



STATE OF KANSAS

S T A T E
R E C O R D S
B O A R D

Annual Report
fiscal year 2003

Table of Contents

Accomplishments	4
State Agencies	4
Fiscal Year 2003 Summary	5
Electronic Records Management.....	6
FY 2004 Goals	8
About the SRB.....	9
Board Procedures.....	10
Appendix A: State Records Center	12
Appendix B: Agency Scheduling Status.....	14
Contact Information.....	19

STATE RECORDS BOARD

Annual Report

Fiscal Year 2003

This annual report is a compilation of the past accomplishments and future goals of the State Records Board. It includes both narrative and statistical information for fiscal year 2003. The report represents the board's attempt to inform the governor, the legislature, state agency personnel, and the public about its efforts to carry out its mandate **to ensure the preservation of state and local government records with enduring value while also promoting the efficient disposition of all government records.**



*Prepared by the staff of the
Kansas State Historical Society*

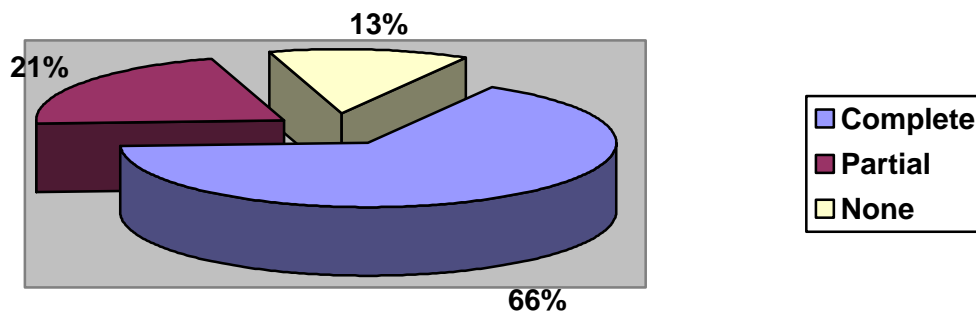
ACCOMPLISHMENTS

Records Scheduling

At its four meetings during fiscal year 2003, the State Records Board (SRB) **approved 251 retention and disposition schedule entries for thirty state agencies, four county offices, and state and local government general schedule entries.** The approved schedule entries represented **complete schedules for two state agencies, partial schedules for four agencies** and **additions/revisions to twenty-four previously approved agency schedules.**

Since its 1985 decision to rescind all previously approved schedules, the State Records Board has approved partial or complete records retention and disposition schedules for 78 of the 90 agencies in Kansas state government. Specifically, 64 agencies have complete schedules; 5 agencies have schedules one half or more complete; 9 agencies have minimal schedules; a general schedule for all universities is in progress; and 12 agencies are without a schedule including three universities. While the SRB has no authority over legislative branch records, the Revisor of Statutes requested a retention and disposition schedule which the board reviewed.

State Agency Records Schedules Since 1985



The KSHS staff placed a number of SRB related documents on the KSHS web site, in an effort to make this information more readily available to state employees. Among the many web page resources are the general retention schedule for state and local agencies, some local government retention schedules for specific offices, records management manuals for state and local agencies, electronic records guidelines, State Records Board information, and State Records Center guidelines.

Retention/Disposition Schedules Approved Fiscal Year 2003

Completed Schedules:

- Office of the State Treasurer
- Human Rights Commission

Partial Schedules:

- Kansas Public Employees Retirement System
- State Fire Marshal
- Department of Administration - Division of Accounts and Reports
- Kansas Racing and Gaming Commission

Additions/Revisions to Previously Approved Schedules:

- Kansas Insurance Department
- Adjutant General's Office
- Department of Human Resources
- Kansas Lottery
- Department of Health and Environment
- State Corporation Commission
- Department on Aging
- Department of Commerce and Housing
- Secretary of State's Office
- Kansas State Historical Society
- General Schedule for state agencies
- General Schedule for local government
- Department of Corrections
- State Board of Education
- Local Government – Office of the County/District Counselors and Attorneys
- Local Government – Office of the County Treasurer
- Local Government – Office of the County Clerk
- Department of Administration – Office of the Secretary
- Local Government – Sheriff's Office
- Local Government – Office Emergency Management
- Local Government – Office of the County Appraiser
- Health Care Stabilization Fund
- Board of Emergency Medical Services
- Department of Social and Rehabilitation Services
- Juvenile Justice Authority

A total of 251 state and local government record series were scheduled for fiscal year 2003.

