

**KENTUCKY STATE UNIVERSITY**  
**Permanent Records & Records Kept over 50 Years**

<b>Series Number</b>	<b>Description</b>	<b>Disposition Instructions</b>
<b>U0100</b>	<b>Correspondence – Official</b>	<b>Retain until no longer useful, then transfer to the University Archives for permanent retention.</b>
<b>U0103</b>	<b>Operating Manuals (documenting university functions)(Record Copy)</b>	<b>Retain one (1) copy of each manual permanently. Retain excess copies until no longer useful, then destroy.</b>
<b>U0104</b>	<b>Minutes of policy-making bodies (i.e. Board of Regents, Faculty Senate, faculty meetings, etc.)(V)</b>	<b>Transfer one (1) copy to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain excess copies until longer useful, then destroy.</b>
<b>U0108</b>	<b>Press Releases</b>	<b>Retain one (1) copy of each release permanently in the University Archives. Retain excess copies until no longer useful, then destroy.</b>
<b>U0109</b>	<b>Publications (Record Copy-university related functions, including catalogs and commencement programs)</b>	<b>Transfer one (1) copy of each publication to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain excess copies until no longer useful, then destroy.</b>

<b>U0112</b>	<b>Annual or Summary Reports</b>	Transfer one (1) copy to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain excess copies until no longer useful, then destroy.
<b>U0114</b>	<b>Reports/Special Studies</b>	Transfer one (1) copy to the University Archives for permanent retention. Retain excess copies until no longer useful, then destroy.
<b>U0115</b>	<b>Research Projects/Studies (Non-Sponsored) - Final Report</b>	Transfer one (1) copy to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain excess copies until no longer useful, then destroy.
<b>U0116</b>	<b>Speeches/Papers/Presentations (Presented by President, faculty, and administrative heads on behalf of University)</b>	Transfer one (1) copy to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain excess copies until no longer useful, then destroy.
<b>U0117</b>	<b>KY State Agency/University Cooperative Publications (which result from university research projects or programs funded by state government agencies.)</b>	Upon publication, forward three (3) copies to the Archives and Records Management Division, KDLA. Transfer one (1) copy to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain

		excess copies until no longer useful, then destroy.
<b>U0118</b>	<b>Theses/Dissertations -</b>	Transfer one (1) copy to the University Archives for permanent retention. Retain excess copies until no longer useful, then destroy.
<b>U0124</b>	<b>Policies and Procedures (May be in a manual or electronic Format)</b>	Retain one (1) copy of all editions permanently in the office of origin. Retain duplicate copies until superseded or no longer useful, then destroy.
<b>U0126</b>	<b>Records Transmittal File - Permanent Records (Locator copy - Original in Archives and Records Management Division)</b>	Retain permanently.
<b>U0128</b>	<b>Microfilm Quality Evaluation Form (Duplicate - Original in Archives and Records Management Division)</b>	Retain permanently.
<b>U0129</b>	<b>Records Destruction Certificate File</b>	Forward one copy to Kentucky Department for Libraries and Archives, Archives and Records Management Division. Retain one (1) copy permanently at university.
<b>U0131</b>	<b>Maps – This series represents maps, intended for public distribution, which consist of images and/or data plotted to show geographic points at which various objects, incidents or phenomena occur across the Commonwealth. Examples of information on these maps include, topographical or geological features, land use planning</b>	Universities should capture one (1) copy of static maps or take periodic snapshots of GIS data not captured in the KYGEONET, for permanent retention. Data should be updated when superseded. To help determine rate and methods of capture, university staff can

	<p>data or archaeological sites in Kentucky. These maps may be printed and maintained in paper or maintained in electronic format. Electronic maps may be static images or dynamic packages produced by a Geographic Information System (GIS). Some of this information is made available through the KYGEONET, Kentucky's enterprise geographic information system. The KYGEONET is Series 05431, scheduled under the Division of Geographic Information. Series contains: spatial coordinates; plotted images and/or data. May contain: appropriate metadata.</p>	<p>contact Archives and Records Management Division staff. Retain duplicate copies and copies made for internal reference until no longer useful, then destroy.</p>
<b>U0133</b>	<p>Intellectual Property File</p>	<p>Retain case file for patents issued by the United States Patent and Trademark Office until one (1) year after the expiration of patent, then destroy. Retain case file for copyrights until one (1) year after expiration, then destroy. Retain case file for trademarks permanently. Retain rejected applications for one (1) year, then destroy.</p>
<b>U0136</b>	<p>Friends Organization Records</p>	<p>Retain permanently in creating unit or transfer to the University Archives for permanent retention when no longer useful. Retain Series U0102, General Correspondence, for no longer than two (2) years, then destroy.</p>
<b>U0139</b>	<p>Hazardous Materials</p>	<p>Retain until thirty (30)</p>

