State University Model

Records Retention Schedule

Prepared by the State Records Branch
Public Records Division
Approved by the State Archives and Records Commission

Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by Kentucky's public colleges and universities. **College and university records in Kentucky can only be disposed of with the approval of the State Archives and Records Commission (the Commission). If records do not appear on the State University Model Records Retention Schedule, as approved by the Commission, colleges and universities should not destroy those records.** This agency-specific schedule was drafted by college and university personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for public college and university personnel to destroy the records listed, after the appropriate retention periods have passed.

This retention schedule applies to state college and university records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All college and university employees are responsible for maintaining records according to the State University Model Records Retention Schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

This retention schedule covers the content of records created by public colleges and universities, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

Audits and Legal Action

College and university records may be subject to fiscal, compliance or procedural audit. If an college or university should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempted from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of a college or university during and after an emergency. Vital records are also essential to the protection of the rights and interests of

colleges and universities and of the individuals for whose rights and interests they have responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used and maintained by college and university personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. College or university personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State college and university heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their respective institutions and to see that those laws are enforced**. Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

College and university personnel often make copies of records for internal use or reference purposes. Colleges and universities should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each public college or university is required to designate a member of his or her staff to serves as a records officer. The records officer represents that college or university in its records-related work with the Archives and Records Management Division. The records officer is responsible for assisting the Archives and Records Management Division in drafting the State University Model Records Retention Schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

RECORDS RETENTION SCHEDULE

Signature Page

State University Model
Agency

March 10, 2011
Schedule Date

Unit

March 10, 2016
Change Date

March 10, 2016
Date Approved By Commission

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APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Agency Head — Date of Approval

Agency Records Officer — Date of Approval

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval

Chairman, State Archives and Records Commission — Date of Approval 3/10/16

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The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Records Analyst/Regional Administrator — Date of Approval 3/10/2016

Appraisal Archivist — Date of Approval 3/10/2016

State/Local Records Branch Manager — Date of Approval 3/10/2016

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The determination as set forth meets with my approval.

Melissa Scott for Mike Harmon
Auditor of Public Accounts — Date of Approval 3/10/16

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
A. General Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0100	**Correspondence - Official (V)**	This series documents the major functions of an office and important events in its history. It documents major changes in policy and/or procedures, and admission requirements, standards in curriculum, proposals, etc.
	Access Restrictions	None
	Contents	Series contains: Memoranda, letters, reports, activities, event announcements
	Retention and Disposition	Retain until no longer useful, then transfer to the University Archives for permanent retention.
U0101	**Correspondence - General**	This series documents the general operations of each department within the university. This correspondence is not considered crucial to the preservation of the administrative history of each department. Generally, it is used in response to outside inquiries for catalogs, admission applications, copies of publications, etc. or it is used in the form of memos between departments of the university
	Access Restrictions	None
	Contents	Series contains: Memoranda, correspondence
	Retention and Disposition	Retain no longer than two (2) years, then destroy.
U0102	**Legislative File**	This series documents a working file which may be either a review of actions taken by the General Assembly or legislation proposed by university personnel. It is maintained by university officials to allow for available reference of legislative activity that relates to specific programs. The series may also contain information tracking proposed legislation, proposed administrative regulations from universities, or changes brought before the General Assembly.
	Access Restrictions	None
	Contents	Series may contain: Date of session; proposed legislative actions or proposed administrative regulations; correspondence
	Retention and Disposition	Retain for five (5) years then destroy.
U0103	**Manuals, Operating**	This series documents institutional and departmental procedures and required activities for conducting daily business. It also documents emergency activities outside the scope of routine business. These manuals are more specific and more directly related to day-to-day university operations than Series U0124, Policies and Procedures, which represent the general mission and vision of the university.
	Access Restrictions	None
	Contents	Series contains: Operation manuals, organization charts, emergency manuals, telephone directories.
	Retention and Disposition	Retain one (1) copy of each manual permanently. Retain excess copies until no longer useful, then destroy.

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State University Model
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Record Group Number
7050

Series	Records Title and Description	Function and Use
U0104	**Minutes (V)**	This series documents the official record of proceedings of meetings. It provides information about the activities of the University, the actions it took in regard to the issues brought before it, and the decisions rendered. Minutes of meetings constitute adequate and proper documentation of essential university transactions and functions, as required in KRS 171.640.
	Access Restrictions	None
	Contents	Series contains: Date, members present, appeals heard, appellant's name, discussions, decisions rendered, motions made, resulting recommendations. Examples include: Board of Trustees, Board of Regents, faculty senate, faculty meetings, other policy making bodies.
	Retention and Disposition	Transfer one (1) copy to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. excess copies until longer useful, then destroy.
U0105	**Recordings of Meetings**	This series documents the mechanical recording of meetings of university boards, or other university-related entities that establish policy, and from which minutes of the meetings are prepared.
	Access Restrictions	None
	Contents	Series contains audio or video recordings of meeting.
	Retention and Disposition	Retain until thirty (30) days after the meeting at which minutes are approved, then destroy. If minutes are disputed, retain until resolution of dispute, then destroy. Because meeting minutes are not always verbatim transcriptions, recorrdings of meetings may be forwarded to the University Archives and retained as supporting documentation.
U0107	**Photographic File (Film or Digital Images that Document University Activities)**	This series documents public college or university activities and functions in a photographic format. This series may be film or digital images. Such activities may document the administrative functioning of a university, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of a university. When creating records in this format, university personnel should properly identify the event being photographed and the participants. Digital images in this series do not include scanned images of other records already contained on the University Model Schedule.
	Access Restrictions	None
	Contents	Series contains: Photographic images and accompanying explanatory materials and finding aids or metadata.
	Retention and Disposition	Transfer to the University Archives for permanent retention.
U0108	**Press Releases**	This series represents notices distributed to media outlets regarding public university activities, programs, etc. It serves as a reference for University annual reports and the historical record. Topics and information are varied. Press releases also have long-term value as references for a university's public information department's activities and work.
	Access Restrictions	None
	Contents	Series contain information about University events, activities personnel and programs
	Retention and Disposition	Retain one (1) copy of each release permanently in the University Archives. Retain excess copies until no longer useful, then destroy.

