

Information Network of Kansas Board Meeting Minutes

August INK Board Meeting August 1, 2017

Opening

A meeting of the INK Board was called to order at 10:04 a.m. Tuesday, August 1, 2017 at 700 SW Harrison, 2nd Floor Executive Conference Room, Topeka, Kansas by Kathy Sachs, representing the Secretary of State, with the following members present:

Matt Billingsley, representing the Secretary of Department of Revenue
Lana Gordon, Secretary of Labor
Scott Hill, representing the Kansas Bar Association (*by telephone*)
Gregg Wamsley, representing the Kansas Library Association

Others Present

Duncan Friend of the Information Network of Kansas, Inc.; Nolan Jones, James Adams, and Ashley Gordon, Kansas Information Consortium, LLC. Guests included Samuel Williams, Secretary of Revenue; Matt Veatch, Kansas State Archivist; Megan Rohleder, Electronic Records Archivist, Ryan Leimkuehler, Government Records Archivist.

Consent Agenda

The consent agenda for the meeting included the July 2017 INK Board minutes; July 2017 Network Manager Report; the following contracts for approval for KanPay Counter services: City of Kanorado, Oakley Public Library, and USD 332 – Cunningham and the list of Board expenses for approval.

Action Taken: Motion made to approve the Consent Agenda in its entirety by Secretary Gordon, seconded by Wamsley. Approved unanimously.

Action Agenda

1. Presentation on Records Scheduling by Matt Veatch, Kansas State Archivist

(See copy of page 1 of Generally Accepted Recordkeeping Principles (GARP) overview and a sample Kansas records retention schedule attached that Veatch reviewed during his presentation.)

Veatch gave a brief overview of managing records well. Sachs said that they saw that when the moved things from the old office, there were many records and it seemed like it was time to make a wise decision and get those scheduled. The Kansas Historical Society functions as the State archives that house and provides access to records of enduring value produced by Kansas State agencies. They are also responsible for working with state and local units of government to establish record retention requirements. The Historical Society also functions as a repository for the papers of organization and businesses across Kansas (like Atchison, Topeka, and Santa Fe Railroad and the Menninger Foundation). So, they are not just preserving government records.

Veatch then noted that KSHS had been the recipient of three different INK grants. KansasMemory.org (2006) where digitized historical documents are delivered - Sachs gave some examples of what could be done there (Veatch said it receives 2 million page views a year); The Kansas Enterprise Electronic

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Preservation system (KEEP), their digital archive – INK was right there helping to make sure the electronic records of state agencies are preserved; and in 2014, the Historical Society operates the Visitor Center at the Capitol and they helped fund informational kiosks used by visitors.

Veatch said the from KSHS perspective as archivists and historians, the early records of the INK Board are critical for preservation – whether that’s his institution, or some other institution. Some of those formative records are really critical from an historical standpoint. From an ongoing perspective, Veatch stated he thinks the Board would really benefit from establishing procedures, policies, processes cataloging the kind of records the Board generates, how long they should be kept, which ones should be destroyed, and which ones have enduring value and thus should be kept in perpetuity, regardless of where that is. Records containing confidential information should also be identified and protected in some way. He then went over the “GARP” with the members using some examples relevant to the Board and talked about the sample “general” records schedule he brought along, emphasizing that it would be helpful and important to do even for non-state agencies. Veatch closed by saying that if it was something the Board wanted to pursue, the Historical Society would be happy to help INK work on getting their record keeping up to date.

Sachs said she wanted to get a feeling from the Board about the need for a record keeping plan. She felt it was important that those things that had enduring value be transferred to the archive as soon as practical. She asked the other board members opinions. Gordon stated that we should keep historical information that a person can go back to see what has been done and talked about some of her experience in transitioning in as an agency head. Sachs asked Veatch if they would be willing to recommend to the Board what they think they should be kept from the perspective of enduring value. Veatch said he would be glad to do that. Billingsley stated that he felt that for sure the grant information should be kept. Friend noted that Hollingsworth had created a “box level” inventory when he left, so it would give them a head start.

Action Taken: Wamsley moved that Friend work with the Kansas Historical Society to make a recommendation as to INK’s records schedule and what should be considered to be sent to State archives for permanent retention. Seconded by Billingsley. Approved unanimously.

