

**KANSAS STATE RECORDS BOARD
RECORDS APPRAISAL REPORT FOR
REVISION TO
RETENTION/DISPOSITION SCHEDULE
October 21, 2009**

1. **Agency:** Kansas Department of Administration, Division of the Budget

2. **Records Officer:** Elaine Frisbie **Phone:** 296-2436

3. **Appraising Archivists:** Scott Leonard

4. **Date of Appraisal:** October 1, 2009

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

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

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

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and meetings with agency staff.

9. **Appraisal Narrative:**

The Division of the Budget wishes to revise the retention on this series. The current retention is "Retain in office 3 fiscal years, transfer to the records center for 5 fiscal years, then transfer to the archives for purging." The agency does not see a need for the records to be in the Records Center; administrative need ends after 5 years in the office so the records would be eligible to be transferred to the State Archives at that time.

Retention/Disposition Schedule Entries

173-005

Department of Administration

Division of the Budget

Agency Budgets - Analysts' Copy (Series 0752-173)

State agency budget documents used by budget analysts to analyze agencies' budgets.

Entry Status: Ready for SRB

Retention Period: 005 fisc yrs

Disposition: Archives

Restrictions: None

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

Record Copy: Paper

Remarks: 10/1/09 -- Revised retention based on input from agency staff.

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1. **Agency:** Kansas Racing and Gaming Commission
2. **Records Officer:** Don Cawby **Phone:** 296-8612
3. **Appraising Archivists:** Scott Leonard, Matt Veatch, Pat Michaelis, Bob Knect, Matt Gorzalski
4. **Date of Appraisal:** October 12, 2009
5. **Total records - No. of Series:** 2
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 by grant project staff and KSHS archivists.
9. **Appraisal Narrative:**

These series from the Racing and Gaming Commission were reappraised by staff as part of the NHPRC grant project, and found to no longer have archival value. Currently there are 50 cubic feet of this series in the State Archives, and KSHS wishes to deaccession these. The current disposition of both series is "Retain 3 calendar years, then transfer 1 report for each race meet to the archives, destroy the remainder."

Retention/Disposition Schedule Entries

553-001

Kansas Racing and Gaming Commission Administration

Judge's Reports (Series 0001-553)

Documents relating to the commission's effort to monitor performances and conduct at each dog racing facility: judge's daily reports, official results charts, and racing programs.

Entry Status: Ready for SRB

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Retain 3 calendar years, then destroy.

Record Copy: Unknown

Remarks: 10/13/09: Reappraised as part of MPLP grant as no longer having archival value; retention changed to "Destroy."

Steward's Reports (Series 0006-553)

Documents relating to the commission's effort to verify and monitor performances and conduct at each horse racing facility: steward's daily reports, official results charts, and racing programs.

Entry Status: Ready for SRB

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: Retain 3 calendar years, then destroy.

Record Copy: Unknown

Remarks: 10/13/09: Reappraised as part of the MPLP grant as no longer having archival value; retention changed to "Destroy."

**KANSAS STATE RECORDS BOARD
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1. **Agency:** Kansas Board of Technical Professions
2. **Records Officer:** Jean Boline **Phone:** 296-3286
3. **Appraising Archivists:** Scott Leonard, Matt Veatch, Pat Michaelis, Bob Knecht, Marcella Wiget
4. **Date of Appraisal:** October 12, 2009
5. **Total records - No. of Series:** 1
6. **Archival/Permanent records - No. of Series:** 1
7. **Records Eligible for Immediate Transfer to Archives:**

 No. of Series: 0

8. **Appraisal Based Upon:**

Review by grant project staff and KSHS archivists.

9. **Appraisal Narrative:**

This series from the Board of Technical Professions was reappraised by staff as part of the NHPRC grant project, and found to no longer have archival value. However, the staff of the Board wishes to retain these records permanently. Currently there are 6 cubic feet of this series in the State Archives and 6 cubic feet in the State Records Center; all records will be returned to the Board upon approval of the series.

Retention/Disposition Schedule Entries

663-001

Board of Technical Professions

Examination Records (Series 0010-663)

Records related to the giving of professional licensing examinations: scores, statistics, registration logs, etc.