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State University Model
A. General Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0109	**Publications**	This series provides information as to the policies and procedures required for admittance into the university, provides history of the university, shows a map of the campus, explains housing accommodations and special activities and any other general information necessary for a new or returning student. This series is useful to students, faculty, administrators and the public for research on reports, news articles, books, theses, dissertations, etc.
	Access Restrictions	None
	Contents	Examples of publications include Catalog, brochures, bulletins, newsletters, reports, athletics media guides, and commencement programs.
	Retention and Disposition	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.
U0111	**Reference and Informational Materials**	This series documents technical and/or non-technical information that is often supplied to the university by vendors as advertisement of their equipment and/or services. It can also be material supplied by other members of the university, but usually required no action by the recipient, rather is provided for informational use only.
	Access Restrictions	None
	Contents	Series contains: Handbooks, catalogs, brochures, pamphlets, information-only copies of records, logs.
	Retention and Disposition	Retain until no longer useful, then destroy.
U0112	**Reports - Annual or Summary**	This series is a summary of departmental activities for the year. It documents accomplishments and future plans for the university.
	Access Restrictions	None
	Contents	Series contains: Curriculum, enrollment, instructional quality, faculty composition, research and scholarly activity, institutional service, community service, materials and physical facilities, consolidated financial statements, university strategic plan, racial/ethnic/gender statistical reports, degrees conferred, grade distribution and other grade statistics, etc.
	Retention and Disposition	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.
U0113	**Reports - Periodic Activity**	This series is a summary of a university department's or program's activities for a specific period of the fiscal or calendar year, such as a semester or quarter. It is used to document the results of programs, as a reference for any policy or programmatic recommendations and serves as support documents for annual or summary reports.
	Access Restrictions	None
	Contents	Series contains: Series may contain: Date; addressee; administrative unit; activities; statistical information. Examples include: Curriculum, student advising, enrollment, retention, instructional quality, faculty composition, research and scholarly activity, institutional service, community service, materials and physical facilities, personnel management, fiscal management, external factors, major departmental expectations, Federal disclosure records such as athletics, university costs, crime statistics, etc.
	Retention and Disposition	Retain until annual or summary reports are accepted, and until no longer useful to the creating unit, then destroy. Retain permanently if annual or summary reports are not created. Retain Federal Disclosure Forms until three (3) years from date of required disclosure and end of award year (if appropriate), then destroy.

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State University Model
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Series	Records Title and Description	Function and Use
U0114	**Reports/Special Studies**	This series documents unpublished compilations of information related to university activities or events. The studies or reports contain important facts and statistics about the organization, policies and operations of a university. Information from the series can aid in long range planning by the university.
	Access Restrictions	None
	Contents	Series may contain: Date of report; administrative unit; authors; title; purpose of study; summary; recommendations; appendices; definitions; table of contents; text; associated publications; bibliography
	Retention and Disposition	Transfer one (1) copy to the University Archives for permanent retention. Retain excess copies until no longer useful, then destroy.
U0115	**Research Projects (Non-Sponsored) - Final Report**	This series documents final reports of research projects. Final reports provide analyses and summaries of the research data created in the projects and serve as historical records of the projects. Research data are created by faculty, staff, students, post-doctoral fellows, scholars and visiting scientists, in the course of their scholarly activities and in conducting sponsored activities funded by external agencies. The investigator, usually designated as the Principal Investigator, bears primary responsibility for the overall conduct of the research, sponsored, or scholarly activity.
	Access Restrictions	KRS 61.878 (1)(a) patient identity
	Contents	Series contains: Summaries and analyses of data created during research projects (generally in the form of a report or publication)
	Retention and Disposition	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.
U0116	**Speeches/Papers/ Presentations**	This series documents official statements, remarks, policy or information given by a university administrator or faculty member before an organization or group. This record is general in content, such as a welcoming speech, or very specific as in detailing university policy. This includes PowerPoint slides used in presentations
	Access Restrictions	None
	Contents	Series contains: Transcript of speeches; PowerPoint slides if used. The record contains the title of the speech, the speaker's name, the date of the speech, the organization for which the speech was given and where the speech was given
	Retention and Disposition	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.
U0117	**Kentucky State Agency University Cooperative Publications**	This series documents the publications, or published reports, regardless of format, which result from university research projects or programs funded by state government agencies. These publications document information on a statewide basis, and because of their relationship with the sponsoring state government agency are included in the Department for Libraries and Archives' publications holdings. Program examples include: Kentucky Department of Criminal Justice Training (Justice Cabinet) at Eastern Kentucky University; Kentucky Municipal Law Center (Kentucky Department of Local Government) at Northern Kentucky University; and the Kentucky Cancer Registry (Cabinet for Human Resources) at the University of Kentucky.
	Access Restrictions	None
	Contents	Series contains: Published reports, regardless of format
	Retention and Disposition	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.

