



From Creation to Preservation

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Kansas Historical Society



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- Introduction
- Records Management
- Lifecycle of Records
- Effective Records Management
- Electronic Records Issues
- Records Management for Kansas Government
- Our Website
- State Records Board
- Records Appraisal
- Contact info/resources



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YOUR RECORDS MANAGEMENT STAFF

- ❖ Megan Rohleder
- ❖ Ethan Anderson
- ❖ Mark Cole



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Records Management



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Terms to Know

- **Series**: A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity; a file group; a record series.
- **Schedule**: The process of identifying and describing records held by an organization, determining their retention period, and describing disposition actions throughout their life cycle.



Terms to Know

- **Disposition:** Materials' final destruction or transfer to an archives as determined by their appraisal.
- **Retention:** The length of time records should be kept in a certain location or form for administrative, legal, fiscal, historical, or other purposes.



Lifecycle of Records

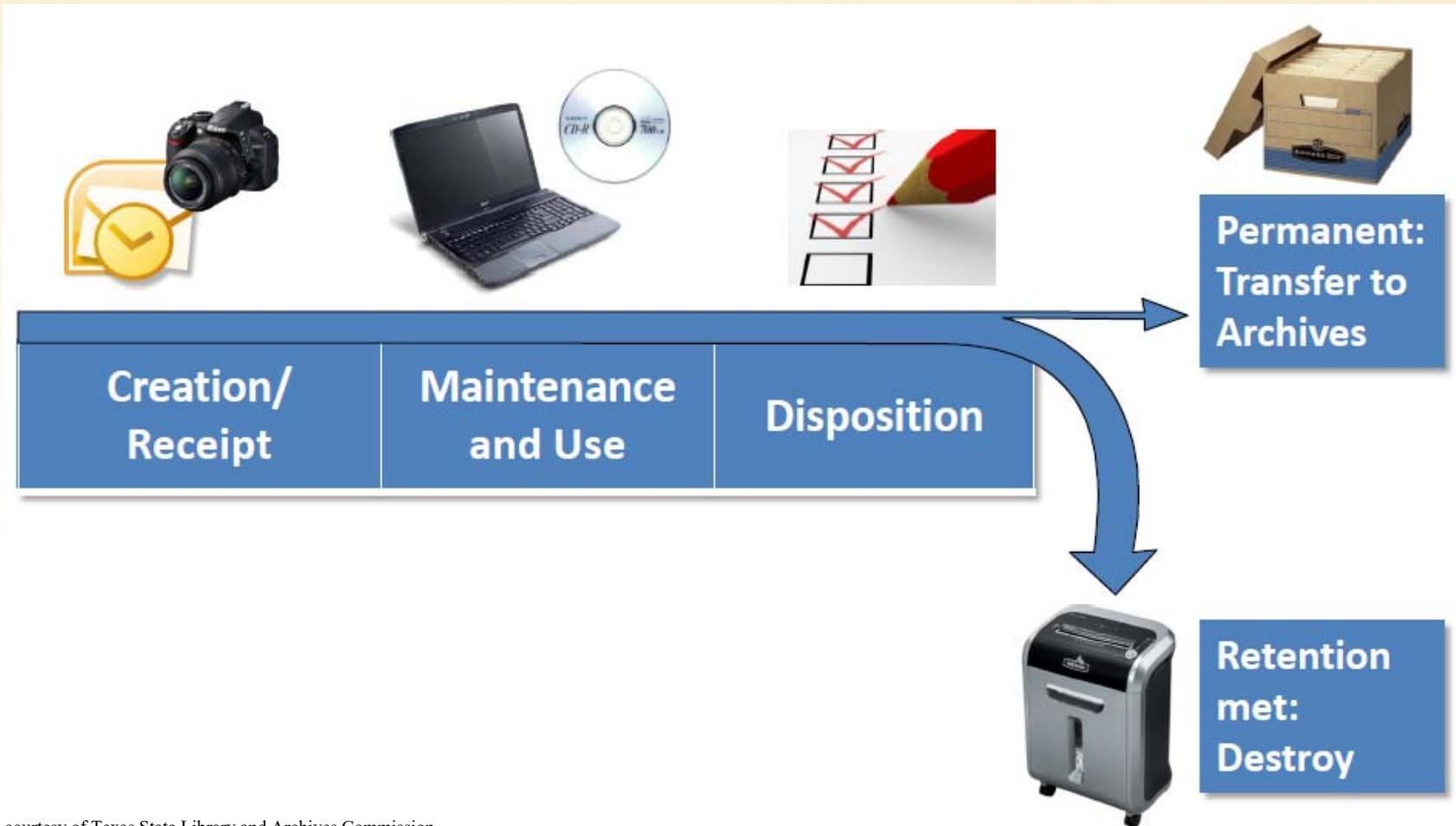


Image courtesy of Texas State Library and Archives Commission.

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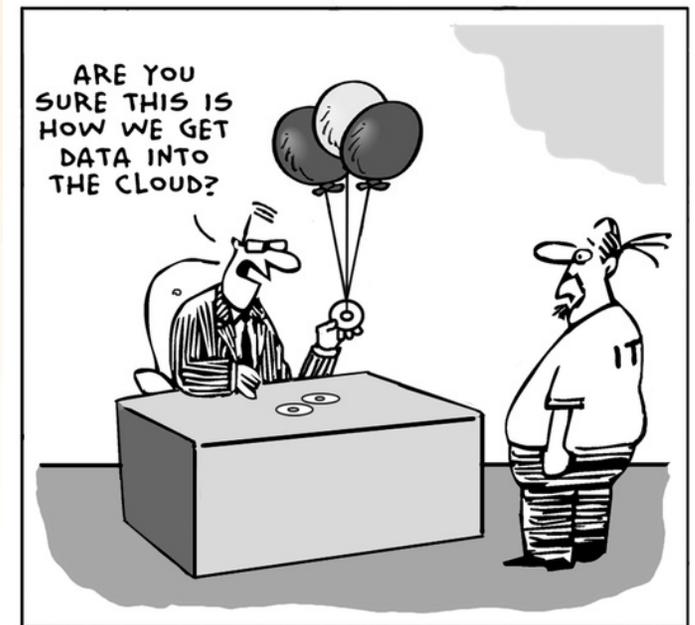
