroll Warrant Register (Series 0025-694)

Description: DAD011--computer report from Department of Administration listing all warrants issued for agency.

Change: Supersede to 0080-000 on general schedule.-- mwiget, 17 December 2013

Telephone Billing Records (Series 0030-694)

Description: Report supplied by Department of Administration detailing toll phone calls made by agency each month.

Change: Supersede to 0116-000 on general schedule.-- mwiget, 17 December 2013

Travel Request and Authorization Records (Series 0031-694)

Description: Includes both requests for travel by commission employees and subsequent approvals or disapprovals by central office.

Change: Supersede to 0118-000 on general schedule.-- mwiget, 17 December 2013

Vouchers - Purchase (Series 0040-694)

Description: DA103--requests and authorizations to purchase various goods and services.

Change: Supersede to 0125-000 on general schedule.-- mwiget, 17 December 2013

Vouchers - Travel (Series 0039-694)

Description: Copies of documents used to certify the validity of claims for the reimbursement of travel expenses: DA forms 121, 122, and 123.

Change: Supersede to 0127-000 on general schedule.-- mwiget, 17 December 2013

694-002

Kansas Commission on Veterans Affairs

Kansas Soldiers' Home and Kansas Veterans' Home

Agency Budget Requests (Series 0046-694)

Description: Copies of summaries of annual requests and justifications for appropriations--record copies maintained at Veterans Commission Central Office.

Change: Supersede to 0017-000 on general schedule.-- mwiget, 17 December 2013

Architectural Plans, Drawings, Maps, and Specifications (Series 0049-694)

Description: Records documenting physical plant of the Home including all structures and utility systems.

Change: Superseded to 0007-000 on general schedule.-- mwiget, 17 December 2013

Bank Statements and Deposit Books (Series 0050-694)

Description: Records of transactions on accounts at local banks.

Change: Supersede to 0012-000 on general schedule.-- mwiget, 17 December 2013

Budget Preparation Files - Annual (Series 0052-694)

Description: Correspondence, computer reports, and other documents related to preparation of annual budgets.

Change: Supersede to 0016-000 on general schedule.-- mwiget, 17 December 2013

Capital Improvement Project Files (Series 0053-694)

Description: Correspondence, contracts, bids, specifications, drawings, purchase orders, and other documents related to construction projects.

Change: Supersede to 0020-000 on general schedule.-- mwiget, 17 December 2013

Deposit and Ledger Calculator Tapes (Series 0060-694)

Description: Actual tapes of calculator operations during bookkeeping.

Change: Supersede to 0003-000 on general schedule.-- mwiget, 17 December 2013

Employee Personnel Files (Series 0066-694)

Description: Documents associated with employment of personnel.

Change: Supersede to 0036-000 on general schedule.-- mwiget, 17 December 2013

Employee Time Sheets (Series 0067-694)

Description: Internal forms used to account for hours worked by employees.

Change: Supersede to 0039-000 on general schedule.-- mwiget, 17 December 2013

Ledgers - General (Series 0086-694)

Description: Record of collections and expenditures of funds related to operation of the Home chapel.

Change: Supersede to 0068-000 on general schedule.-- mwiget, 17 December 2013

Ledgers - General (Series 0087-694)

Description: Log of all additions, transfers, and deletions to inventory.

Change: Superseded to 0068-000 on general schedule.-- mwiget, 17 December 2013

Monthly Financial Reports (Series 0093-694)

Description: CASK computer reports issued to agency monthly by Department of Administration; includes DAM001, DAM002, DAM003, DAM004, DAM116a, and DAM014.

Change: Supersede to 0072-000 on general schedule.-- mwiget, 17 December 2013

Receipts Records - Cash (Series 0103-694)

Description: Manual Ledger of cash receipts from Home members.

Change: Supersede to 0094-000 on general schedule.-- mwiget, 17 December 2013

Vendor Receipts (Series 0111-694)

Description: Copies of receipts from vendors showing purchases of goods and purchases.

Change: Supersede to 0121-000 on general schedule.-- mwiget, 17 December 2013

Vouchers - Purchase (Series 0114-694)

Description: Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA-120.

Change: Supersede to 0125-000 on general schedule.-- mwiget, 17 December 2013

Vouchers - Receipts (Series 0113-694)

Description: Copies of forms used to transfer funds into agency accounts; includes DA-3, DA-90, and DA-91.

Change: Supersede to 01256-000 on general schedule.-- mwiget, 17 December 2013

Warrant Register (Series 0115-694)

Description: CASK computer report DAD011--issued by Department of Administration to account for all warrants issued on their accounts--original

maintained at Division of Accounts and Reports.

Change: Supersede to 0080-000 on general schedule.-- mwiget, 17 December 2013

694-003

Kansas Commission on Veterans Affairs

Regional Office/Service Organizations

Budget Preparation and Management Records (Series 0118-694)

Description: Documents related to annual budget preparation and management: correspondence, procedures, payroll lists, and other assorted materials.

Change: Supersede to 0016-000 on general schedule.-- mwiget, 17 December 2013

Inventory Records - Property (Series 0130-694)

Description: Copies of DA form 81 "Inventory" and related letters of transmittal.

Change: Supersede to 0061-000 on general schedule.-- mwiget, 17 December 2013

Postage Reports (Series 0133-694)

Description: Copies of log of postage used by office. Submitted to agency central office.

Change: Supersede to 0085-000 on general schedule.-- mwiget, 17 December 2013

Vouchers - Purchase (Series 0139-694)

Description: Copies of DA form 120 "Purchase Order Voucher" used to purchase telephone service and equipment.