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Series	Records Title and Description	Function and Use
U0118	**Theses/Dissertations**	This series is a compilation of theses that are written by students enrolled in a program that requires such. The thesis written by the student is a report of research conducted by the student on an agreed upon subject chosen by the student, the advisor and with the assistance of the Master's degree committee for that student. A draft copy is submitted, changes or corrections are suggested and returned to the student for final draft. A final copy is then sent to the graduate office. The original copy is retained by the library for the theses collection. This series also includes non course-work projects that are not considered theses, but that are necessary for completion of an advanced degree.
	Access Restrictions	None
	Contents	Series contains: A substantial paper written by a student seeking a degree under the guidance of a director. It may involve original research on the part of the student on any topic which is approved by the director. The contents are usually set up like a proposal or research paper such as the following: design, data and instrumentation, data analysis, time schedule, expected end product, personnel, facilities, budget, abstract
	Retention and Disposition	Transfer one (1) copy to the University Archives for permanent retention. Retain excess copies until no longer useful, then destroy.
U0119	**Audio/Video Recording File - University Activities (Does not include records scheduled according to content such as audio or video recordings of meetings, which are used to create meeting minutes. See Series U0105, Minutes - Tapes or Notes [From which written minutes are prepared]. Also does not include surveillance recordings, which are covered by Series U0132.)**	This series documents state university activities and functions in audio or video format. Such activities may document the administrative functioning of a university, its programs and operations. Information in this format (if determined to be archival), often replaces or supplements more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of a university. When creating records in these formats, university personnel should properly identify the event being recorded and the participants. Additionally, each recording should be titled and properly dated and maintained in its original order, to facilitate transfer to the University Archives, when appropriate. This series does not include records scheduled according to content, such as Series U0105, Minutes - Tapes or Notes. Series U0105 includes audio or video recordings of meetings, which are used to create meeting minutes. It also does not include surveillance recordings, which are covered by Series U0132.
	Access Restrictions	None
	Contents	Series contains: Audio or video recordings; may also contain: events, date, scripts, contracts, releases, finding aids
	Retention and Disposition	Transfer one (1) copy to the University Archives for permanent retention. Retain excess copies until no longer useful, then destroy.

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Series	Records Title and Description	Function and Use
U0120	**Research Data (Sponsored or Non-Sponsored) (V)**	This series documents research data created by faculty, staff, students, post-doctoral fellows, scholars and visiting scientists in the course of their scholarly activities and in conducting sponsored activities funded by external agencies. Research data are used to test hypotheses and to form an understanding of our world. Research data are the result of original observations and activities of a study and are necessary for reconstruction and evaluation of the final report of the project. Typically, the university owns the data, but may choose not to claim ownership if there is a specific condition to the contrary, or if the activity is considered to be the unrestricted property of the author. Generally, research data would not be needed beyond five years after submission of the final report. However, at the discretion of the university, some research data may be appropriate for long term retention, for use in subsequent studies. Also, requirements specified by the funding agency's regulations may require a longer retention period.
	Access Restrictions	KRS 61.878 (1)(a) patient identity
	Contents	Series contains: Technical data; computer software; laboratory worksheets; memoranda; notes or exact copies that are the result of original observations and activities of a study; case history records; and study protocols (synthetic compounds, organisms, cell lines, viruses, cell products, cloned DNA, as well as DNA sequences, mapping information, crystallographic coordinates, plants, animals and spectroscopic data.)
	Retention and Disposition	Retain until five (5) years after submission or publication of the final project report for which the data were collected, whichever is longer, and audit, then destroy. If retention requirements specified in funding agency's regulations are longer, the agency requirements will apply. Also, at the discretion of the university, some data may be retained longer for use in subsequent projects. If records are part of a research misconduct investigation, retain until seven (7) years after end of the investigation, then destroy.
U0122	**Nonbusiness Related Correspondence**	This series represents e-mail and other correspondence that is commonly found at all levels of an organization and is not related to university business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) University staff should delete these records upon receipt because they are not business-related, and because universities may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: Spam and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an e-mail system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employee's work time; (2) may be interspersed with business related e-mail, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of a university's e-mail and Internet acceptable use policy. Given the nature of e-mail, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing E-mail in Kentucky Government" for more information on managing e-mail correspondence.
	Access Restrictions	None
	Contents	Nonbusiness related correspondence is incoming and outgoing correspondence that may consist of: Personal messages - While a certain amount of personal material maybe acceptable, abuse of the system could lead to disciplinary action and even dismissal. All universities should have an appropriate use policy that determines the amount of personal messages acceptable on the system. Spam is the term for electronic junk mail. It is completely unsolicited and unwanted. Spam mail can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations. Unsolicited messages are e-mail that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related e-mail from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc.
	Retention and Disposition	Delete all nonbusiness related e-mail immediately. Universities are encouraged to train all employees with e-mail access to use the system for appropriate, work-related activities and to remove all nonbusiness related records immediately.

Series	Records Title and Description	Function and Use
U0123	**Request to Inspect Public Records (Open records request)**	This series documents the requests to inspect, research, or review public records created within public universities. In 1976, the General Assembly enacted the Open Records Act, KRS 61.870 to 61.884, which established a right of access to public records. All public records, regardless of format, must be open for inspection unless the records are exempted by one or more of the exemptions found in KRS 61.878, or are specifically exempted by another statute. All public universities are required to make non-exempt public records available to any requestor, and to provide suitable facilities for the exercise of the right of inspection. Each agency must adopt rules and regulations that conform to the Act. Those include: identification of the principal office of the agency and its regular work hours; title and address of the official custodian of record; fees charged for copies; and the procedures to be followed in requesting public records. This series may be in either paper or electronic format.
	Access Restrictions	None
	Contents	Series contains: Name of agency; date; records requested to inspect; number of copies of each document; cost; signature of requestor, company, address, phone; disposition of the request; signature of custodian, name of agency, amount received, date. May contain: other related correspondence; copy(ies) of records requested.
	Retention and Disposition	Retain for three (3) years, then destroy.
U0124	**Policies and Procedures**	This series documents upper level plans of an university that include its general goals and mission. Policies and procedures are developed to provide a framework in which universities manage their programs and to assist staff in their administration. Policies derive from the authority of the university, as established by the laws under which it operates. They are an authoritative communication that sets a general course or method of action. Policies guide and help determine present and future decisions. They reflect the general policies to be followed in providing services or activities.
	Access Restrictions	None
	Contents	Series may contain: Year; date; department or organizational unit; organization chart; index; introduction; mission statements; policy statements; responsibilities of division; services; program objectives; employee requirements; procedural actions; glossary of terms; sample forms
	Retention and Disposition	Retain one (1) copy of all editions permanently in the office of origin. Retain duplicate copies until superseded or no longer useful, then destroy.
U0125	**Itinerary File**	This series documents the travel or activity plans for university personnel. The purpose of an itinerary is to advise others, including the press in many cases, of the date, time, place, and purpose of the activity. Many itineraries are created days, weeks, or months in advance so that interested parties can monitor external activities of the administrator. The series is subject to change on a daily basis and has limited informational value. This includes the calendar function in e-mail programs such as Microsoft Outlook.
	Access Restrictions	None
	Contents	Series contains: Department; name of administrator; date; week or month of itinerary; list of destinations and organizations; dates and times of appointments; topics of remarks; activities
	Retention and Disposition	Retain for two (2) months, then destroy.