Entry Status: Ready for SRB

Retention Period: Permanent

Disposition: Permanent

Restrictions: Portions per 45-221(a)(9)

Comments: Retain permanently in office.

Record Copy: Unknown

Remarks: 10/14/09: Reappraised as part of MPLP grant & determined to no longer have archival value; agency personnel want to retain in office permanently.

**KANSAS STATE RECORDS BOARD
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1. **Agency:** Kansas Department of Labor, Division of Workers Compensation

2. **Records Officer:** Heather Wilke **Phone:** 296-5063

3. **Appraising Archivists:** Scott Leonard

4. **Date of Appraisal:** October 14, 2009

5. **Total records - No. of Series:** 2

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 by grant project staff and KSHS archivists.

9. **Appraisal Narrative:**

The Division of Workers Compensation contacted the Historical Society requesting a revision of their current retention schedule for two series. The agency wishes to revise the retention period from the current period of 50 years. These two series are covered by an Electronic Recordkeeping Plan that was endorsed by the Electronic Records Committee on April 18, 2007.

Retention/Disposition Schedule Entries

296-041

Department of Labor

Division of Workers' Compensation

Accident Reports (Form K-WC 1101-A) (Series 0185-296)

Reports filed with the division by employers concerning any accidents to their employees of which they have knowledge as required by K.S.A. 44-557.

Entry Status: Ready for SRB

Retention Period: 025 cldr yrs

Disposition: Destroy

Restrictions: K.S.A. 44-550b

Comments: Scan, then destroy hard copy. Retain reports maintained in electronic format 25 years, then destroy.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/14/09: Shortened retention period from 50 years.

Final Releases (Form D) (Series 0198-296)

Form granting employers final release from liability following the closure of a workers' compensation claim file.

Entry Status: Ready for SRB

Retention Period: 025 cldr yrs

Disposition: Destroy

Restrictions: K.S.A. 44-550b

Comments: Scan, then destroy hard copy. Retain electronic reports 25 calendar years, then destroy.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/14/09: Shortened retention period from 50 years.

**KANSAS STATE RECORDS BOARD
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1. **Agency:** Kansas Board of Emergency Management Services

2. **Records Officer:** Jean Claude Kandagaye
Phone: 296-7296

3. **Appraising Archivists:** Scott Leonard

4. **Date of Appraisal:** October 6, 2009

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

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

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

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and meetings with agency staff.

9. **Appraisal Narrative:**

The Board of EMS brought these series before the Records Board on July 28, 2009, and the Board tabled these due to concerns about the ability to maintain the records in electronic format for the entire proposed retention period. Staff at the Board of EMS reviewed the Records Board's concerns and revised the retention periods appropriately. All of the five series are covered by an Electronic Recordkeeping Plan endorsed by the Electronic Records Committee on June 18, 2009. The agency also proposed revising series 0007-206, Employee Personnel Files, but agreed to leave the series as is after learning that the series matches the State General Schedule for Employee Personnel Files and the rationale behind the current retention period.

Retention/Disposition Schedule Entries

206-001

Board of Emergency Medical Services

Attendant Certification Files (Series 0002-206)

Application and supporting documentation relating to the issuance of licenses and renewals to qualified emergency medical technicians, first responders, and mobile intensive care technicians.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: 5 USC Sec. 552a

Comments: Retain in office for one renewal cycle (2 years); transfer to digital archive and then destroy paper-based records after performance of quality assurance. Keep digital record for 5 years and then purge.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/15/09: Revised retention (from "Retain in office until expiration of certification, transfer to the records center for 5 calendar years, then destroy"); part of Electronic Recordkeeping Plan

Continuing Education Files (Series 0003-206)

Documents relating to mandatory continuing educational credits required for attendants to maintain certification. Also includes records relating to long-term and short-term Program Providers and Sponsors of Continuing Education and Initial Education. A.K.A. "Program Provider Files."

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain in office for 2 years, transfer to digital archive and then destroy paper-based record after performing quality assurance. Keep digital record for 5 years and then purge.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/15/09: Revised retention & disposition (from "002 cldr yrs" & "destroy"), description, & record copy; part of Electronic Recordkeeping Plan.