2. **Network Manager Report – include service outage (7/18) (Jones)**

(See copy of the July 2017 Network Manager Report for detail)

OJA: Jones told the Board that the Office of Judicial Administration contract amendment for District Court Record Search has been sent out to all district courts and they have gotten almost all of them back. Once complete, they’ll work on putting the price increase in place. **Staffing:** They have added two new developers and let one go. He is excited about the new people they’ve brought on. They continue to emphasize work on the “back end” (work tickets, LDAP, the “boring” stuff). **Issue/incident:** Jones said that he felt that if he could discuss at a high level, they could avoid executive session and that was also the preference of the Board. An issue had occurred with an automated program crawling some documents that were publicly available – it just increased volume of activity dramatically which slowed things down for about an hour and twenty minutes until they figured it out. He couldn’t say even if it was intentional, it could have just been some bad code – without going too far, he didn’t see any indication it was intentional. They put some rules in place that resolved the matter - only the Secretary of State’s Office was impacted. The way it stands, it could occur again unless some additional controls

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are in place. Sachs said it wasn't a surprise that someone tried to crawl the system. The question mark is whether or not they want to require the "Captcha", as it could be a barrier to people going out to search individually. Jones said that they had submitted an incident report and logs to the State's Chief Information Security Office (CISO) for informational purposes.

Friend mentioned that purchasing and the personnel side would run into a similar problem when he was in the Department of Administration – external parties crawling RFPs or Personnel listings. Jones agreed that there are legitimate reasons to crawl state websites. Sachs noted that they do charge \$1000 a month for the file, so if people are doing that, it could be a loss of revenue to the State. Jones closed by saying they had good relations with the Fusion center (security) in Kansas City. Sachs ended by saying she was impressed with the speed and communication around the handling of the incident.

Action Taken: None.

3. Update on 2017 Business Plan Progress (*Jones*)

Jones discussed the metrics that KIC's performance would be rated on next year. The most important one that we talked about is rebuilding legacy services which they had identified nine that are in process. They want to get as many as possible done, and nine is a good start to it. Friend indicated there was nothing in the packet, Jones was just covering it ad hoc.

Jones said they are working with the agency OJA in Wyandotte where they had considered suspending the application to do more work on it to update it and make it more stable. Develop legacy application is well on its way (example: Kansas Highway Patrol Crash log application). They are still planning on the early fall for the services showcase and still considering how they can be most effective with that. Marketing piece: Will be meeting on Friday with a small firm in Kansas City to do that work – they can do a better product than what KIC can do in-house at the moment. Better use of resources vs. trying to hire someone. They identified Web Tags for an advertising campaign – they had suggested one or two options and want to wait a little longer. Expanding services: This was to hold two focus groups to subscribe to identified to improve services. They have already started planning the first one, oriented around some issues with the call center and the complexity around payment processes. They want to get some customer thoughts before they make changes. Finally, they had a goal of meeting with at least two agencies that they currently don't do business with. The KDOT meeting on drones is a start, but they are looking at some other ones. His time has mostly been spent on making sure their top agencies get the service and attention needed. On a scale of 1-10, he feels like they are currently a 7-8.

Action Taken: None.

4. "No Charge" Service Report (*Jones*)

Jones said it has been a great exercise and he has learned a lot. He discussed the Board of Optometry where one person (Jan Murray) does everything. They built the complete system for them. Sachs asked if anything could be extracted and reused from the system, like for Board of Barbering. Jones said a lot was custom, so he didn't think so, but they should likely look at a 3rd Party Vendor tool for that. The next application he discussed was KanAccess, used for single sign-on. It is built for government. Gordon asked how many agencies used it. Adams responded that Highway Patrol uses it, the Property Tax application, Kansas Business Center, subscribers for Vehicle Records – Gordon noted it would be put up

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in front of their County Courts application, and it is used for WebFile. Subscribers also use it. Gordon asked if agencies could use it to share things. Gordon responded that in a perfect world there would be sharing on the backend, but this is more about authentication and that “you are who you say you are.” Gordon knew of an app they had with Commerce that could make use of a single sign-on. Adams said they’d had some discussion with them a while ago. Gordon needed to talk to her IT people. The last application Jones discussed was no-charge KanForm applications. Two types – to perform event registration online. The other are where it is a more permanent fixture. Jones believes there are a lot more agencies that can use something like this.

Action Taken: None.