Records Management in Kansas Government



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What are government records?

- Evidence of an agency's policies, activities, and transactions
- Format DOESN'T MATTER!!!
 - Paper
 - Memos, contracts, reports
 - Microform
 - Audio-visual
 - Digital
 - E-mail, Word documents, web sites, databases, spreadsheets, social media, texts, etc.



What are government records?

- Definition – K.S.A. 45-402

“all volumes, documents, reports, maps, drawings, charts, indexes, plans, memoranda, sound recordings, microfilms, photographic records and other data, information or documentary material, storage media or condition of use, made or received by an agency **regardless of physical form or characteristics** in pursuance of law or in connection with the transaction of official business or bearing upon the official activities and functions of any governmental agency.”



“Why does this matter?”

- 1) Accountability and Transparency
- 2) Lower cost and improved efficiency
- 3) Protect records
- 4) Security
- 5) Transition to Paper-Lite Environments
- 6) Supports better management decisions
- 7) The Law



Kansas Records Statutes

- Government Records Preservation Act
 - K.S.A. 45-401 through 45-414
- Public Records Act
 - K.S.A. 75-3501 through 75-3518
- Kansas Open Records Act (KORA)
 - K.S.A. 45-215 through 45-229
- Tampering with a Public Record
 - K.S.A. 21-3821



"We fired our legal department and bought a paper shredder instead!"