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State University Model
A. General Records

Record Group Number
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Series	Records Title and Description	Function and Use
U0126	**Records Transmittal File - Permanent Records (Locator copy - Original in Archives and Records Management Division)**	This series documents the transfer of custody of records of continuing or historical value from the creating agency to the Department for Libraries and Archives, as provided for in the State University Model approved records retention schedule. The transmittal is completed by the College or University's records officer and specifies the records that are being transferred by series number, title and date span. It provides the College or University with an index to the records that have been transferred and provides specific information as to the location of the records in the State Archives Center, should their retrieval be necessary. Unless restricted, records housed in the State Archives are available for research by the public, through the Archives Research Room.
	Access Restrictions	None
	Contents	Series contains: Cabinet/local jurisdiction; department/local government office; division; branch/unit; retention schedule date; total containers; permanent; destruction date (none); accession number; compiler; date; shelver; volume; location in center; box, roll, book, bundle, other; series number; title of record; date span of record; access restricted/statute; signature/date of records officer; continuation page (if applicable)
	Retention and Disposition	Retain permanently.
U0127	**Records Transmittal File - Non-permanent records (Locator copy - Original in Archives and Records Management Division)**	This series documents the transfer of custody of records of non-permanent records from the creating college or university to the State Records Center, Department for Libraries and Archives, as provided for in the State University Model approved records retention schedule. The transmittal is completed by the college or university's records officer and specifies the records that are being transferred by series number, title and date span. It provides the college or university with an index to the records that have been transferred and provides specific information as to the location of the records in the State Records Center. Records that are transferred to the State Records Center are generally administrative in nature and are still needed for the conduct of college or university business. Information from the locator copy of the transmittal is essential when requests to return records to agencies are made.
	Access Restrictions	None
	Contents	Series contains: Cabinet/local jurisdiction; department/local government office; division; branch/unit; retention schedule date; total containers; permanent/yes or no; destruction date; accession number; compiler; date; shelver; volume; location in center; box, roll, book, bundle, other; series number; title of records; date span of records; access restricted/statute; signature/date of records officer; continuation page (if applicable)
	Retention and Disposition	Retain until one (1) year after destruction of records, then destroy.
U0128	**Microfilm Quality Evaluation Form (Duplicate - Original in Archives and Records Management Division)**	This series documents the quality control process used to determine whether microfilm produced either by the Public Records Division, private certified vendors, or public colleges and universities has met quality control requirements and archival standards as set forth by the Department for Libraries and Archives. The form provides for the destruction of the hard copy records, providing all requirements and standards have been met. It is used to advise colleges and universities that the records can be destroyed or that they must be retained, due to the film not having met all requirements. If the film passes all requirements and the hard copy is destroyed, it then becomes the copy of record and is used in lieu of paper. The silver master of all film where the retention of the record is seven years or greater must be stored in the Division's vault, as security backup to the records.
	Access Restrictions	None
	Contents	Series contains: Agency; unit; date; roll number; schedule date; series number; title of records on schedule; inclusive dates; test roll number; density; resolution; reduction ratio; targets; security copy stored at Public Records Division; tested by; date; records destruction approved/disapproved; signature of agency records officer; signature of State Archivist; comments
	Retention and Disposition	Retain permanently.

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Series	Records Title and Description	Function and Use
U0129	**Records Destruction Certificate File**	This series documents that destruction of records has been carried out by public colleges and universities, in accordance with the State University Model records retention schedule. The series identifies the records being destroyed, the date span and amount, usually expressed in cubic feet, and the method of destruction. College and university records officers are responsible for ensuring that destruction requirements established by the Department are appropriately carried out on their campuses. The series documents that retention schedules are being implemented and that records that have ceased to have value are destroyed. The timely destruction of records whose retention periods have been met result in a savings to government. Colleges and universities can incur liabilities if records are destroyed that have not had a retention period approved for them by the State Archives and Records Commission.
	Access Restrictions	None
	Contents	Series contains: Planned destruction date; administrative units; schedule date; date of destruction; accession number; series number; title; security microfilm; confidential records; date span; cubic feet/rolls; unit number; location at state facility; signature of records officer
	Retention and Disposition	Forward one copy to Kentucky Department for Libraries and Archives, Archives and Records Management Division. Retain one (1) copy permanently at university.
U0130	**Minutes - University Faculty/Staff Meetings (Non-Policy-Setting Bodies)**	This series documents the record of proceedings of internal university faculty or staff meetings. These are minutes for bodies that do not set policy. Rather, the groups focus on activities including, but not limited to, providing direction, clarifying procedures, decision making among staff, or development of new ideas.
	Access Restrictions	None
	Contents	Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable
	Retention and Disposition	Retain for three (3) years, then destroy.
U0131	**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 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.
	Access Restrictions	None
	Contents	Series contains: spatial coordinates; plotted images and/or data. May contain: appropriate metadata
	Retention and Disposition	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 contact Archives and Records Management Division staff. Retain duplicate copies and copies made for internal reference until no longer useful, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
A. General Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0132	**Surveillance Video/Audio Recordings**	This record series is used to document activities in public areas of state colleges and universities. State colleges or universities may contract with private companies to provide surveillance services, in which case the college or university would still be responsible for maintaining the recordings. The cameras usually run twenty-four hours a day and record all activities in specific areas. These cameras or recording devices may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to college or university buildings or offices and anywhere the public has access. These recordings are used as a security measure in the identification of persons who cause disturbances or violate laws.
	Access Restrictions	KRS 61.878(1)(h) - Active investigation
	Contents	Video/audio recording of a certain activity or area of a facility or the outside of a facility.
	Retention and Disposition	Retain for seven (7) days, then destroy or re-use. If any investigation, litigation, or open records request involving these recordings is taking place or is pending, retain the recordings until all investigative or legal activity is completed, then destroy or re-use. College/university personnel implementing surveillance recordings should keep Archives and Records Management Division staff apprised on the technical aspects of the system.
U0133	**Patent Application File Added series 09/13/2012**	This series documents patent applications filed by or on behalf of faculty, staff, other employees or students as a result of scholarly or other activities using specialized resources of the university. Universities may exercise control over intellectual properties created under these circumstances and require disclosure of their creation. Per 35 U.S.C. 154, patent terms vary but are generally no longer than twenty (20) years from the date of filing.
	Access Restrictions	None
	Contents	Series may contain, but is not limited to: Patent application, description of inventions, correspondence, copies of the resulting patents, Disclosure of significant financial interest.
	Retention and Disposition	If patent is issued, retain until one (1) year after the expiration of patent term, then destroy. If patent application is rejected, retain until one (1) year after rejection by the United States Patent and Trademark Office, then destroy.
U0134	**Investigation File**	This series represents investigation files created and maintained by the colleges, departments, divisions or other academic or administrative units, such as Risk Management, within a college or university. The files document evidence collected and steps taken during the investigations, which may or may not result in legal action. This series also covers investigation files created and maintained by the university's legal office that do not result in legal action. Files for Investigations that result in legal action are covered by Series U2000, Litigation File.
	Access Restrictions	KRS 61.878(1)(a) and 61.878 (1)(h)
	Contents	Series may contain, but is not limited to: correspondence; memoranda; notes or statements from relevant interviews; evidentiary or explanatory materials;
	Retention and Disposition	Retain record copy six (6) years after termination or expiration of any settlement agreement, or until six (6) years after investigation is concluded, whichever is longer, then destroy. Retain other copies until no longer useful, then destroy.