5. **Draft 2016 INK Financial Audit (*Friend*)**

Friend spoke about the INK Financial Audit for the last year. This audit has been going on since May of this year. In the September meeting, a representative from Berberich Trahan is scheduled to come and talk over the draft of the audit. Neither the financial audit and the agreed-upon-procedures audit produced qualified findings so things came out OK. The draft included in the packet was “substantive”, but would be in final form for the next meeting. Hill asked if this was the first or the second year of the audit without an Executive Director in place. Friend stated that this audit covers calendar year 2016 so it is nine months of time where the Executive Director wasn’t there, with three months (Jan-Mar 2016) where he was. Friend said that he had to draft the documents to reflect that. Hill asked if Friend was handling the management discussions and questions. Friend confirmed that he was. Hill also asked if the auditors had any criticism of those practices without an Executive Director? Friend believes that is a good question to ask when the auditors are here, just so he doesn’t mediate any level of concern they might have. But, he feels generally that they feel the controls are adequate, but that there may be improvements that could be made in terms of timeliness. Hill indicated it wasn’t any criticism toward Friend, but he should let the auditors know that he would like some feedback on how the financials are being handled without an Executive Director.

Action Taken: None.

6. **Avamar Disaster Recovery Status**

Friend summarized the situation surround the proposed agreement. KIC, in association with NIC, does an annual disaster recovery exercise - required by the contract - in late September or October. They then report back how they did.

However, INK, by contract, has a perpetual use license for everything KIC has built for Kansas - if KIC left, INK could continue to run those apps. So, KIC running a DR exercise is good for INK, but there is a history here that relates to the contingency where INK would need to be able to make use of the code. The backup used to be on tape – the Network Manager and the Executive Director had to both sign off to get it – and there were questions about what all was on the tape, if it had all the things on it that were needed to recover and run the Network if they left. And, so that resulted in efforts over time to improve that situation bit-by-bit. Eventually, INK got a look at the tape to see what was on it, then it moved to an electronic process. Then, it got to the point where INK would basically rent some infrastructure and get a copy of the backup on an ongoing basis so that INK could do an annual disaster recovery test both to see if it would come up and also to do some validation that INK is receiving everything they need to do

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so, if needed. The technology used here is AVAMAR. The way it works is that they peel off a copy of their backup every night for INK. There is a box that sits in OITS (it doesn't have to). OITS doesn't do anything with it, but they watch it and maintain environmental. So, INK pays them around \$13,000/year as a hosting fee for that.

Fast forward to today. While it is still functioning, the AVAMAR "node" in OITS has reached its end of life – it is an "appliance" custom made to work with AVAMAR. It works well for KIC/NIC as it can be replicated to like any other AVAMAR node. But, it is behind on patches and some of those relate to security, although it is not considered a significant issue as it is only communicated with via VPN. However, Friend has not been able to devote much time to this issue so far and has not attempted to perform a recovery since Jim left. But, something does need to be done.

Friend related that he talked with the consulting people who originally helped with this (DataEdge), with the folks in OITS who are managing the box, and with Adams, but he has not yet talked with Avamar. Friend also clarified that Codero was the hosting company from whom INK rented the infrastructure, and EMC was the company that sold Avamar. What he heard is that the DataEdge people do remember it, but would like to have a conference call with KIC/NIC to confirm status and also NIC's future plans. There is a question – it could be tens of thousands of dollars for an Avamar node – as to whether or not it would be prudent to make this investment if NIC is looking to move to a new solution in the next 12-24 months. The preliminary take from OITS is that they may be trying to get out of the business of Private Cloud apps, or minimize them, and there is some PII there – but he has more conversations to investigate. So, there's a question of whether or not to host it somewhere else closer to the recovery infrastructure. Sachs asked how the data being stored at OITS vs the state's data center where, for example, SOS archives their data for disaster recovery. Friend responded that he wasn't sure, OITS was in process with a new solution and it wasn't clear. Adams confirmed that it was a standalone box, purchased from EMC, hosting in the OITS data center. Gordon talked about the status of the OITS public/private conversation. Friend said he was going to talk w/Travis Combes, the OITS Cloud Director to find out more. The members continued to discuss the status of state disaster recovery. Friend noted that OITS does not have access to this box to recover it, it is separate, a KIC/NIC backup using the proprietary Avamar technology from the data and programs they host.

Hill said that years ago we recalled that there had been numerous discussions about problems with the backup and asked if INK/KIC has ever successfully recovered from a backup, successfully meaning in the time frame. Friend stated that there is a history with KIC doing their backup per the contract and those questions apply to that. He believed that they did succeed with that on Avamar, but, to clarify, that is about "their" backup versus the one he has been talking about.

Adams then addressed the issue with the INK backup. The problems that Jim Hollingsworth and Jim Minihan were having he understood to be related to bandwidth between OITS and the data center (Codero) where they were trying to recover it. Friend said that Hill's question applied to back when they did the Philadelphia recovery and problems there.