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Pirates



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Captain William Kidd



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Captain William Kidd

- c.1654-1701
- English Privateer
- *Quedagh Merchant*
- French pass
- Trial



My kingdom for a records manager!



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Records Management Governance

Kansas State Records Board



KSHS Records Management Staff



Local Government



**State Agency Records
Officers**



Dealing with the SRB, ERC, and State Records Staff



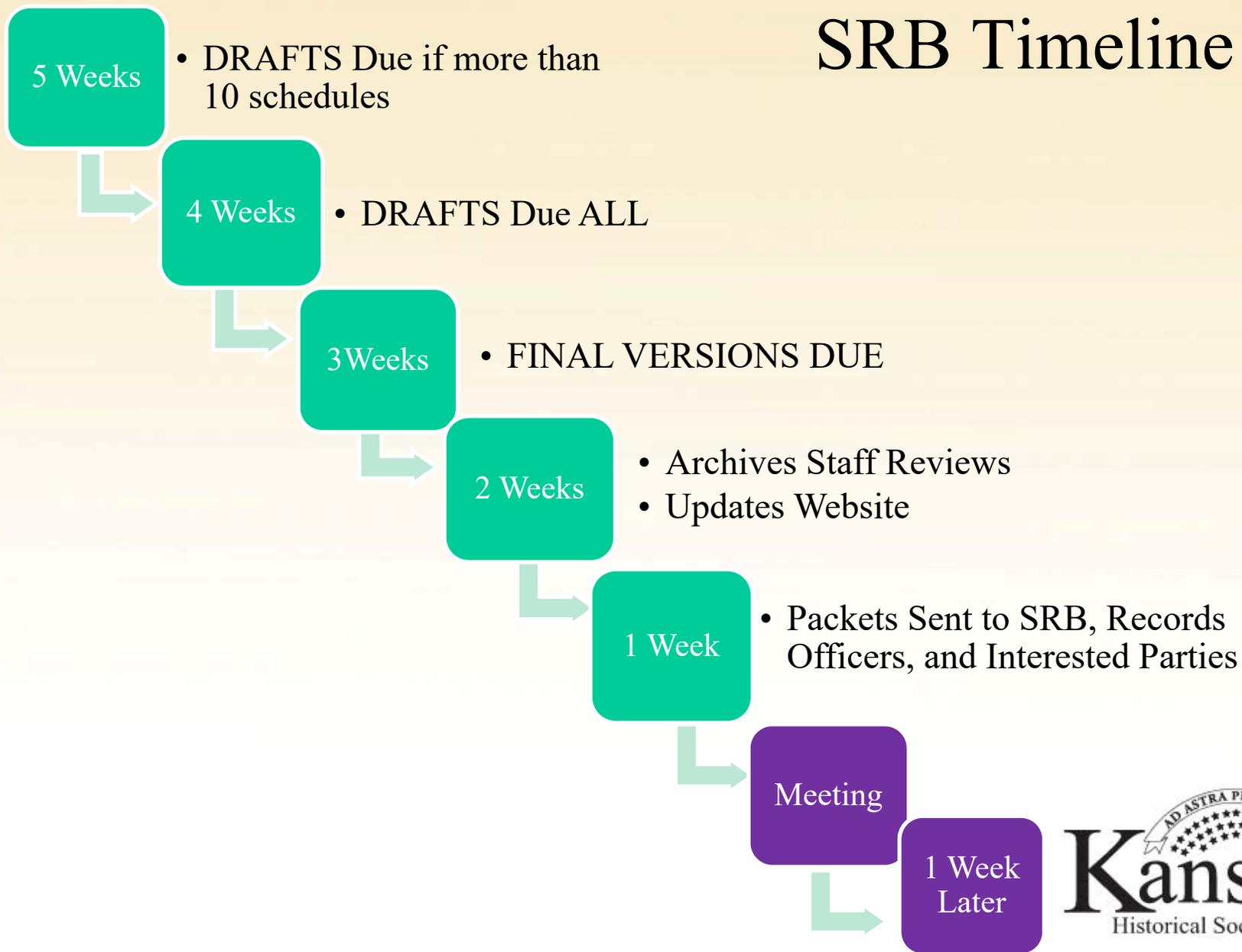
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State Records Board