Examination Files (Series 0009-206)

Copies of examinations given to candidates applying for a license to practice in the state as required by KSA 65-6129.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

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

Comments: Retain until no longer immediately needed, transfer to digital archive and then

destroy paper-based record after performing quality assurance. Keep digital record for 5 years and then purge.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/15/09: Revised retention (from "Retain until no longer useful, then destroy") & record copy; part of Electronic Recordkeeping Plan.

Initial Training Program Files (Series 0014-206)

Documents relating to the development of criteria for course curricula and approval of the course of instruction for instructor-coordinators to ensure training programs meet board requirements.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain until no longer immediately needed, transfer to digital archive and then destroy paper-based record after performing quality assurance. Keep digital record for 5 years and then purge.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/15/09: Revised retention (from "Retain until no longer useful, then destroy") & record copy; part of Electronic Recordkeeping Plan.

Instructor-Coordinator and Training Officer Files (Series 0015-206)

Documents relating to the certification and renewal process for instructor-coordinators and training officers authorized to coordinate training programs for attendants.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: None

Comments: Retain until no longer immediately needed, transfer to digital archive and then destroy paper-based record after performing quality assurance. Keep digital record for 5 years and then purge.

Record Copy: Electronic

Electronic Recordkeeping Plan Endorsed

Remarks: 10/15/09: Revised retention (from "Retain until no longer useful, then destroy") & record copy; part of Electronic Recordkeeping Plan.

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1. **Agency:** Kansas Juvenile Justice Authority, Kansas Juvenile Correctional Complex (Topeka)

2. **Records Officer:** Nancy Burghart **Phone:** 354-9803

3. **Appraising Archivists:** Scott Leonard

4. **Date of Appraisal:** May 19, 2009

5. **Total records - No. of Series:** 12

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

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

No. of Series: 0

8. **Appraisal Based Upon:**

Approved retention schedule and meetings with agency staff.

9. **Appraisal Narrative:**

The KJCC, a facility of the Juvenile Justice Authority, wishes to revise its current schedule. Many of the proposed retention periods were revised to meet American Correctional Association standards on retention. The proposal has resulted in a removal of some series from the agency's current schedule.

Retention/Disposition Schedule Entries

350-006

Juvenile Justice Authority

Kansas Juvenile Correctional Complex

Incident Reports (Series 0084-350)

Documents relating to incidents that have occurred between juvenile offenders, staff or both.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 38-1608

Comments: Place one signed copy in Master Juvenile Offender File and retain accordingly. Electronic copy is for convenience use only.

Record Copy: Paper

Remarks: 10/15/09: Change in record copy; indicate the official record is the signed copy in the Master File.

Inquiries Files (Series 0087-350)

Release of information on former/present residents or juvenile offenders to various law enforcement agencies, court services, attorneys, etc. to aid in working with them.

Entry Status: Ready for SRB

Retention Period: 001 cldr yrs

Disposition: Destroy

Restrictions: KSA 38-1608

Record Copy: Unknown

Remarks: 10/15/09: Revised retention from 5 calendar years.

Living Unit Communication Log (Series 0061-350)

Register used to record detailed and accurate information on situations and events which have occurred at the living units. Also known as "Living Unit Log Book."

Entry Status: Ready for SRB

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: None

Comments: KSA 38-1608

Record Copy: Unknown

Remarks: 10/15/09: Revised description.

Living Unit Daily Checklist (Series 0062-350)

Registers used to document room and living unit security checks and the duties performed.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: None

Comments: Retain paper copy until scanned & quality assurance process complete on digital image; destroy paper & retain digital three calendar years, then destroy.

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 10/15/09: Revised retention to reflect imaging process; changed record copy.

Living Unit Log Sheets (Series 0095-350)

Daily notations made by staff relating to activities by juvenile offenders in the living units.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 38-1608

Comments: Retain paper copy until scanned & quality assurance process complete on digital image; destroy paper & retain digital three calendar years, then destroy.

Record Copy: Electronic

Electronic Recordkeeping Plan Pending

Remarks: 10/15/09: Revised series title; revised retention to reflect imaging process; changed record copy.