	<b>Notification File</b>	years after the specific hazardous material is no longer used on campus, then destroy. A specific Safety Data Sheet may be destroyed if the university maintains a record identifying the substance used, where it was used and when it was used.
<b>U0140</b>	<b>University Organization Membership Application</b>	Retain lifetime membership applications for seventy-five (75) years, then destroy. Retain terminated membership applications until one (1) year after termination, then destroy.
<b>U0203</b>	<b>Budget - University Operating Updated description (V)</b>	Retain for two (2) years, then transfer one copy to University Archives for permanent retention. Retain other copies until no longer useful, then destroy.
<b>U0230</b>	<b>Annual or Summary Financial and Audit Reports (V)</b>	Transfer official copy of the final report to University Archives for permanent retention. Retain other copies until no longer useful, then destroy.
<b>U0238</b>	<b>Budget and Audit Work Papers</b>	Transfer record copy to Records Center, if appropriate. Retain for a total of five (5) years, then destroy. Retain other copies until no longer useful, then destroy.
<b>U0242</b>	<b>Bond Documentation File</b>	Transfer to the University Archives for permanent retention after all financial

		transactions are completed and after audit. Retain cancelled bonds and coupons until three (3) years after maturity and audit, then destroy. Retain other material permanently.
<b>U0243</b>	<b>Capital Construction Disbursements and Receipts File</b>	Retain permanently in creating unit
<b>U0244</b>	<b>Ledgers/Journals (V)</b>	Retain official copy until no longer useful, then transfer to the University Archives for permanent retention. Retain copies for three (3) years, then destroy.
<b>U0300</b>	<b>Awards Committee Records</b>	Retain until no longer useful, then transfer to University Archives for permanent retention. The University Archivist may designate another appropriate repository for permanent retention of selected records to be administered under guidelines approved by the University Archivist.
<b>U0301</b>	<b>Award Nominee Files</b>	Retain nominee files for winners permanently in the University Archives. The University Archivist may designate another appropriate repository for permanent retention of selected records to be administered under guidelines approved by the University Archivist. Retain remaining records for five (5) years or until

		the work may no longer be re-nominated, whichever is longer, then destroy. Some award programs may elect to retain these for a longer period.
<b>U0302</b>	<b>Award Presentation Materials</b>	Transfer one copy to university archives for permanent retention.
<b>U0303</b>	<b>Award Winning Works</b>	Transfer at least one copy to the University Libraries for permanent retention.
<b>U0401</b>	<b>Student Academic Performance File (V)</b>	Retain official copy permanently in Registrar's Office or transfer to the University Archives for permanent retention.
<b>U0408</b>	<b>Application/Authorization for Graduation File</b>	Retain record copy permanently in appropriate registrar's office. This may be the University Registrar or the Registrar of the appropriate college, such as medicine or law.
<b>U0412</b>	<b>Class Schedules – (Institutional record copy maintained by chief academic officer)</b>	Transfer one copy of each schedule to the University Archives for permanent retention. Retain excess copies until no longer useful, then destroy. Retain forms documenting the adding, changing or canceling of specific courses or sections until one (1) year after the semester to which they pertain, then destroy.
<b>U0421</b>	<b>Degree Awarded Files (Includes Associate, Undergraduate, Graduate)</b>	Transfer permanent documentation to Master File (401). Retain remainder until five (5)

		years after graduation or last date of attendance, then destroy.
<b>U0422</b>	<b>Disciplinary Warning/Action File</b>	Retain files documenting academic-integrity-code-violation (with sanctions) or other dismissal/expulsion permanently. Retain other files until three (3) years after graduation or last date of attendance or until three (3) years after all sanctions have been met, whichever is longer, then destroy
<b>U0432</b>	<b>Final Grade Submission Reports</b>	Retain record copy permanently in creating unit, which in some universities may be the Registrar.
<b>U0435</b>	<b>Graduation Lists – (Contains names of students completing degree requirements)</b>	Transfer one (1) copy of each list to the University Archives for permanent retention. At some universities, these may also be retained in the Registrar's Office. Retain excess copies until no longer useful, then destroy.
<b>U0449</b>	<b>Student File – College or Department Copy</b>	Transfer permanent information to Student Academic Performance File (U0401). Retain remainder until five (5) years after graduation or last date of attendance. Retain copies of this material that are not the official copy until no longer useful, then destroy.