- Comprised of 5 Members
 - Attorney General
 - Dept. of Administration
 - State Library
 - Kansas Historical Society
 - State Archivist
- Typically meets quarterly
- Provides guidance for records management in Kansas
- Approves retention and disposition schedules, which authorizes disposal of non-permanent records and transfer to the archives of records with enduring value.



SRB Timeline



Electronic Records Committee

- Subcommittee of the SRB with 7 members.
 - State Archivist (Chair)
 - County government
 - State agency records officer
 - Office of Information Technology Services
 - Regents institution archives/records management
 - Legal community
 - Information technology staff
- Reviews and recommends policies, guidelines, and best practices for the preservation and access of electronic records.
- Reviews Electronic Recordkeeping Plans (ERP)



The Website

The screenshot shows a web browser window displaying the Kansas Historical Society website. The browser's address bar shows the URL www.kshs.org/p/retention-schedules/11368. The website has a purple navigation bar with the following menu items: ABOUT, VISIT, RESEARCH, EDUCATE, PRESERVE, PUBLIC RECORDS, RENTALS, FOUNDATION, and SHOP. The current page is titled "Retention Schedules" and is part of a breadcrumb trail: Home » Public Records » Records retention schedules. The main content area is divided into two columns. The left column features a "Kansas Historical Foundation" section with a description of its mission and a "Kansas Historical Society" section with a description of its history. The right column contains the "Retention Schedules" heading, a brief overview of the Kansas State Records Board's approved schedules, and two search sections. The first search section is for "State General Schedule - all results" and includes fields for State, Agency Code, Agency Name, Subagency Name, Keyword, K.A.R. Number, and Series ID, along with an "Include Obsolete Series?" checkbox and a "SEARCH" button. The second search section is for "Local/County" and includes a dropdown menu for Agency Name (set to "Any/All"), and fields for Keyword, K.A.R. Number, and Series ID, also with an "Include Obsolete Series?" checkbox and a "SEARCH" button. The Windows taskbar at the bottom shows the system clock as 1:56 PM on 8/11/2016.



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Retention Schedule

SERIES ID	0049-000
TITLE	Grant Files - Funded
DESCRIPTION	Variety of documents relating to applications for federal, state, and private grants and to the implementation of those received.
RETENTION	See Comments
COMMENTS	Retain 5 years after the end of the grant period, transfer original applications and annual and final performance reports to the archives for purging, destroy remaining documents.
DISPOSITION	See Comments
RESTRICTIONS	None
APPROVED	2002-10-17
K.A.R. NUMBER	53-2-132



Recent changes to the general schedule



- ✓ Grant files
- ✓ Budget files
- ✓ More changes on the way
- ✓ What do *you* think needs to be changed?
Let us know!



