

**State Records Board  
Quarterly Meeting  
April 24, 2008**

Acting under the provisions of the Kansas Statutes Annotated 45-404 and 75-3504, the State Records Board met April 24, 2008, in the Executive Conference Room of the Kansas State Historical Society to consider requests for approval of retention and disposition schedules and of additions to or revisions of such schedules for the following agencies:

Kansas Insurance Department  
Kansas Department of Transportation  
Secretary of State's Office  
Kansas Department of Administration  
Kansas Historical Society  
County Health Department

In attendance were Mike Smith, chair, Kansas State Attorney General's Office; Matthew Veatch, State Archivist, Kansas State Historical Society; Dr. Patricia Michaelis, Director, State Archives and Library Division, Kansas State Historical Society; Bill Sowers, Kansas State Library; Duncan Friend, Department of Administration; Scott Leonard, State Records Manager and Electronic Records Specialist, Kansas State Historical Society; Kristopher Graves, Government Records Analyst, Kansas State Historical Society; Jesse Romo, Kansas Department of Transportation; Sabrina Wells, Marlyn Burch, Kansas Insurance Department.

Chairman Smith opened the meeting with introductions and welcomed visitors to the meeting.

**Minutes**

Mr. Veatch moved to approve the minutes from the previous meeting; Mr. Sowers seconded the motion. The minutes were approved.

**State Insurance Department, Life, Accident, Health Department**

Mr. Leonard introduced the proposed changes to *Policy Forms, Credit Insurance Rates-Life, Accident, Health*, and explained that the changes, essentially, were to retention periods, and the dropping of microfilm from consideration as storage media; Mr. Burch explained that microfilm as a media was too cumbersome for the policy forms being kept and used by office. He also mentioned that they do employ some imaging technology. Dr. Michaelis inquired about whether there should be a separate entry for domiciled (i.e. KS based companies) policy forms—were they kept permanently? Ms. Wells responded by suggesting that the word "domiciled" be struck from the entry's description and substitute the word "foreign" instead (for companies registered outside of Kansas). It was determined that a parenthetical note—(non-Kansas)—be included in the entry's description. Dr. Michaelis moved to approve the schedule as amended; Mr. Veatch seconded. The entry was approved as amended.

### **Kansas Department of Transportation (KDOT), Office of Management & Budget 3 entries, 2 divisions**

Mr. Leonard introduced the proposed entries for *Legislators' Files* and *Road Rally Surveys*; both are new entries.

### **Kansas Department of Transportation, Bureau of Transportation Planning**

Mr. Leonard explained that, for the *Traffic Data Collection System*, KDOT had an electronic record-keeping plan endorsed by the Electronic Records Committee.

No major concerns were raised about any of the three proposed entries. Mr. Friend moved that the entries be approved and Dr. Michaelis seconded the motion. The schedules were approved.

### **Kansas Secretary of State's Office (SOS)**

Mr. Leonard explained that the Secretary of State's Records Officer, Ms. Christy Myers, proposed these additions to the agency schedule on behalf of 3 divisions. Retention was revised on two counts, and one description was revised (*Legislative Records*). *Certified Party Lists* are collected on the local (county) level (retained for 5 years) and sent on to SOS for certification. Ms. Myers provided an example of the *Certified Party Lists*.

### **SOS, Administrative Division**

Mr. Smith asked, regarding the *Accounting and Prepaid Transactions*, whether the retention period was the same as what other agencies used. The 7 years proposed was thought to be for purposes of an audit, but Mr. Friend suggested 3 years would meet that requirement. Mr. Veatch also thought 3 would suffice, but hesitated to amend without consulting with SOS legal counsel. Mr. Leonard explained that the arrival at a 7-year period was a little unclear between he and SOS. Mr. Veatch proposed approving the 7-year retention period now, and SOS could revisit/revise it again later if needed.

Dr. Michaelis suggested changing the "presenting" in *Business Agent Registrations'* description to "representing." Mr. Veatch noted that, counter to what the proposal indicated, the SOS did have an electronic record-keeping plan endorsed by the Electronic Records Committee. Ms. Myers confirmed that this was a new schedule proposal for records they have been keeping for a while. Mr. Smith inquired about any statutory requirements.

Ms. Myers brought in an example of a *Certificate of Manual Signatures*, which evidenced that they were used, in this instance, to show who is authorized to write/sign checks on behalf of an agency. Mr. Veatch inquired about whether they expire. Ms. Myers indicated she was uncertain, but thought not. Mr. Leonard asked how the database (AS 400) these went into was updated. Mr. Veatch suggested—and the board agreed—that the comments for this entry note that these records are "entered into the AS 400 database system." Dr. Michaelis suggested the entry's description should be

revised from “state officials” to “public officials as per KSA...” Mr. Leonard thought “county officials” might also be changed to “public officials” as well. By consensus, the board determined that the final wording for the description should read, “Certificates of manual signatures allowing public officials to use a signature stamp and required to be filed pursuant to KSA 25-4001-4007.”

### **SOS, Business Services**

Mr. Leonard explained that the retention period for *Accounting Records* was shortened from three years to 60 days. Ms. Myers explained that it was the UCC requests-to-search that they wished to destroy after 60 days. Mr. Friend asked, for the sake of consistency, about the relationship of these records to other accounting records (3 year retention). Mr. Veatch indicated there was no General Schedule entry covering these shorter-term transactional records (despite other agencies keeping similar records), and that he had no real problem with this proposal. Ms. Myers indicated this handling was consistent with the way other (similar) records were handled within the agency.