Master Juvenile Offender Files (Series 0096-350)

Master files maintained on juvenile offenders institutionalized at juvenile correctional facilities and includes evaluations, program planning, progress reports, incident reports, etc. Specific series included in Master File includes Face Sheet, Change of Status Reports, signed copy of Incident Reports, Social Work File, Psychological Tests Results, Suicide Precaution, Reintegration Visits and Medical Leaves, & Suicide Log/Time Out/Seclusion Logs.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 38-1608

Comments: Retain in office 5 calendar years after discharge, transfer to storage for 10 years, then destroy.

Record Copy: Unknown

Remarks: 10/15/09: Revised description to include records contained within series.

Population Reports (Series 0098-350)

Research and statistical information submitted monthly by the facilities and includes movement of juvenile offenders in and out the juvenile correctional facilities, juvenile offender population, etc.

Entry Status: Ready for SRB

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: KSA 38-1609

Comments: Records entered electronically.

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 10/15/09: Record copy change.

Psychological Test Data Files (Series 0111-350)

Raw test data and clinical notes relating to psychological tests administered to juvenile offenders that are used in the preparation of final psychological analysis reports.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 45-221(a)(3), 38-1608, 38-1609, 38-1514

Comments: Retain 1 calendar year after discharge, then destroy.

Record Copy: Unknown

Remarks: 10/15/09: Revised retention from "5 calendar years...".

Psychological Tests Results (Series 0113-350)

Psychological tests on juvenile offenders given by psychology division to determine the intellectual & functioning level, & emotional status & includes intelligence tests evaluations, chemical use survey, etc.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 38-1609

Comments: Retain 1 calendar year after discharge, then transfer to the "Master Juvenile Offender File."

Record Copy: Unknown

Remarks: 10/15/09: Revised retention from "5 years after discharge...".

Safety, Security & Wellness Checks (Series 0042-350)

Reports made each night and includes date, name of living unit, time, notes, and comments.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 38-1608

Comments: Retain paper copy until scanned & quality assurance performed on scanned image; shred paper & retain electronic image three years, then destroy.

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 10/15/09: Revised series title (from "Campus Night Report"), revised retention & record copy to note scanning process.

Shift Manager Report (Series 0130-350)

Documents used to log events of during shifts. Also known as "Shift Log Notes".

Entry Status: Ready for SRB

Retention Period: 003 cldr yrs

Disposition: Destroy

Restrictions: Portions per KSA 38-1608

Record Copy: Electronic

Electronic Recordkeeping Plan Not Required

Remarks: 10/15/09: Revised series title & description; indicated record copy is electronic.

Social Work File (Series Unknown)

Variety of documents related to interaction between staff social workers and individual juvenile offenders. Includes Living Unit Program Plans, Program Planning and Program Review Conferences.

Entry Status: Ready for SRB

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 38-1608

Comments: Retain until discharge, then transfer to Master Juvenile Offender File and retain accordingly.

Record Copy: Unknown

Remarks: 10/15/09: New series.

Superseded & Obsolete

Retention/Disposition Schedule Entries

350-006

Juvenile Justice Authority Kansas Juvenile Correctional Complex

Face Sheets (Series 0077-350)

Documents used for immediate access to information on each juvenile offender admitted to the Juvenile Correctional Facility and includes full name and/or alias, address, phone, birthday, race, religion, etc.

Part of Master File.

Entry Status: Draft

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 38-1608

Comments: Retain 5 years after discharge, transfer to the "Master Juvenile Offender Files", if no file exists, then transfer to the archives.

Record Copy: Unknown

Remarks: 10/15/09: Superseded, part of Master File (0096-350).

Incidents of Suspected Child Abuse and/or Neglect (Series 0085-350)

Documents relating to incidents of suspected child abuse or neglect of an individual juvenile offender by a staff member or juvenile offender.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 38-1507

Comments: Retain 5 years after case is closed, then destroy.

Record Copy: Unknown

Remarks: 10/15/09: Obsolete; same as Incident Reports (0084-350).

Living Unit Program Plans (Series 0064-350)

Documents used to set up program plans for the new juvenile offenders and includes the name of psychologist, social worker, juvenile offender, county of commitment, date of admission and date and time of meeting. This series is part of the Social Work File.