Benefits of Retention Schedules

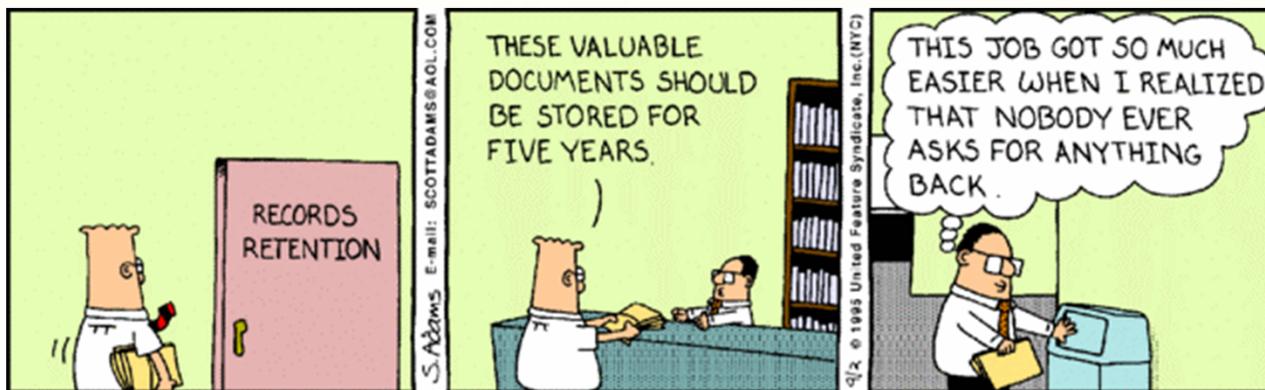
- Ensures compliance with records laws
- Identifies and protects essential records
- Helps to minimize storage requirements
 - Authorizes destruction of records that have met retention requirements
 - Allows for transfer of records to State Archives



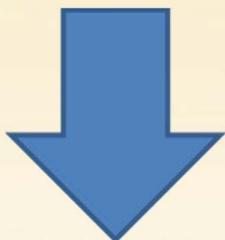
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How Do I Create/Revise An Existing Schedule?

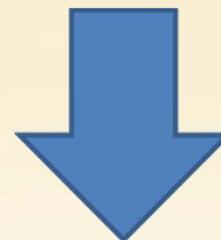
- Assess current business practices
- Are these records in paper form? Electronic? Hybrid?
- How long do they have to be maintained?
- 10+ years – need an [Electronic Recordkeeping Plan](#) (ERP)
- Consult other retention schedules



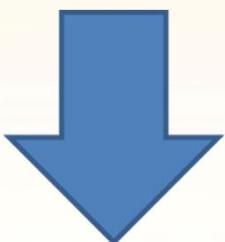
**No appropriate retention schedule
(either general or agency-specific)**



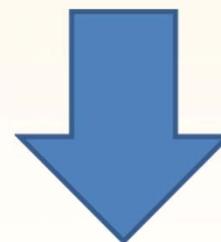
**Appropriate schedule—but it's
out of date!**



**CONTACT YOUR RECORDS OFFICER
AND KSHS RECORDS MANAGEMENT STAFF**



Create a new schedule



Revise an existing schedule



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Updating and revising your existing retention schedule

Housekeeping Changes

- Authority from the State Records Board
 - Superseding to the general schedule
 - Obsolete schedule entries
 - Minor, non-substantive changes to schedule entries