On *Business Entity Filings*, Mr. Smith asked whether everything was electronic. Ms. Myers affirmed that it was, and, even if someone files via paper, it is then entered electronically and, once entered, the paper originals are returned to the registrant. Ms. Myers indicated that they were also in the process of pulling old paper filings from the Kansas Historical Society’s holdings and entering them into database as well; once completed, SOS is not returning paper copies to the archives.

### **SOS, Elections and Legislative Matters Division**

Dr. Michaelis requested that the *Certified Party Affiliation List* be tabled for a future meeting, so that the KSHS and the State Library may further consider the records’ enduring historical value.

Mr. Leonard explained that the description for *Legislative Documents* was revised. Ms. Myers indicated the SOS only keeps these records on behalf of the State Legislature. Dr. Michaelis asked about the retention period (proposed at 1 legislative session)--are they transferred to the archives after end of a single year session or following the 2-year period of a complete legislative session (that includes carryover). Mr. Friend indicated that if they are enrolled (signed), they should probably be sent at end of the annual session in which they are signed (no carryover). Dr. Michaelis suggested, regarding the retention, amending the entry’s comments to read, “transferred annually to archives,” to which the board agreed.

Mr. Veatch moved to approve SOS’s schedule entries as amended, and to table the *Certified Party Affiliation List* pending an assessment of these records’ enduring value. Mr. Sowers seconded and the schedules were approved.

### **Kansas Department of Administration, Division of Facilities Management**

Mr. Leonard explained the schedule entry for *Supervisor’s Daily Reports* and its relationship to other records, which might contain much of the same information, like timesheets. Unlike timesheets, these reports record where the employee is working

rather than just the hours worked. Mr. Veatch asked about revising the description, omitting “to track employee time”; Mr. Leonard indicated, though, that the time was integral to accounting for employee actions. Mr. Smith questioned the KSA restrictions placed on the entry; Dr. Michaelis posited that Social Security numbers (SSN) and/or employee #'s might be tied to the information, while Mr. Veatch suggested that the restriction in question might not be tied to employee privacy rights. Mr. Smith responded that these records weren't much different than, say, a desk calendar—which he considered an open record. Mr. Smith didn't want to hold up the entry for the restriction. He was just troubled by the inclusion of the restriction. Mr. Friend read from the restriction in question, KSA 45-221 (a)(4), revealing that an employee's SSN would be covered by KSA 45-221 (a)(30) not (a)(4). In light of the fact that the Department of Administration was unable to send a representative to the meeting who might be able to answer the question, the board agreed to table the schedule entry.

### **Kansas Historical Society, Library & Archives Division**

Mr. Smith inquired about the restrictions placed on the *Correspondence--Reference* entry, noting that the restrictions were per KSA 45-221(a)(7)(8)(14)(23). (The proposed entry omitted the (a).) Mr. Smith also requested clarification on precisely what KSA 45-221(a)(14) and (23) were intended to protect; Mr. Friend read from the statutes in question, which relate to library records and donations to public institutions. Mr. Veatch moved that the schedule be approved as amended (i.e. restrictions clarifications). Dr. Michaelis seconded. The schedule was approved.

### **Kansas General Schedule, State Agencies**

Mr. Leonard explained that this entry, *Security Records*, was instigated by a call from Mr. Smith inquiring about retention requirements for video records. Mr. Leonard reported that this was a modification of an existing entry, with the description being broadened to include video records, and the retention period being revised to agree with similar entries in the Local General Schedule. Dr. Michaelis moved that the schedule be approved and Mr. Veatch seconded the motion; the schedule was approved.

### **Kansas General Schedule, Local Agencies**

Mr. Graves introduced these two entries, explaining that *Sales and Use Tax Records* warranted modification based on unclear language defining precisely what a “tax year” was, for purposes of determining the retention period, and that *Security Records* was a new entry created to align with the modifications made to the similar entry in the State General Schedule, as well as to supercede the narrower *Visitor Records*. Mr. Veatch moved to approve the schedules and Mr. Sowers seconded; the schedules were approved.

### **Kansas General Schedule, Local Agencies, Obsolete or Superseded Series**

Mr. Leonard explained that the list reflects that the series listed, *Visitor Records*, was no longer being kept, and the board did not need to take any action

## **New Business**

Mr. Leonard commented that the meeting dates listed on the agenda were the regularly scheduled dates. Mr. Veatch indicated that July 10 was just before the NAGARA conference. Mr. Sowers noted he might have a conflict with a teaching commitment. The July 10 meeting date was approved.

Mr. Friend asked about Attorney General Opinion 87-25, which was mentioned in discussion of the schedules for *Security Records*, on both the Local and State level. Mr. Smith explained that a secondary aspect of the decision pertained to video records, and who is responsible for keeping the images and for how long. Though only a secondary aspect of the opinion, he thought it ought to be mentioned.

Mr. Veatch gave an update on the May 8, 2008, Electronics Records Dialogue, sponsored by KSHRAB and the State Records Board. About 20 people are registered so far, hoping for 25 or so. The main speaker will be L. Reynolds Cahoon, from Lockheed Martin (formerly of the National Archives). John Carlin has been integral in organizing and implementing the meeting. KSHRAB is paying for the conference, which will be mostly aimed at raising awareness but also seeking advice about improving electronic recordkeeping in Kansas. Mr. Veatch also observed that the Kansas Historical Society has a budget enhancement (still pending approval by the Legislature) for an enterprise-wide electronic records and information management planning effort.

The meeting adjourned.

Respectfully submitted,

A handwritten signature in black ink, reading "Matthew B. Veatch". The signature is written in a cursive style with a large, stylized initial "M".

Matthew B. Veatch,  
State Archivist and Secretary,  
State Records Board