A total of 67 record series were scheduled for transfer to the state archives.

Electronic Records Management

The State Records Board, in cooperation with the KSHS and other state agencies, made significant strides towards meeting the electronic records management challenge.

The general electronic record management and preservation policy for the State of Kansas is that state agencies need to be proactive in identifying electronic records with enduring value and planning for how they will make those records accessible over time while also preserving “recordness” such as their content, context, and authenticity.

Thus, the State Records Board, with the assistance of the Electronic Records Committee, determined that in the electronic environment it was no longer sufficient to establish long term or permanent retention periods for electronic records without some understanding of how the agency intended to meet the above stated policy of preservation and access.

Web Records Management

The Electronic Records Committee, a committee of the Information Technology Advisory Board (ITAB), in conjunction with the Internet Task Force, created the Web Records Management Task Force to address the proliferation of records placed on agency web sites. This document will provide state agencies with guidelines to determine and implement strategies for creation, capture, management, and retention web-based records for as long as necessary. After nearly two years of effort by the Electronic Records Committee, the State Archivist and Electronic Records Specialist presented the Managing Web-Based Records Guidelines to the Information Technology Advisory Board for their review and consideration. After their endorsement, the guidelines will be presented to the Information Technology Advisory Board to the Information Technology Executive Council for their approval.

Recordkeeping Plan Template

In conjunction with the Electronic Records Committee and several state agencies, a recordkeeping plan template was developed to provide the State Records Board with sufficient technical information to determine if the agency has made adequate plans for the preservation of and access to specific record series that have been determined to have enduring value. The recordkeeping plan was designed to assist agencies in considering a number of issues critical to electronic records preservation. The electronic records specialist has designed a template for the recordkeeping plan available on the KSHS web site.

Once submitted, recordkeeping plans will be reviewed first by the Electronic Records Committee for an assessment of the technical aspects of the plan. Their

recommendations about whether or not the recordkeeping plan is sound will then be forwarded to the State Records Board for approval. This approach broadens responsibility for records management from the agency records officer to information technology staff that have the expertise to address long-term preservation and access issues for electronic records.

The Kansas State Publications Archival Collection (KSPACE)

New state laws allow agencies to publish legislatively mandated reports in an electronic format only, which presents long term preservation and access concerns. Because the Kansas State Historical Society and the Kansas State Library traditionally have preserved and provided access to these reports in paper form, both agencies felt a responsibility to develop strategies and procedures for preserving the reports in electronic form. These two agencies have partnered with Department of Administration's Division of Information Systems and Communications (DISC), the Kansas Information Technology Officer (KITO), the executive branch Chief Information Technology Officer (CITO), the Information Network of Kansas (INK), and Legislative Administrative Services to develop a pilot project for a centralized electronic repository.

The Kansas State Publications Archival Collection (KSPACE) is a pilot project to address the long-term preservation and access requirements with a select group of legislatively mandated reports. It offers the advantages of digital distribution and long-term preservation for a variety of formats including text, audio, video, images, datasets and more.

If the pilot project is successful, the KSPACE implementation will create a centralized electronic repository for state publications to ensure their preservation and accessibility over time.

FY 2004 GOALS

Records Scheduling

The State Records Board, with assistance from the KSHS, will continue its long-term effort to approve records retention and disposition schedules for all state agencies. The Historical Society, in an attempt to leverage its small records management staff, will make available on the web site all state agencies schedules. This will further disseminate information to all state agency employees, the legal community, and the general public. The Board and KSHS support staff also will pursue further updates to local government office specific schedules.

Electronic Records Management

The Board will continue to actively promote the effective management of electronic records created by state agencies. Aware of its responsibility to ensure the preservation of all state records with enduring value, the Board recognizes that it must adopt an assertive and collaborative approach to providing electronic records management and preservation guidelines and assistance to state agencies. The Board will continue to cooperate with the Electronic Records Committee in an effort to address metadata standards, the creation of a digital archives, and other important electronic records issues.

In FY 2004 the State Records Board will continue reviewing agency recordkeeping plans in progress during FY 2003 and review subsequent plans recommended by the Electronic Records Committee as a regular function of the board. Placing state agency schedules on the web site has long been a priority and should reach fruition in FY04.