Series	Records Title and Description	Function and Use
U0135	Program Client File	This series documents information and services provided to clients by programs established to deliver education, counseling or other services to the general public through the university or college. These are extra-academic programs such as the University of Kentucky College of Medicine's Kentucky Homeplace Improving Diabetic Outcomes program. These programs may be grant-funded, often with the aim of measuring results to determine effectiveness. This series does not include academic counseling files or medical files.
	Access Restrictions	KRS 61.878(1)(a) Personal Information only
	Contents	Series may contain, but is not limited to: original application/client information documentation; privacy agreement; payment information; waivers; record of information or services given.
	Retention and Disposition	If program is grant-funded, retain until three (3) years after the end of the grant project, then destroy. If program is not grant-funded, retain until three (3) years after last contact with client, then destroy.
U0136	Friends Organization Records	This series documents the efforts of groups formed to provide support to a university unit, such as a library or athletics department, largely by donations of time or financial resources. Friends groups work to establish relationships with community agencies, individuals, businesses and other groups to gain their assistance with the development and coordination of specific programs.
	Access Restrictions	None
	Contents	This series may include establishing documents such as bylaws; meeting agendas and minutes; reports, including annual financial reports; brochures; newsletter or publications; membership lists; photographs; related documentation, official and general correspondence.
	Retention and Disposition	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.
U0137	Training Course Materials	This series consists of memoranda, flyers, catalogues, registration forms, rosters, and other records relating to training courses run by various units throughout a university such as data processing or user support.
	Access Restrictions	None
	Contents	Series includes, but is not limited to: memoranda, flyers, catalogues, registration forms, rosters, course sontent materials and other records.
	Retention and Disposition	Retain until superseded or obsolete, then destroy. Retain summary schedule documenting training provided to users until any requirements are met.
U0138	Personal Information Security Breach Investigation/Notification File	This series documents a university's activities related to a breach of sensitive information it collects, stores, or maintains. Effective January 1, 2015, KRS 61.933 requires state universities that are notified of or determine that a breach has occurred in security relating to personal information they collect, maintain, or store, to notify parties listed in the statute and begin a reasonable and prompt investigation within no later than seventy-two (72) hours of discovery or notification of the breach. If the university determines that a security breach has occurred and that the misuse of personal information has occurred or is reasonably likely to occur, it must notify certain state officers and affected parties within timeframes established by the statute. If the university determines that the misuse of personal information has not occurred and is not likely to occur, the university does not have to give notice, but must maintain records that reflect the basis for its decision. The requirements of KRS 61.933 also apply if non-affiliated third parties collect, receive, maintain, or store personal information for state universities.
	Access Restrictions	
	Contents	Series may contain: Related contracts or agreements; related correspondence/notices; any records that reflect the basis for the decision of the investigation; related reports from non-affiliated third parties.
	Retention and Disposition	Retain until five (5) years after conclusion of investigation or any notifications, whichever is longer, then destroy. If any investigation, litigation, or open records request involving these records is taking place or is pending, maintain until all investigative or legal activity is completed, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
B. Fiscal Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0203	**Budget - University Operating Updated description (V)**	This series documents the budget under which the University operates for a given biennium. It is passed by the General Assembly, and contains projected revenues and expenditures for various administrative units within the university. Responsible and accountable public government requires transparency in the disbursement of public funds. These records provide documentation to support public confidence in the University's financial affairs.
	Access Restrictions	None
	Contents	Series may contain: Organizational units; revisions; requested items - next two years; General Fund, regular appropriations, salary equity allotments, projections from tax rates; total General Fund; Federal Funds; Balance Forward, current receipts, total restricted receipts; Total Funds; Expenditures by Class, personnel costs, operating expenses, grants, capital outlay, total expenditures; expenditures by unit, policy statements with divisions, grand totals of finances, summary information created for public consumption.
	Retention and Disposition	Retain for two (2) years, then transfer one copy to University Archives for permanent retention. Retain other copies until no longer useful, then destroy.
U0208	**Contracts, Leases and Agreements (Not including donor agreements, which are covered by Series U2200, Donor Records)**	This series documents the contracts, leases and agreements entered into by a university with public or private organizations or individuals. This includes all amendments or addenda to agreements. These records provide documentation for the legal agreements which the University creates or joins, and assures that all parties are aware of the tenets of the agreement. They also provide legal protection for the University should civil suit be brought concerning the agreements. NOTE: This series does not include donor agreements, which are covered under Series U2200, Donor Records, and are permanent.
	Access Restrictions	KRS 61.878(1)(c)(1) - Proprietary business information only
	Contents	This series consists of records documenting the University's participation in leases, contracts, and other agreements both within the University and with outside individuals or entities, and all records related thereto. Series will contain the names of the parties and the terms of the agreement, including any amendments or addenda. Note: This does NOT include employment contracts, which should be retained as part of the Series U0620, Personnel File.
	Retention and Disposition	Retain until three (3) years after termination or expiration, or three (3) years after terms have been met, then destroy. Retain copies until no longer useful, then destroy.
U0217	**Inventory Records - (Record Copy in Physical Plant or similar unit)**	This series documents the University's property assets in the form of equipment, office furnishings, vehicles, etc. It is used to identify what equipment is currently held by a particular administrative unit, and what equipment has been transferred, loaned or surplused. The forms or listings are updated, generally, as changes occur, but at least yearly. The series is used to complete the annual inventory, usually conducted at the end of each fiscal year. New lists are created each fiscal year to reflect changes in the status of the equipment, which supersede the previous ones. According to KRS 45.313, universities shall maintain a current inventory of equipment having an original cost of $500.00 or more. Further, per KRS 164A.575(3), a university's governing board shall require inventories of plant and equipment.
	Access Restrictions	None
	Contents	May contain: Date of Inventory Listing; Site; Description of Item; Date Item Purchased; Original Cost of Item; Assigned Inventory Number; Expected Life of Item; Replacement Value. This series includes all inventory lists such as Central Stores's Stock Status List and Food Services Inventories.
	Retention and Disposition	Maintain current list. For all forms of property except vehicles, retain until disposal of equipment. For vehicles, retain until the lifetime of equipment plus three years. Destroy after release of the Single Statewide Audit of Kentucky (SSWAK) in March or April of the destruction year. These retention periods apply to the record copies. Retain all other copies until no longer useful, then destroy.