<b>U0452</b>	<b>Student Government Files – (Contains by-laws, minutes, correspondence, agendas, etc.)</b>	<b>Transfer to the University Archives for permanent retention.</b>
<b>U0479</b>	<b>Student Awards and Honors</b>	<b>Send notification of award or honor to University Archives and Registrar at the end of each grading period to be included in student file. Retain file until no longer useful, then transfer to the University Archives for permanent retention.</b>
<b>U0480</b>	<b>Student Organization Files</b>	<b>Retain until two (2) years after no longer useful, then transfer to University Archives for permanent retention.</b>
<b>U0501</b>	<b>Accession Records</b>  <b>May contain: log listing dates of acquisition , acquisition/accession numbers, descriptions of artifacts or collections, and donor names, etc.</b>	<b>Retain permanently in creating unit.</b>
<b>U0502</b>	<b>Deaccession Records</b>  <b>May include: transfer forms to transfer ownership/custody of materials held within institutional collections to other institutions, etc.</b>	<b>Retain in creating unit.</b>
<b>U0503</b>	<b>Appraisal Records</b>  <b>May include: appraisals and valuation reports; reference materials used by appraisers; and related documentation and correspondence.</b>	<b>Retain permanently in creating unit.</b>

<b>U0505</b>	<b>Collection Management Records</b>	<b>Retain finding aids/reference guides until superseded or obsolete, then destroy. Retain all other records permanently in the creating unit.</b>
<b>U0506</b>	<b>Visitor Records</b>	<b>Retain for fifty (50) years, then destroy.</b>
<b>U0613</b>	<b>Job Description/Classification File</b>	<b>Retain permanently in creating unit. Retain department or subunit copies until no longer useful, then destroy.</b>
<b>U0620</b>	<b>Master Personnel File - (Faculty and staff) – (Contains performance evaluations, requests for tenure, personnel actions, etc.) (V)</b>	<b>Transfer master personnel file to the university archives upon termination of employment or retain in the creating unit, which in some universities is the Human Resources Office. Retain until seventy-five (75) years after creation, then destroy. Retain departmental or college copies until five (5) years after termination of employee, then destroy. Retain copies found in other units until two (2) years after termination, then destroy. Retain personnel files for temporary workers until two (2) years after</b>

		termination, then destroy.
<b>U0624</b>	<b>Retirement Reports</b>	<b>Retain 75 years in creating unit then destroy.</b>
<b>U0653</b>	<b>Promotion/Tenure File</b>	<b>Retain materials not returned to candidate in creating unit until three (3) years after official notification of decision, then destroy. Retain official notification of decision, which may be part of the candidate's Personnel File, for seventy-five (75) years, then destroy.</b>
<b>U0701</b>	<b>Blueprints, Plans and Specifications for Buildings, Grounds and Landscapes File (V)</b>	<b>Retain until no longer useful, then transfer to the University Archives for permanent retention; or retain permanently in the creating unit, which, in some universities, is the Facilities Office.</b>
<b>U0703</b>	<b>Construction/Renovation File</b>	<b>Retain until three (3) years after building project is closed, then transfer to the University Archives for permanent retention; or retain permanently in creating unit, which at some universities may be Facilities or Capital Construction Projects.</b>
<b>U0711</b>	<b>Asbestos Management and Exposure File</b>	<b>Retain asbestos management records for duration of ownership of the structure, then transfer to new owner or retain for the life of the building plus thirty (30) years, then destroy. Retain asbestos training records for one (1)</b>

		year after employee separation, then destroy. Retain asbestos exposure records for thirty (30) years after employee separation, then destroy
<b>U0910</b>	<b>Catastrophic Injury Insurance Records</b>	Retain for <b>seventy-five (75) years</b> , or until after estate settlement, whichever is longer, then destroy.
<b>U0915</b>	<b>Playbooks and Related Materials</b>	Retain in office until no longer useful, then transfer to Archives for permanent retention.
<b>U0921</b>	<b>Game Statistics Records</b>	Retain Permanently.
<b>U0922</b>	<b>Individual Athletic Competition Records</b>	Retain Permanently.
<b>U0923</b>	<b>Student Athlete Advising File</b>	Transfer permanent information to Series U0401, Student Academic Performance File. Maintain National Collegiate Athletic Association (NCAA) records for six (6) years, then destroy. Retain remainder of file until five (5) years after graduation or last date of attendance, then destroy.
<b>U1316</b>	<b>Felony Investigation Case File (V)</b>	Retain for eighty (80) years, then destroy.
<b>U1603</b>	<b>Property Records Files (This series documents property bought and sold on behalf of the university)(V)</b>	Retain permanently in creating unit, which in some universities is the Facilities Office, or transfer to the University Archives for permanent retention when no longer useful.

<b>U2200</b>	<b>Donor/Endowment Records</b>	<p><b>Retain records documenting the university's efforts to develop donors, such as correspondence or biographical data, until superseded or no longer useful, then destroy. Retain records of minor donors, such as gifts-in-kind or annual fund campaign records for seven (7) years, then destroy. Retain records of major donors, such as planned gifts or endowments, permanently.</b></p>
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**Last Updated: September 2021**