Continued developments for the Kansas State Publications Archival Collection (KSPACe) will include installation of the new release with needed customization; presentations to select legislators, Joint Committees, and the Information Technology Executive Council (ITEC); ingestion of SB605 reports, development of a funding proposal for INK; and full implementation in January 2004.

ABOUT THE SRB

Authorization

KSA 75-3502 created the State Records Board in 1945 to ensure the permanent preservation of state government records with enduring value and to provide an orderly method for the disposition of other state government records. The board, which is attached to the Department of Administration, is directed to "pass upon the requests of the state departments or other agencies for the destruction or other disposition of records." This means that in the absence of other statutory authorization, **an agency may dispose of records ONLY after obtaining the approval of the State Records Board.**

The Board has the "power to order the destruction, reproduction, temporary or permanent retention and disposition of the public records of any department or agency of the state, to establish records disposal schedules for the orderly retirement of records, and to adopt such other rules and regulations as they may deem necessary." (K.S.A. 75-3504)

Composition

The State Records Board is composed of the Attorney General, State Librarian, Secretary of Administration, Secretary of the State Historical Society, or their designated representatives, the State Archivist, and ex officio members representing agencies with records disposition requests being considered by the board. The Attorney General is the chairperson and the State Archivist is the secretary of the board.

- **Attorney General Representative:** Theresa Marcel Nuckolls, Assistant Attorney General
- **State Library Representative:** Bill Sowers
- **Secretary of Administration Representative:** Duncan Friend
- **Secretary of KSHS Representative:** Dr. David Haury
- **State Archivist:** Dr. Patricia Michaelis
- **KSHS Support Staff:** Matthew Veatch, Assistant State Archivist; Cynthia Laframboise, State Records Manager; Justin Dragosani-Brantingham, Government Records Archivist; Letha Johnson, Archivist; Scott Leonard, Electronic Records Specialist; and Cindi Vahsholtz, Library and Archives Division Secretary.

Board Procedures As Adopted on December 19, 1984

1. State Records Board procedures require regular quarterly meetings at the Kansas State Historical Society's Center for Historical Research on the second 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 are open to the public as required by the Open Meetings Act.

2. Three weeks before each meeting the State Archivist will contact each board member in order to determine whether a quorum can be anticipated. Meeting notices will also be distributed three weeks before each meeting by the State Archivist to the Secretary of State's office for publication in the *Kansas Register*.

3. Applications to the State Records Board for approval of records disposition requests, new retention and disposition schedules, revisions in existing schedules, microfilm standards, or other matters must be submitted to the State Archivist, in the format recommended by the Historical Society staff at least one month before the board meeting at which the request will be considered.

4. The State Records Board will not accept or approve retention and disposition schedule entries which establish specific retention periods and disposition instructions of records series already addressed by the General Records Retention and Disposition Schedule. Instead, such entries should make reference to the general schedule.

5. Unless it is unnecessary or infeasible, the State Archivist and/or a member of his/her staff will visit the agency and examine the records (and any microfilm copies of them) listed in each disposal request before the board meeting.

6. A written recommendation will be prepared by the Historical Society staff regarding each disposal request. In addition to conclusions regarding the historical and research value of each record series, 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.

7. Copies of the disposal authorization request forms, meeting minutes, the written recommendations of the Historical Society staff, and the meeting agenda will be distributed to all board members at least four days before each meeting.

8. Each board meeting will begin with a morning session in which representatives of requesting agencies discuss their applications. Whenever necessary, there also will be an afternoon session for careful examination of records samples and further discussion of the value of various record series or other matters brought before the board.

9. Records disposal regulations and documents concerning any other matter considered by the board will be prepared by the Historical Society staff and submitted to the Secretary of State (regulations only), the requesting agency, and each board member within one week after each meeting.

-Appendix A-

STATE RECORDS CENTER

Program Description

Closely related to the State Records Board's schedule approval activities were its continuing efforts to actively encourage agency use of the State Records Center. Authorized by the legislature in 1957 but not funded until 1992, the State Records Center began operations in fiscal year 1993 under the administration of the Library and Archives Division of the State Historical Society. While administered by the State Historical Society, the records center is separate from the State Archives--the repository for non-current state and local government records with enduring value. The records center and the archives cooperate to ensure the proper management of the state's valuable information resources.