Series	Records Title and Description	Function and Use
U0222	**Orders - Work (Departmental copy - Original in Physical Plant, maintenance or similar unit under Series U0710) Updated description**	This series is used as a request for repairs needed on campus buildings for such items as HVAC systems, electrical and plumbing repairs, carpentry work, welding and custodial services, and other necessary maintenance. Requests are made to the maintenance department. These are duplicate copies of work orders. The record copy is covered under Series U0710.
	Access Restrictions	None
	Contents	Series contains: Type of work requested, location of maintenance needed, who performed the work, how long the work took, approximate cost of work
	Retention and Disposition	Retain until maintenance is approved and completed, then destroy.
U0230	**Annual or Summary Financial and Audit Reports (V)**	This series documents the annual accounting of the fiscal status of a University, along with internal and external audits of university business and finance. Per KRS 164A.565(8), the governing board of each university makes an annual report of financial activity to the Council on Postsecondary Education. Audits may be completed by independent auditors, college or university internal audit departments, or the Auditor of Public Accounts. They may be fiscal, programmatic or compliance audits. Fiscal audits of postsecondary educational institutions must be completed per KRS 164A.570, which requires that findings and recommendations be forwarded to the Governor, the Secretary of the Finance and Administration Cabinet, the Auditor of Public Accounts, the Director of the Legislative Research Commission, the president of the Council on Postsecondary Education, and members of the college or institution's governing board.
	Access Restrictions	None
	Contents	This series consists of the University's annual financial reports, audit reports, and other records that formally document the University's fiscal and performance reporting.
	Retention and Disposition	Transfer official copy of the final report to University Archives for permanent retention. Retain other copies until no longer useful, then destroy.
U0238	**Budget and Audit Work Papers**	This series documents the compilation of information, in draft form, used to complete university operating budgets. The work papers, which may be either manually or electronically created, are developed by campus administrative units and are used to support final documentation which goes forward for inclusion in the university's formal operating budget. The series may be used to determine expenditures, disbursements, and the amount of funds that will be needed to continue to support the financial needs of individual administrative units. The work papers provide insight into the decision making process regarding actual budgetary needs. The series provides supporting documentation which may be useful in the preparation of future budgets. This series also contains the records that document procedures followed, tests performed, information obtained, and conclusions reached during audits of or performed by a university. These provide the supporting documentation for the issuance of a final budget or audit. This series does not include the University Operating Budget or the final audit, which are covered under Series U0203, Operating Budget - University, and Series U0230, Annual or Summary Financial or Audit Reports.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Types of records included in this series include, but are not limited to: Duplicate budget forms; statistical information; reports of expenditures, disbursements and encumbrances; and related correspondence. Budget Allocation Files; Budget Requests (Note: This is a change from a 2-year retention); Budget Change Files (Note: This is a change from a 2-year retention); Departmental Operating Budgets; Research Project Budgets; Correspondence, memoranda, printouts, tax information, communications with private individuals, work programs, analyses, letters of confirmation and representation, abstracts of agency documents, and schedules or commentaries prepared or obtained by the auditor.
	Retention and Disposition	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.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
B. Fiscal Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0239	**General Financial Records**	This series represents general records that document the acquisition and disposition of funds during the course of University business. Records of this type may be subject to audit are those that relate to financial transactions or represent an audit trail. Audits may be fiscal, procedural, or compliance in nature, and may be conducted by state, federal, or internal authorities. Fiscal audits of postsecondary educational institutions must be completed per KRS 164A.570. Unless otherwise supported by Kentucky Revised Statutes or federal regulations specifying a longer period, the retention requirement for records subject to audit, as approved by the Auditor of Public Accounts, is three years. If a university is aware of the need to maintain records longer than the standard three year period, as may be the case with some federal audits, all affected records should be retained until the final audit report has been completed and the retention period met. In no case should records which have been identified as subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements. A state-level audit is considered completed for all public universities once the State Auditor has released the Single Statewide Audit of Kentucky (SSWAK) for a given fiscal year, usually at the end of March or beginning of April for the preceding fiscal year.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Types of records included in this series include, but are not limited to: banking records, accounts receivable records and accounts payable records. Examples of these include bank statements; cancelled checks; deposit slips; disbursements; reimbursements; reconciliation statements; vouchers such as cash vouchers; bookstore daily reports; cash register receipt tapes check registers; invoices; refund authorizations; salary distribution papers; procurement card materials; billings; purchase orders; and travel authorizations. This list is not exhaustive. The series applies to general university financial records.
	Retention and Disposition	Retain record copy for three (3) years or until after audit is completed, whichever is longer, then destroy. Retain departmental copies for three (3) years, then destroy.
U0242	**Bond Documentation File**	This record series documents each bond issue and subsequent activity. It is a record of when the bonds are issued and when they mature. This gives a history of debt service. This record series also documents that bond coupons have matured and have been presented for payment. The coupons are cancelled by the bank or financial institution when paid. Cancelled bonds and coupons are received along with a bank statement. After the bond issue has been completed with all payments paid the bond is cancelled as well.
	Access Restrictions	None
	Contents	This record series contains the name of issuer, name of series, date, denomination, numbers, interest rate, first interest coupon payable on, coupon payable thereafter on, at which bank payable, amount issued, bond numbers, number of bonds due, denomination of bonds due, maturity dates, funds sent paying agent, date fund sent, amount sent, including agents charges). Record of interest coupons: bond numbers, date cancelled, interest coupon numbers and the certificate of disposal. Cancelled bonds and coupons contain name of issuer, purpose, amount, interest rate, trustee, date of issue, payable date, description, certification, the coupon statement, date number and amount.
	Retention and Disposition	Transfer to the University Archives for permanent retention after all financial transactions are completed and after audit. Retain cancelled bonds and coupons untl three (3) years after maturity and audit, then destroy. Retain other material permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