Change: Supersede to 0125-000 on general schedule.-- mwiget, 17 December 2013

Vouchers - Purchase (Series 0140-694)

Description: Copies of DA form 120 Vouchers and supporting correspondence related to purchases of stamps.

Change: Superseded by 0125-000 on general schedule.-- mwiget, 17 December 2013

694-004

Kansas Commission on Veterans Affairs

Field Service Offices

Employee Personnel Files - Office Copies (Series 0145-694)

Description: Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, etc.) maintained for convenience of reference.

Change: Supersede to 0037-000 on general schedule.-- mwiget, 17 December 2013

Employee Time Report Records (Series 0146-694)

Description: Record of employee absences used in updating Employee Time and Leave Reports. Also known as Daily Absence Reports.

Change: Supersede to 0067-000 on general schedule.-- mwiget, 17 December 2013

Leave Requests and Approvals (Series 0152-694)

Description: Internal form used by employees to request leave.

Change: Supersede to 0067-000 on general schedule.-- mwiget, 17 December 2013

Office Supplies Memoranda (Series 0154-694)

Description: Records related to acquisitions of office supplies through central office.

Change: Supersede to 0060-000 on general schedule.-- mwiget, 17 December 2013

Vouchers - Purchase (Series 0162-694)

Description: Copies of documents used to order and pay for goods and services: DA forms 100 thru 109 and DA-120.

Change: Superseded by 0125-000 on general schedule.-- mwiget, 17 December 2013

Kansas State Records Board
Kansas Historical Society

State Records Board and Support Staff Operational Procedures

I. State Records Board General Procedures

- A. The State Records Board (SRB) will conduct regular quarterly meetings at the Kansas State Historical Society's Center for Historical Research on the ~~second~~ third Thursday of January, April, July, and October, unless rescheduled by the Board chairperson. Special meetings will be held when called by the Board chairperson. All meetings will be fully open to the public as required by the Kansas Open Meeting Act. Board packets will be made available online before meetings.
- B. State agencies and local government offices seeking approval from the SRB for records disposition requests, new retention and disposition schedules, revisions to existing schedules, microfilming standards, or other related matters must be submitted to the State Archivist, in the format recommended by Historical Society staff, at least one month (30 days) before the Board meeting at which the requests will be considered.
- C. The State Records Board will not accept or approve retention and disposition schedule entries already addressed by the State and Local Government General Retention and Disposition Schedules. The Board will consider requests that alter the requirements established by the State and Local Government General Retention and Disposition Schedules.
- D. Historical Society staff will prepare a written appraisal report regarding each disposal request. In addition to conclusions regarding the historical and research values, these recommendations will contain information about any state and federal statutes or administrative regulations related to the preservation of the records or restrictions on public access to them and any other information necessary for the board to make an informed decision.
- E. Record retention and disposition schedules will be submitted to the Secretary of State within one month after each meeting. The requesting agency will be notified of Board actions, and the retention and disposition schedules will be updated online, within one month after each meeting. The Kansas State Historical Society will retain permanently a complete board packet for each meeting.

II. State Archives Staff Procedures

Kansas State Records Board
Kansas Historical Society

- A. Prior to the Board meeting, unless obviously unnecessary or infeasible, the State Archivist and/or a member of his/her staff will visit the agency or local office and carefully examine the records listed in each disposal request.
 - B. Copies of the draft retention and disposition schedule, the written appraisal reports of the Historical Society staff, minutes from the previous meeting, and the meeting agenda will be distributed to all Board members at least four days before each meeting.
 - C. State Archives staff will notify the Board of any records series rendered obsolete or transferred to another agency.
- III. Authorized Changes to Retention and Disposition Schedules Without Prior State Records Board Approval – Changes Made by Records Management Staff
- A. The 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(s) 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, and no additional restriction has been added or restriction removed;
 - 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;

~~6-7.~~ Note record copy format if unknown, or change record copy format if known. May update to include a change to electronic format if records are required to be maintained for less than 10 years, an Electronic Recordkeeping Plan is not required, and/or records are not to be transferred to the State Archives;

~~7-8.~~ Add comments or notes for internal use only to aid records management staff in their work; and

~~8. Supersede agency-specific versions of general retention and disposition schedules that match word-for-word those same general schedules. With the assistance and approval of agency records officers, supersede agency-specific versions of general retention and disposition schedule entries that either match word for word or convey the same intent or purpose of the applicable general schedule entry. For example, entries on an agency's schedule that may be superseded include those with minor title or description variations, or entries on the agency-specific schedule that match an earlier version of a general schedule entry.~~

- B. All other changes, corrections, modifications, amendments, revisions, or revocations require the review and approval of the State Records Board.
- C. At each meeting, records management staff shall provide the Board with a summary report of any changes made pursuant to the provisions of Section III.A.2. through III.A.8. since the previous Board meeting.

IV. Procedures Specific to Electronic Records

- A. The State Records Board and the Electronic Records Committee (ERC), a sub-committee under the Information Technology Advisory Board (ITAB), will cooperate to review and approve electronic recordkeeping plans, and any such plans will be submitted in conjunction with the state agency retention and disposition schedule. Electronic recordkeeping plans must be presented to and endorsed by the Electronic Records Committee prior to their submission to the SRB meeting. The purpose of offering the electronic recordkeeping plan to the ERC is for their technical review before submission to the State Records Board.

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Kansas State Records Board
Kansas Historical Society

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Adopted January 2007
Revised April 2012
Revised June 2012
Revised January 2014