Sachs said she thought they might consider asking for two separate reports. For KIC, a report on their last audit (disaster recovery test). She wanted to know if they ever got to the point of "Live-Live" and they should probably understand what would be the "delta". As she recalled, they had to come back with a triage list. Friend said that was in the January/February 2016. She felt they should probably review that again. She said she thought they should talk about what they want – "These should come up

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in X hours”. Jones said that would be a good opportunity to educate on how they do the DR now. She wondered if the next meeting might be too soon. They felt they could have it for that. Billingsley asked when the data was – Adams said they did not have it yet. Adams noted they went from Virginia to Texas and back. But, they have been successful for the last four years. So, Sachs asked if they could come back with a report on that for the next meeting that would be good. From the Avamar perspective, Sachs felt that they needed a recommendation, maybe even a committee. Friend said he could come back with this if he were able to talk with these people. Sachs said if he could do so, then maybe the following meeting between OITS and other parties there could be a recommendation. Friend said that would be fine, there would be some funds involved. So, Sachs confirmed that he would try to come back the next month with a report on what they were going to try to do and then perhaps the following month with recommendations (“I think these people would be involved and these are the ones to talk to”).

Action Taken: None.

7. **Kansas Business Center Update** (*Sachs / Friend*)

Friend said that they are continuing to work with agencies – a lot of talking back and forth, phone messages, etc. Kansas Department of Revenue is coming in on Friday. Working with KCC, Pharmacy Board, Dental Board, and Cosmetology. We have some more people that we need to re-contact to get additional information from. KDHE is showing some interest. Sachs noted that they should contact the Governor’s office again to get help in moving things forward with agencies. She also stated that they were still looking at doing a security audit. The issue that they are having is that they can’t find a specific open records act exemption from releasing security reports. Gordon suggested that Sachs contact her attorney Brad to see if he can find it.

Action Taken: None.

8. **Board member nomination status** (*Friend*)

Friend summarized how things had been left at the last Board meeting. He had obtained three nominees from the Kansas Bankers Association, Kansas Association of Insurance Agents, and the Kansas Society of CPAs. This position focused on “Industry”.

The next position is to be focused toward Local Government – in this case, we have a County Treasurer, Kansas Association of Counties, but lacked a third after checking with several of the groups that had been mentioned (like the League of Municipalities). He mentioned supplementing it with a representative from the Kansas Auto Dealers.

He then talked with them about possible nominees from Kansas Agribusiness for the third position. He has approached several groups that he either received no response from, or indicated they were not interested.

Sachs asked Friend to move forward with submitting the nominations for the first two.

Action Taken: None.

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9. New Business

Sachs expressed that she would like to form a committee to review and update the grants process and funding (ways to use the funds). The grant committee will be Matt Billingsley, Nolan Jones, Lana Gordon, and Kathy Sachs. Hill asked when the next grant cycle is. Friend stated it is the month of November.

Action Taken: Hill moved to adjourn meeting, seconded by Gordon. Motion passes unanimously.

Adjournment

Meeting adjourned at 11:47 a.m. The next INK Board meeting will be held at 10:00 a.m. on September 5, 2017, at 700 SW Harrison, 2nd Floor Executive Conference Room, Topeka, Kansas.

Minutes submitted by: Nikki Reed/Duncan Friend

Generally Accepted Recordkeeping Principles®

Principle of Accountability

A senior executive (or a person of comparable authority) shall oversee the information governance program and delegate responsibility for records and information management to appropriate individuals. The organization adopts policies and procedures to guide personnel and ensure that the program can be audited.

Principle of Integrity

An information governance program shall be constructed so the information generated by or managed for the organization has a reasonable and suitable guarantee of authenticity and reliability.

Principle of Protection

An information governance program shall be constructed to ensure a reasonable level of protection for records and information that are private, confidential, privileged, secret, classified, or essential to business continuity or that otherwise require protection.

Principle of Compliance

An information governance program shall be constructed to comply with applicable laws and other binding authorities, as well as with the organization's policies.

Principle of Availability

An organization shall maintain records and information in a manner that ensures timely, efficient, and accurate retrieval of needed information.

Principle of Retention

An organization shall maintain its records and information for an appropriate time, taking into account its legal, regulatory, fiscal, operational, and historical requirements.

Principle of Disposition

An organization shall provide secure and appropriate disposition for records and information that are no longer required to be maintained by applicable laws and the organization's policies.

Principle of Transparency

An organization's business processes and activities, including its information governance program, shall be documented in an open and verifiable manner, and that documentation shall be available to all personnel and appropriate interested parties.