The 22,000 square foot facility provides centralized, secure, and cost efficient storage for inactive and semi-active state government records. Agencies are afforded controlled access to their records until administrative, fiscal, and legal retention requirements are met. Records with enduring value, approximately 10% of the total, eventually will be transferred to the state archives.

Program Benefits

The records center offers several tangible benefits to individual agencies and to state government as a whole. By providing control of records in a clean, well-lit structure, the records center eliminates agency storage of records in attics, sub-basements or similarly unsuitable locations. Agencies that store infrequently accessed records in the records center also can achieve significant cost savings by freeing up prime office space for more active use and by reducing the need to purchase additional high cost filing equipment. Of equal importance, the records center's prompt and accurate retrieval service relieves agencies from the burden of devoting valuable staff time to extensive searches through cramped storage areas for semi-active and inactive files. Finally, benefits of particular significance to the State Records Board, agency use of the records center ensures that state records possessing enduring value are transferred to the state archives in a timely manner and in good condition; and, conversely, that records scheduled for limited retention are destroyed in an orderly and appropriate

fashion. The board, by encouraging agencies to take advantage of the services offered by the records center, significantly enhances its ability to fulfill its dual responsibilities of preserving state records of enduring value and providing for the orderly disposal of all other state records.

Fiscal Year 2003 Summary

Fiscal year 2003 saw 48 agencies transfer 6,862 cubic feet of records to the facility. The records center housed 61,011 cubic feet at the conclusion of the fiscal year. State agency retrieval, refiles, and interfiles requests totaled 19,317 with an average monthly retrieval rate of 1,532 files. During the fiscal year 3,309 cubic feet of records were destroyed and 683 cubic feet of records were transferred to the state archives in accordance with board approved retention and disposition schedules.

-Appendix B-

Agencies Scheduling Status

Completed Agency Schedules As Of June 30, 2003

Agency Code	Agency	Subagency Name	No. Of Series	Last Update
028	Accountancy, Board Of		24	7/14/1988
034	Adjutant General's Department		175	7/18/1994
173	Administration, Department	Printing, Division Of	29	10/30/1986
173	Administration, Department Of	Accounts & Reports, Division Of	191	4/10/2003
173	Administration, Department Of	Architectural Services, Division Of	32	1/12/1995
173	Administration, Department Of	Budget, Division Of The	14	7/13/1995
173	Administration, Department Of	Information Systems & Communications, Div. Of	104	1/13/1994
173	Administration, Department Of	Personnel Services, Division Of	244	1/10/2002
173	Administration, Department Of	Purchases, Division Of	23	10/30/1986
173	Administration, Department Of	Secretary, Office Of The	58	10/29/1987
173	Administration, Department Of	State Long Term Care Ombudsman	5	04/14/1994
039	Aging, Department On		172	1/9/2003
055	Animal Health Department		53	4/15/1999
359	Arts Commission, Kansas		31	8/8/1996
082	Attorney General		150	10/18/2001
082	Attorney General	Crime Victims Compensation Board	16	4/27/1989
094	Bank Commissioner, Office Of The State		36	7/14/1998
102	Behavioral Sciences Regulatory Board		29	10/7/1999
604	Blind, School For The		205	1/11/2001
122	Citizens Utility Ratepayers Board		15	7/14/1994
634	Conservation Commission, State		70	4/10/2003
143	Corporation Commission, State		424	10/17/2002
521	Corrections, Department Of		543	1/9/2003
149	Cosmetology, Board Of		16	10/13/1994
159	Credit Unions, Department Of		30	1/13/1999
610	Deaf, School For The		158	4/14/1994
167	Dental Board		48	1/9/1997
206	Emergency Medical Services, Board Of		25	4/10/2003
373	Fair, Kansas State		65	7/13/1995
234	Fire Marshal		23	4/10/2003

Completed Agency Schedules As Of June 30, 2003 (continued)