B. Fiscal Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0243	**Capital Construction Disbursements and Receipts File**	This series documents the disbursement of funds for capital construction projects at public universities. As defined by KRS 7A.010 (1), capital project means (a) any undertaking which is to be financed or funded through an appropriation by the General Assembly of general fund, road fund, bond fund, trust and agency fund, or federal funds; (b) any undertaking which is to be financed by a capital expenditure for use by state government or one of its departments or agencies; (c) any capital construction item, or combination of items necessary to make a building or utility installation complete, estimated to cost $600,000 or more, or any item of movable equipment estimated to cost $200,000 or more, regardless of the source of funds; (d) any lease of real property whose value is $200,000 or more; (e) any lease of an item of movable equipment if the total cost of the lease, or lease-purchase, or lease with an option to purchase is $200,000 or more; or (f) any new acquisition, upgrade, or replacement of an information technology system estimated to cost six hundred thousand dollars ($600,000) or more. Under the terms of KRS 7A.100, the Capital Planning Advisory Board of the General Assembly prepares a state capital improvement plan and makes funding recommendations to each branch head as to state spending for capital projects.
	Access Restrictions	None
	Contents	Series may contain: Date of progress payment; capital construction project number; location; agency/department; account type; amount of payment; account balance. It also may contain supporting documentation such as copies of invoices, payment vouchers, work orders, etc.
	Retention and Disposition	Retain permanently in creating unit
U0244	**Ledgers/Journals (V)**	This record series is used to document fund activity for the year. Usually this record is part of the year to date compilation of monthly reconciliation so the June portion is considered the annual ledger. This series documents the annual receipts and disbursements history for the university.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series may contain: Date; administrative unit; credit columns for receipts; expenditure columns; transaction entries; account codes; account categories; grand total expenses for month and year; remarks
	Retention and Disposition	Retain official copy until no longer useful, then transfer to the University Archives for permanent retention. Retain copies for three (3) years, then destroy.
U0245	**Federal Tax Forms**	This series includes federal tax forms completed by university personnel in the course of university business. Examples of these include forms filled out to document tax-exempt status or charitable activities.
	Access Restrictions	None
	Contents	Example of these forms include but are not limited to IRS Form 990 (Return of Organization Exempt from Income Tax); IRS Form 5227 (Split-Interest Trust Information Return); IRS Form 1041-A (Trust Accumulation of Charitable Amounts); Schedule K-1 (Form 1065) [Partner's Share of Income, Deductions, Credits, etc.]
	Retention and Disposition	Retain official copy until four (4) years after the date the tax is due or the date the tax is paid, whichever is later, then destroy. Retain other copies until no longer useful, then destroy.
U0246	**Department or Cost Center Request Form**	This series documents action taken on various departments or other cost centers on a university campus. Requests may be to establish, change, block or delete these entities. Cost centers are established so that entities within the university can conduct financial business.
	Access Restrictions	None
	Contents	Series may include: Department/Cost Center name and identifier; justification; date action is effective; responsible parties; approvals; assigned funding categories or other codes.
	Retention and Disposition	Retain current form. Retain outdated forms until superseded, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
B. Fiscal Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0247	**Invitation for Bid/Request for Proposal File**	This series documents invitations for bid (IFB) and requests for proposals (RFP) sent out by public colleges and universities. An IFB is used to obtain competitive pricing for any requisition for tangible items or service(s) that are well defined and for any type of acquisition that is not considered a sole source purchase. An RFP is used for goods and services that require a more value-oriented procurement process, a more complex vendor evaluation and selection process, and involve negotiations.
	Access Restrictions	KRS 61.878(1)(a) and (c)(1) - Personal or proprietary business information only
	Contents	Series contains: (Invitation for bid) IFB File: Original IFB and any addendums, copy of vendor's response with insurance certificate, if applicable. Price contract and/or copy of purchase order, vendor list, tab sheet, memorandum to file and copy of Terms and Conditions. Request for proposal (RFP) File: Original RFP and any Addendums, Questions and Answers, copy of vendor's technical and financial response, Best and Final Offer, if submitted, Insurance Certificate, if applicable. Memorandum to file, copy of vendor list, Short List Letter, Award Letter of Recommendation from Chairperson, signed confidentiality statements, approval from Director for evaluation committee members. If pre-proposal conference was held, sign-in sheets along with minutes, if taken and copy of Terms and Conditions.
	Retention and Disposition	Retain successful bid or proposal files for three (3) years or until after audit, whichever is longer, then destroy. Retain unsuccessful bid or proposal files for one (1) year or until after audit, whichever is longer, then destroy.
U0248	**Surplus Property Sales File**	This series documents the sale of surplus property by public colleges and universities per KRS 164.410(2) and KRS 164A.575(7). The institution must describe the property and explain why it is surplus before it can be sold. Unless the college or university's governing body deems it in the best interest of the institution to do otherwise, property shall be sold either by invitation by sealed bid or by public auction.
	Access Restrictions	None
	Contents	Series includes request to dispose of surplus property (description of property and reasons it is surplus); justification for determination by the governing board of property as surplus; records documenting sale of property.
	Retention and Disposition	Retain for three (3) years or until after audit, whichever is longer, then destroy.
U0249	**Vendor Lists**	This series documents vendors with which public colleges and universities do business. These lists are utilized to issue purchase orders and pay vendors. The file expands and contracts as vendors are added and deleted.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains: Data related to the issuance of a purchase order or payment of a vendor. The list includes vendor address, telephone number, federal employee identification number, and payment terms.
	Retention and Disposition	Maintain current file. Retain non-current lists until obsolete, then destroy.
U0250	**Electronic Funds Transfer Supporting Data File**	This series documents information provided to banks by public university staff to facilitate the electronic transfer of funds. University staff create the files and upload them to the bank's system. Examples of these transfers include student payments, university accounts payables and payroll. A new file is created each time money is transferred, and files are compared to the day's transactions to verify accuracy. Once a file is successfully uploaded, there is no need for university to retain the supporting data file. Total funds transferred are reflected in reports and bank statements.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series includes: university name and ID number; date of entry; date requests/debits are settled; description of credit and debits in the batch; destination of the funds; recipient's name and account number; dollar amount of payment; total funds for the batch; totals for each type of entry.
	Retention and Disposition	Retain until file is properly uploaded to the bank and after it has been verified for accuracy, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
C. Awards Committees