About ARMA International and the Generally Accepted Recordkeeping Principles®

ARMA International (www.arma.org) is a not-for-profit professional association and the authority on governing information as a strategic asset. Established in 1955, its approximately 27,000 members in the United States, Canada, and more than 30 other countries around the globe include records and information managers, information governance professionals, archivists, corporate librarians, legal professionals, IT managers, consultants, and educators working in a large variety of industry sectors. The association provides in-person and virtual education, and publishes standards, technical reports, guidelines, and the bi-monthly *Information Management* magazine.

ARMA International created the Generally Accepted Recordkeeping Principles®. More information about the Principles can be found at www.arma.org/principles.

Kansas Records Retention Schedules

Results of Query:

Agency Code: 000-001 (State General Retention and Disposition Schedule. Administrative)

Page 1 of 1 showing 40 records of 40 total, starting on record 1

Agency Number: 000-001
State General Retention and Disposition Schedule
Administrative

SERIES ID	0228-000
TITLE	Administrative rules and regulations files
DESCRIPTION	Records related to the process of proposing administrative rules and regulations (KARs) for adoption. May include drafts and final copies of proposed, revised, and/or revoked regulations, correspondence, legislation and bills affecting creation of regulations, meeting minutes and sign-in sheets from public hearings, notices of meetings, tape recordings, and other related records.
RETENTION	See comments
COMMENTS	Maintain records in office for 3 years per KSA 77-421(c), or until regulation is revoked, whichever is longer. Transfer meeting minutes, drafts and final copies of regulations, and correspondence to the State Archives, destroy other documents. This retention and disposition schedule does not affect the Secretary of State's, Attorney General's, or Department of Administration's records created through their statutory review and filing responsibilities.
DISPOSITION	See comments
RESTRICTIONS	None
APPROVED	2012-04-19
K.A.R. NUMBER	53-2-171

SERIES ID	0004-000
TITLE	Agency Director's Files
DESCRIPTION	Correspondence, reports, budgets, etc. relating to the administration and operation of the agency.
RETENTION	See Comments
COMMENTS	Retain until no longer useful, then transfer to the archives for purging.
DISPOSITION	Archives
RESTRICTIONS	Portions may be restricted.
APPROVED	2001-10-18
K.A.R. NUMBER	53-2-128

SERIES ID	0005-000
TITLE	Annual and Special Reports
DESCRIPTION	General and specific reports on agency activities.
RETENTION	See Comments
COMMENTS	Retain until no longer useful, then transfer to the archives.
DISPOSITION	Archives
RESTRICTIONS	None
APPROVED	1988-07-14
K.A.R. NUMBER	53-2-075

SERIES ID 0008-000
 TITLE Attorney General Opinions
 DESCRIPTION Opinions, letters of advice, copies of legislative bills, correspondence, etc. relating to the legal interpretations written at the request of an agency seeking guidance in enforcing, obeying, or interpreting the law.
 RETENTION **005 cldr yrs**
 COMMENTS Retain in office 5 calendar years, then transfer to the archives for purging.
 DISPOSITION **Archives**
 RESTRICTIONS **None**
 APPROVED 2003-04-10
 K.A.R. NUMBER 53-2-134

SERIES ID 0009-000
 TITLE Audit Reports
 DESCRIPTION Results of audits conducted by Legislative Division of Post-Audit and other state and/or federal auditing agencies.
 RETENTION **005 fisc yrs**
 DISPOSITION **Archives**
 RESTRICTIONS **None**
 APPROVED 1988-07-14
 K.A.R. NUMBER 53-2-075

SERIES ID 0015-000
 TITLE Board Packets
 DESCRIPTION Agenda, minutes, background information, etc. relating to meetings of a board or commission.
 RETENTION **See Comments**
 COMMENTS Retain until no longer useful, then transfer 1 packet to the archives and destroy the remainder.
 DISPOSITION **See Comments**
 RESTRICTIONS **Portions may be restricted**
 APPROVED 2001-10-18
 K.A.R. NUMBER 53-2-128

SERIES ID 0016-000
 TITLE Budget Preparation Files - Annual
 DESCRIPTION Documents used in the preparation of annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.
 RETENTION **005 fisc yrs**
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2015-03-26
 K.A.R. NUMBER 53-2-184

SERIES ID 0017-000
 TITLE Budget Requests and Appeals - Annual
 DESCRIPTION Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 through 518 and associated supporting documents.
 RETENTION **005 fisc yrs**
 COMMENTS State Archives considers copies transferred through the Division of Budget to be the official record copy.
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2015-03-26
 K.A.R. NUMBER 53-2-184