Agency Code	Agency	Subagency Name	No. Of Series	Last Update
247	Governmental Standards And Conduct, Comm. On		44	7/14/1998
105	Healing Arts, State Board Of		26	4/15/1999
264	Health And Environment, Department Of		759	1/9/2003
270	Health Care Stabilization Fund		9	1/9/2003
288	Historical Society, Kansas State		388	1/9/2003
296	Human Resources, Department Of		282	4/10/2003
058	Human Rights, Kansas Commission On		27	10/17/2002
328	Indigents' Defense Services, State Board Of		27	1/11/2001
331	Insurance Department		65	1/9/2003
355	Juvenile Justice Authority	Atchison Juvenile Correctional Facility	57	4/14/1994
325	Juvenile Justice Authority	Beloit Juvenile Correctional Facility	46	4/14/1994
411	Juvenile Justice Authority	Larned Juvenile Correctional Facility	46	4/14/1994
319	Juvenile Justice Authority	Topeka Juvenile Correctional Facility	46	4/14/1994
350	Juvenile Justice Authority	Central Office	20	4/10/2003
450	Lottery, Kansas		157	4/10/2003
204	Mortuary Arts, Board Of		41	4/15/1993
482	Nursing, Board Of		63	1/9/2003
147	Ombudsman For Corrections		23	4/15/1999
488	Optometry Examiners, Board Of		22	1/23/1992
523	Parole Board		39	1/14/1993
531	Pharmacy, Board Of		63	4/24/1986
671	Pooled Money Investment Board		37	10/13/1994
553	Racing And Gaming Commission	State Gaming Agency	31	4/13/2000
553	Racing And Gaming Commission		36	4/10/2003
543	Real Estate Appraisal Board		47	1/13/1999
549	Real Estate Commission		36	10/8/1998
561	Regents, Kansas Board Of		126	7/11/2001
365	Retirement System, Kansas Public Employees		54	4/10/2003
565	Revenue, Department Of		194	4/11/2002
579	Revisor Of Statutes		45	7/18/2002
622	Secretary Of State		63	4/11/2002
625	Securities Commissioner, Office Of The		39	1/11/2001

Completed Agency Schedules As Of June 30, 2003 (continued)

Agency Code	Agency	Subagency Name	No. Of Series	Last Update
626	Sentencing Commission, Kansas		36	1/13/1999
410	Social And Rehabilitation Services, Dept. Of	Larned State Hospital	204	1/9/2003
494	Social And Rehabilitation Services, Dept. Of	Osawatomie State Hospital	204	1/9/2003
507	Social And Rehabilitation Services, Dept. Of	Parsons State Hospital And Training Center	261	7/9/1992
555	Social And Rehabilitation Services, Dept. Of	Rainbow Mental Health Facility	204	1/9/2003
363	Social And Rehabilitation Services, Dept. Of	Kansas Neurological Institute	261	7/9/1992
562	Tax Appeals, Board Of		47	7/14/1993
663	Technical Professions, State Board Of		22	4/27/1989
371	Technology Enterprise Corporation, Kansas		45	10/18/2001
670	Treasurer, Office Of The		59	7/18/2002
694	Veterans' Affairs, Kansas Commission On		162	10/18/2001
700	Veterinary Examiners, Board Of		25	1/13/2000
709	Water Office, Kansas		51	7/15/1994
710	Wildlife And Parks, Department Of		178	1/25/1990

Agencies In The Process Of Being Scheduled As of June 30, 2003

Agency Code	Agency	No. Of Series
046	Agriculture, Department Of	276
300	Commerce And Housing, Department Of	51
652	Education, Board Of	257
379	Emporia State University	162
280	Highway Patrol, Kansas	79
083	Investigation, Kansas Bureau Of (KBI)	4
176	Kansas Development Finance Authority	0
367	Kansas State University	85
434	Library, State	23
629	Social And Rehabilitation Services, Dept. Of	723
276	Transportation, Department Of	10
276	Transportation, Department Of	20
682	University Of Kansas	9
683	University Of Kansas Medical Center	40
682	University Of Kansas Medical Center - Wichita	1

Agencies That Have Not Been Scheduled As of June 30, 2003

Agency Code	Agency
016	Abstracters' Board Of Examiners
100	Barbering, Kansas Board Of
118	Civil Air Patrol, Kansas Department Of
246	Fort Hays State University
266	Hearing Aid Dispensers, Board Of Examiners
368	Kansas State University College Of Technology
360	Information Network Of Kansas
446	Lieutenant Governor, Office Of The
385	Pittsburg State University
548	Public Broadcasting Council, Kansas
715	Wichita State University
522	Correctional Industries, Kansas

For More Information Please Contact:

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