Entry Status: Draft

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 38-1608

Comments: Retain until discharge, then transfer to the "Master Juvenile Offender Files."

Record Copy: Unknown

Remarks: 10/15/09: Revised description; revised retention (from "1 year, then transfer..."); part of and superseded by new series "Social Work File"

Living Unit Radio Check (Series 0065-350)

Two-way radio check made twice a day and the living units call-in to check equipment.

Entry Status: Draft
Retention Period: 005 cldr yrs
Disposition: Destroy
Restrictions: None
Record Copy: Unknown
Remarks: 10/15/09: Obsolete.

Night Shift Manager/Security Report (Series 0166-350)

Reports made nightly and used to monitor juvenile offenders in the living units and includes date, name of living unit, time, notes and comments.

Entry Status: Draft
Retention Period: 003 fisc yrs
Disposition: Destroy
Restrictions: KSA 38-1608
Comments: Meets accreditation standards.
Record Copy: Unknown
Remarks: 10/15/09: Superseded; part of Living Unit ??

Program Planning Reports (Series 0168-350)

Documents prepared summarizing the initial program planning conference, periodic program reviews, and pre-release conferences held to establish a program plan and chart progress throughout the juvenile offenders' commitment to a juvenile correctional facility. Part of Social Work File.

Entry Status: Draft
Retention Period: See Comments
Disposition: See Comments
Restrictions: KSA 38-1608 & 38-1609
Comments: Retain until discharge, then transfer to appropriate Master Juvenile Offender File and retain accordingly.
Record Copy: Unknown
Remarks: 10/15/09: Revised description; revised retention from "1 year, then transfer..."; part of and superseded by new series "Social Work File."

Program Planning and Program Review Conferences (Series 0031-350)

Documents used to set up review conferences for juvenile offenders who have been at the Juvenile Correctional Facility and includes name, date of review, clinician, county, etc. Part of Social Work File.

Entry Status: Draft
Retention Period: See Comments
Disposition: See Comments
Restrictions: KSA 38-1608
Comments: Retain until discharge, then place in "Master Juvenile Offender Files."
Record Copy: Unknown
Remarks: 10/15/09: Revised description; revised retention (from "1 year, then ..."); part of and superseded by new series "Social Work File."

Reintegration Visits and Medical Leaves (Series 0170-350)

Documents relating to passes given to juvenile offenders including date and destination while on

extended leave. Part of Master Juvenile Offender File.

Entry Status: Draft

Retention Period: See Comments

Disposition: See Comments

Restrictions: KSA 38-1608

Comments: Retain 5 years after date of discharge then transfer to appropriate Master Juvenile Offender File and retain accordingly.

Record Copy: Unknown

Remarks: 10/15/09: Superseded, part of Master Juvenile Offender File.

Seclusion Referral Form (Series 0125-350)

Documents used to record activities of a juvenile offender presenting a potential threat of harm to himself or herself, others and property. Also known as "Suicide Precaution". Part of Master Juvenile Offender File.

Entry Status: Draft

Retention Period: 005 cldr yrs

Disposition: Archives

Restrictions: KSA 38-1608

Record Copy: Unknown

Remarks: 10/15/09: Superseded; part of Master Juvenile Offender File.

Security Check Documentation (Series 0127-350)

Documents relating to all activities reported at the juvenile correctional facilities and logged and includes time, narrative, and security checks.

Entry Status: Draft

Retention Period: 005 cldr yrs

Disposition: Destroy

Restrictions: None

Record Copy: Unknown

Remarks: 10/15/09: Obsolete; same as Living Unit Log Sheets (series 0095-350).

Suicide Log/Time Out/Seclusion Logs (Series 0144-350)

Registers used to monitor a juvenile offender either in seclusion or on suicide watch. Part of Master Juvenile Offender File.

Entry Status: Draft

Retention Period: See Comments

Disposition: Destroy

Restrictions: KSA 38-1608

Comments: Retain 5 calendar years, then destroy or transfer to Master Juvenile Offender and retained accordingly.

Record Copy: Unknown

Remarks: 10/15/09: Superseded; part of Master Juvenile Offender File.