SERIES ID 0022-000
 TITLE Committee Files
 DESCRIPTION Records relating to the establishment, organization, membership, policies, activities and accomplishments of internal, interagency, and advisory committees.
 RETENTION **003 cldr yrs**
 DISPOSITION **Archives**
 RESTRICTIONS **None**
 APPROVED 1998-07-14
 K.A.R. NUMBER 53-2-116

SERIES ID 0027-000
 TITLE Correspondence - Policy Related
 DESCRIPTION Incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.
 RETENTION **005 cldr yrs**
 COMMENTS Retain in office 5 calendar years, then transfer to the archives for purging.
 DISPOSITION **Archives**
 RESTRICTIONS **None**
 APPROVED 1996-01-18
 K.A.R. NUMBER 53-2-107

SERIES ID 0028-000
 TITLE Correspondence - Routine
 DESCRIPTION Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.
 RETENTION **See Comments**
 COMMENTS Retain until no longer useful, then destroy.
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 1996-01-18
 K.A.R. NUMBER 53-2-107

SERIES ID 0029-000
 TITLE Customer Surveys Forms
 DESCRIPTION Surveys compiled on customer satisfaction with the quality of service provided.
 RETENTION **003 cldr yrs**
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2002-07-18
 K.A.R. NUMBER 53-2-131

SERIES ID 0131-000
 TITLE Governor's Proclamations
 DESCRIPTION Copies of proclamations issued by the Governor's Office related to various agency activities and functions.
 RETENTION **005 cldr yrs**
 COMMENTS Governor's Office maintains the original copy.
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2006-04-13
 K.A.R. NUMBER 53-2-147

SERIES ID 0238-000
 TITLE Grant Files - Grants Applied for by State Agencies

DESCRIPTION Applications, supporting documentation, correspondence, and other records relating to federal, state, and private grants applied for by a Kansas state agency. Includes both funded and unfunded/unaccepted grant application records.

RETENTION **See comments**

COMMENTS Retain 005 fiscal years after the end of the grant period, then transfer initial grant application and any annual and final reports to the State Archives; destroy the remaining documents. Destroy unsuccessful grant applications 005 fiscal years after notification application was not accepted.

DISPOSITION **See comments**

RESTRICTIONS **None**

APPROVED 2015-03-26

K.A.R. NUMBER 53-2-184

SERIES ID 0239-000

TITLE Grant files - Grants Administered by State Agencies

DESCRIPTION Records regarding the administration of grants awarded by a Kansas state agency to other state agencies and/or local entities. May include applications, correspondence, financial documentation, reports, and other related materials from managing individual grants. Also includes records related to the overall grant program administration, which may include but is not limited to drafts of materials, dissemination information, reference information, grant program rules and guidelines, and summary reports of program outcomes.

RETENTION **See comments**

COMMENTS Retain individual grant files until final reports are received and audits, if necessary, performed + 1 year, then destroy. Retain unfunded grant applications for 1 year after decisions made and appeals, if any, completed, then destroy. Retain overall grant program administration records until superseded by updated information, then contact the State Archives for appraisal - if not accepted, then destroy.

DISPOSITION **See comments**

RESTRICTIONS **None**

APPROVED 2015-03-26

K.A.R. NUMBER 53-2-184

SERIES ID 0052-000

TITLE Hearing and Meeting Transcripts and Electronic Media Recordings

DESCRIPTION Records of agency hearings and other meetings: transcripts, audiotapes, videotapes, notes, etc.

RETENTION **See Comments**

COMMENTS Retain until no longer useful, then contact the archives for appraisal - if not accepted by the archives, then destroy.

DISPOSITION **See Comments**

RESTRICTIONS **None**

APPROVED 1988-07-14

K.A.R. NUMBER 53-2-075

SERIES ID 0057-000

TITLE Inter-Agency Work Orders

DESCRIPTION Forms used to request and record the performance of services from another state agency.

RETENTION **001 fisc yr**

DISPOSITION **Destroy**

RESTRICTIONS **None**

APPROVED 2000-04-13

K.A.R. NUMBER 53-2-123

SERIES ID 0058-000

TITLE Internal Memos - Policy Related

DESCRIPTION Internal memos, e-mail, and other correspondence that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency.

RETENTION **005 cldr yrs**

COMMENTS Retain in office 5 calendar years, then transfer to the archives for purging. Print out all electronic versions as issued and transfer to the archives for purging.