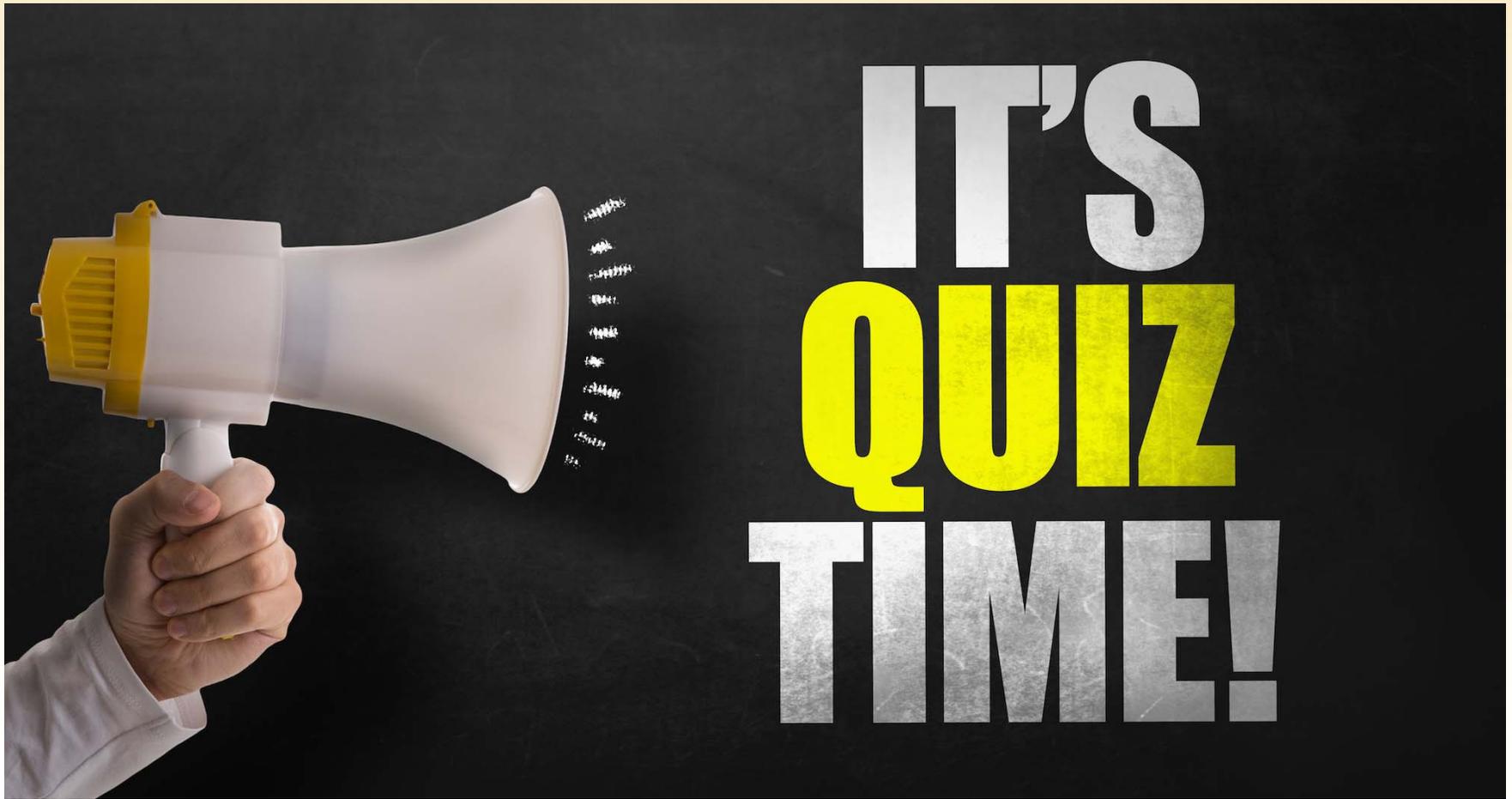


Updating and revising your existing retention schedule

Substantial Changes

- New schedule entries
- Retention/disposition changes
- No-no phrases in old retention schedules
- Reappraisal: should these records go to the State Archives?





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Example 1:

SERIES ID	0154-296
TITLE	OES Data and Control Files
DESCRIPTION	
RETENTION	009 cldr yrs
COMMENTS	These are electronic records, retain in office for 9 years then ?
DISPOSITION	See Comments
RESTRICTIONS	None
APPROVED	1987-04-30
K.A.R. NUMBER	53-2-070



Example 1:

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Example 2:

SERIES ID	0270-143
TITLE	Gas Pro-Ration Summary
DESCRIPTION	Computer listings of all pro-rated gas fields by location.
RETENTION	currt
COMMENTS	Generated from database "Pro-Rated Gas Fields Orders Database"(q.v.).
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	1988-04-14
K.A.R. NUMBER	53-2-074



Example 2:

SERIES ID	0270-143
TITLE	Gas Pro-Ration Summary
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COMMENTS	Generated from database "Pro-Rated Gas Fields Orders Database"(q.v.).
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	1988-04-14
K.A.R. NUMBER	53-2-074



Example 3:

SERIES ID	0007-058
TITLE	Attorney's Litigation Files
DESCRIPTION	Working files compiled by agency attorneys throughout the litigation process.
RETENTION	See Comments
COMMENTS	Retain until litigation is closed plus 5 calendar years, then destroy.
DISPOSITION	Destroy
RESTRICTIONS	KSA 44-1005 & KSA 45-221(a)(25)
APPROVED	2002-10-17
K.A.R. NUMBER	53-2-132



Example 3:

SERIES ID	0007-058
TITLE	Attorney's Litigation Files
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APPROVED	2002-10-17
K.A.R. NUMBER	53-2-132



Example 4:

SERIES ID	0010-247
TITLE	Complaint Files
DESCRIPTION	Documents relating to complaints filed against a state employee or state official regarding possible misconduct.
RETENTION	See Comments
COMMENTS	Retain until no longer useful, then transfer to the archives.
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	1998-07-14
K.A.R. NUMBER	53-2-116



Example 4:

SERIES ID	0010-247
TITLE	Complaint Files
DESCRIPTION	Documents relating to complaints filed against a state employee or state official regarding possible misconduct.
RETENTION	See Comments
COMMENTS	Retain until no longer useful then transfer to the archives.
DISPOSITION	Destroy
RESTRICTIONS	None
APPROVED	1998-07-14
K.A.R. NUMBER	53-2-116



Appraising Records



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What do I do?



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What does appraisal mean?

- Appraisal of government records:
 - Determining their value and disposition
 - Destroy immediately?
 - Should they be retained? How long?
 - Should they transfer to an archives or stay permanently?
 - Consider the many possible values records can have



Types of Value

- **Administrative Value**: typically pertain to the origin, development, activities, accomplishments, and functions of an agency
 - Minutes, policy and procedure manuals, etc.
- **Fiscal Value**: often needed for audit purposes
 - Accounting records, audit reports, budgets, ledgers, etc.



Types of Value

- **Legal Value:** “Usefulness or significance of records to document and protect the rights and interests of an individual or organization, to provide for defense in litigation, to demonstrate compliance with laws and regulations, or to meet other legal needs.”
 - Contracts, agreements, naturalization papers, etc.



Types of Value

- **Historical Value:** document the development of government and its policies, provide unique evidence of the lives and activities of people, describe social and economic conditions.
 - Annual reports, birth and death records, policy correspondence, etc.



Types of Value

- **Intrinsic Value**: have unique characteristics that make them interesting and worthy of retention
 - Age or time period, coverage of historical events, exhibit potential, special content, signatures or attached seals, etc.



The Appraisal Process

1. Separate records from non-records

- Keep track of records series (records series refers to a group of records that were created, arranged, and maintained as a group because they relate to a particular subject or function)
- Collect key record information/metadata
- Weed out obvious duplicates



The Appraisal Process

2. Group similar records together
3. Create records retention schedules based on the value of the records
4. “Re-house” the records – use boxes and folders as necessary
5. Compile a detailed inventory of the records



Other Appraisal Considerations

1. How much will it cost to process and preserve the records: Do you have the money in your budget?
2. Does an appropriate records retention schedule exist?
3. What are the restrictions needed for these records?
4. What is the best format to store the records? Electronic? Paper? Floppy Disk?



contact us



- Matt Veatch
(Matt.Veatch@ks.gov)
 - Electronic Records Committee Questions
 - Policy Questions
- Ethan Anderson
(Ethan.Anderson@ks.gov)
 - Schedule Questions
 - Electronic Records Questions
 - Policy Questions
 - Status of a Change or ERP
 - General Help
- Megan Rohleder
(Megan.Rohleder@ks.gov)
 - Schedule Questions
 - Electronic Records Questions
 - Policy Questions
 - Status of a Change or ERP
 - General Help
- Mark Cole
(Mark.Cole@ks.gov)
 - Forms
 - Transfers



Links to Resources

- [General Schedule](#)
- [Forms](#)
- [State Records Board Meeting](#)