DISPOSITION **Archives**
 RESTRICTIONS **None**
 APPROVED 2000-08-17
 K.A.R. NUMBER 53-2-124

SERIES ID 0059-000
 TITLE Internal Memos - Routine
 DESCRIPTION Internal memos, e-mail, or other correspondence which pertain to routine matters.
 RETENTION **See Comments**
 COMMENTS Retain until no longer useful, then destroy.
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2000-04-13
 K.A.R. NUMBER 53-2-123

SERIES ID 0062-000
 TITLE Kansas Public Disclosure Commission Statements of Substantial Interest
 DESCRIPTION Agency copies of statements of substantial interest requested on a yearly basis and filed with the Secretary of State's office.
 RETENTION **001 cldr yr**
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 1991-10-17
 K.A.R. NUMBER 53-2-090

SERIES ID 0063-000
 TITLE Kansas Quality Management (KQM) Files
 DESCRIPTION Variety of documents relating to the planning, implementation, and documentation of KQM for the agency.
 RETENTION **See Comments**
 COMMENTS Retain until no longer useful, then transfer to the archives for purging.
 DISPOSITION **Archives**
 RESTRICTIONS **None**
 APPROVED 2000-08-17
 K.A.R. NUMBER 53-2-124

SERIES ID 0064-000
 TITLE Kansas Register Submissions
 DESCRIPTION Copies of proposed, withdrawn, emergency, and adopted rules, open meeting notices or other documents required by law to be submitted to the Kansas Register for publication.
 RETENTION **See Comments**
 COMMENTS Retain 1 year after publication, then destroy.
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2003-01-09
 K.A.R. NUMBER 53-2-133

SERIES ID 0132-000
 TITLE Legal and Public Notices
 DESCRIPTION Announcements published in the Kansas Register and the official newspapers to notify the general public of legal matters.
 RETENTION **005 cldr yrs**
 COMMENTS The Kansas Register is maintained permanently by the KSHS and the State Library.

DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2006-04-13
 K.A.R. NUMBER 53-2-147

SERIES ID 0069-000
 TITLE Legislative Relations Files
 DESCRIPTION Copies of bills, drafts of legislation, notes, correspondence, testimony etc. relating to various legislative activities.
 RETENTION **See Comments**
 COMMENTS Retain until no longer useful, then transfer to the archives for purging.
 DISPOSITION **Archives**
 RESTRICTIONS **None**
 APPROVED 2000-08-17
 K.A.R. NUMBER 53-2-124

SERIES ID 0070-000
 TITLE Lists of Outstanding Obligations
 DESCRIPTION Copies of DA forms 118 submitted to Division of Accounts and Reports to encumber funds from current fiscal year to pay for goods or services to be received during the following fiscal year.
 RETENTION **002 fisc yrs**
 COMMENTS This series does not apply to Division of Accounts and Reports.
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 2004-01-08
 K.A.R. NUMBER 53-2-137

SERIES ID 0071-000
 TITLE Litigation Case Files
 DESCRIPTION Correspondence, court documents, research materials, reports, press releases, etc. documenting agency litigation activities.
 RETENTION **See Comments**
 COMMENTS Retain precedent-setting litigation records not scheduled by agency specific schedule 5 years after case is closed, then transfer to the archives for purging. Retain all other litigation records 5 years after case is closed, then destroy.
 DISPOSITION **See Comments**
 RESTRICTIONS **Portions may be restricted per K.S.A. 45-221(a)(1)(2)(3)(4)(5)(6)(11)(14)(20)(25)(29)(30)(47), K.S.A. 60-226, and K.S.A. 60-426. Other restrictions may also apply for an individual agency.**
 APPROVED 2015-03-26
 K.A.R. NUMBER 53-2-184

SERIES ID 0074-000
 TITLE Memoranda of Understanding or Agreement - Interagency
 DESCRIPTION Formal agreements reached between state, local, and/or federal agencies. Includes correspondence and other materials related to the adoption of an agreement or any amendments.
 RETENTION **See Comments**
 COMMENTS Retain until agreement becomes inactive plus 5 calendar years, then contact the archives for appraisal - if not accepted for transfer to the archives then destroy.
 DISPOSITION **See Comments**
 RESTRICTIONS **Portions may be restricted pursuant to K.S.A. 45-221(a)(14)(20)(25).**
 APPROVED 2015-03-26
 K.A.R. NUMBER 53-2-184

SERIES ID 0075-000

TITLE	Minutes
DESCRIPTION	Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.
RETENTION	See Comments
COMMENTS	Retain until no longer useful, then transfer to the archives.
DISPOSITION	Archives
RESTRICTIONS	None
APPROVED	1988-07-14
K.A.R. NUMBER	53-2-075

SERIES ID	0076-000
TITLE	Organizational Charts
DESCRIPTION	Records documenting the agency's current organizational structure.
RETENTION	003 cldr yrs
DISPOSITION	Archives
RESTRICTIONS	None
APPROVED	2000-08-17
K.A.R. NUMBER	53-2-124

SERIES ID	0084-000
TITLE	Policy Statements
DESCRIPTION	Original copies of formal explanations of agency policies and procedures.
RETENTION	See Comments
COMMENTS	Retain until no longer useful, then transfer to the archives. Retain convenience copies until no longer useful, then destroy.
DISPOSITION	Archives
RESTRICTIONS	None
APPROVED	2000-04-13
K.A.R. NUMBER	53-2-123

SERIES ID	0088-000
TITLE	Professional Organizations Files
DESCRIPTION	Documents relating to membership/participation in professional organizations.
RETENTION	002 cldr yrs
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	2003-01-09
K.A.R. NUMBER	53-2-133

SERIES ID	0095-000
TITLE	Records Management Records
DESCRIPTION	Documents related to the management of agency records including completed survey forms, inventories, schedules, and other miscellaneous materials such as correspondence or reference materials.
RETENTION	See Comments
COMMENTS	Retain survey forms, schedules, and inventories until superseded, then destroy. Contact the archives for appraisal of other documents - if not accepted for transfer to the archives, then destroy.
DISPOSITION	See Comments
RESTRICTIONS	None
APPROVED	1993-07-15
K.A.R. NUMBER	53-2-097

SERIES ID	0097-000
TITLE	Reorganization Studies

DESCRIPTION	Records documenting actual and proposed agency organizational structure.
RETENTION	003 cldr yrs
COMMENTS	Retain in office 3 calendar years, then transfer to the archives for purging.
DISPOSITION	Archives
RESTRICTIONS	None
APPROVED	2000-08-17
K.A.R. NUMBER	53-2-124

SERIES ID	0098-000
TITLE	Request for Access to Records
DESCRIPTION	Documents related to requests for access to state agency records and agency responses prepared pursuant to KSA 45-218.
RETENTION	005 cldr yrs
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	2000-04-13
K.A.R. NUMBER	53-2-123

SERIES ID	0099-000
TITLE	Schedules - Office Activities
DESCRIPTION	Internal forms, appointment books, paper and electronic calendars used to schedule employees, office activities, vehicles, meeting rooms, etc.
RETENTION	See Comments
COMMENTS	Retain until no longer useful, then destroy or delete.
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	2000-04-13
K.A.R. NUMBER	53-2-123

SERIES ID	0108-000
TITLE	Strategic Planning Files
DESCRIPTION	Variety of documents relating to the strategic planning process for the agency.
RETENTION	See Comments
COMMENTS	Retain until no longer useful or superseded, then transfer to the archives for purging.
DISPOSITION	Archives
RESTRICTIONS	None
APPROVED	2000-08-17
K.A.R. NUMBER	53-2-124

SERIES ID	0246-000
TITLE	Training Records
DESCRIPTION	Correspondence, reports, and other records relating to the operation of agency sponsored training programs to external organizations and individuals.
RETENTION	See Comments
COMMENTS	Retain 5 calendar years or until superseded, whichever is sooner, then destroy. (See also Employee Training Records and Employee Training Course Materials)
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	2017-01-19
K.A.R. NUMBER	53-2-194

SERIES ID	0118-000
TITLE	Travel Request and Authorization Records
DESCRIPTION	Records related to employee travel: DA forms 25 (Request for Out of State Travel) and various

internal documents.

RETENTION **003 fisc yrs**
 COMMENTS See also Vouchers - Travel and Vehicle Operation Records.
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 1988-07-14
 K.A.R. NUMBER 53-2-075

SERIES ID 0120-000
 TITLE Vehicle Operation Records
 DESCRIPTION Documents related to use of state-owned motor vehicles: MP forms 1a, 2c, 3a, 3b, 10, 20, and internal agency forms.
 RETENTION **003 fisc yrs**
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 1988-07-14
 K.A.R. NUMBER 53-2-075

SERIES ID 0130-000
 TITLE Work Orders and Logs
 DESCRIPTION Internal documents used to request and record requests for the performance of maintenance or other services.
 RETENTION **003 fisc yrs**
 DISPOSITION **Destroy**
 RESTRICTIONS **None**
 APPROVED 1988-07-14
 K.A.R. NUMBER 53-2-075

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