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0300	**Awards Committee Records**	This series documents the administration of awards given by Kentucky's public universities. Awards may be given to students, administration, faculty, staff, or private citizens for academic work, athletics, teaching, service, or any other appropriate category. Award committees generally accept nominations, coordinate judging, selects a winner, and bestow the award. These records document the process of winnowing nominees to finalists and selecting a winner. The process and the criteria vary widely from award to award. The committee itself selects from among the finalists by using critical review documents, a numeric scoring system, or coming to a consensus.
	Access Restrictions	None
	Contents	Series includes but is not limited to: Minutes of committee meetings, reviews of nominated works, scoring sheets, correspondence with judges, and other related records documenting the selection process.
	Retention and Disposition	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.
U0301	**Award Nominee Files**	These records document nominees to receive awards from public universities. Awards may be given to students, administration, faculty, staff or private citizens for academic work, athletics, teaching, service, or any other appropriate category. The process of selecting a winner and the criteria by which the winner is chosen from among the nominees vary widely from award to award. The committee itself selects from among finalists by using critical review documents, a numeric scoring system, or coming to a consensus.
	Access Restrictions	None
	Contents	Series may contain but is not limited to nomination forms; a nominee information form, curriculum vitae and biographical information of the nominee, letters of support for the nomination, photographs of the nominee, correspondence between the nominee and committee; a copy of the nominated work.
	Retention and Disposition	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.
U0302	**Award Presentation Materials**	These records document winners' acceptance of awards given by public universities. Awards may be given to administration, faculty, staff, or private citizens for scholarship, athletics, teaching, service, or any other appropriate category. Awards may be accepted at public presentations, lectures, or in other formats, and may be documented through video formats, texts such as speeches, or by other means.
	Access Restrictions	None
	Contents	Audio or video recordings, transcripts, prepared notes, or other materials relating to public lectures or other events documenting acceptance by award winners. This series may also include recordings or records of the award ceremonies and banquets.
	Retention and Disposition	Transfer one copy to university archives for permanent retention.
U0303	**Award Winning Works**	This series represents the works for which individuals win awards at public universities. In cases where the recipient wins an award for a particular work, a copy of the work should be maintained to document the work and/or ideas for which the award was given.
	Access Restrictions	None
	Contents	Series contains books, articles, musical recordings and scores, or other published sources that earn university awards.
	Retention and Disposition	Transfer at least one (1) copy to the University Libraries for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
D. Student/Course Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0400	**Academic Action Authorization File**	This series documents the official creation of and changes to a student's academic performance file (Series U0401).
	Access Restrictions	KRS 61.878(1)(a) - Personal information; 20 USC Section 1232g et seq.; KRS 164.283
	Contents	Series contains: Name Change Authorization; Registration Forms; Residency Classification Forms File; College level Exception Forms; Withdrawal Authorization File; Leave of Absence Forms; Major changes; Certification of Second Majors and Minors.
	Retention and Disposition	Retain until five (5) years after graduation or last date of attendance, then destroy.
U0401	**Student Academic Performance File (V)**	This series documents academic performance of all levels of students enrolled in classes at the university. The students may be high school students taking college courses, undergraduates or graduate students. This series does not apply to certification or continuing education programs, which are covered under Series U0457 and Series U0481 respectively. It also does not apply to Medical Resident Student Files, which are covered by Series U0482.
	Access Restrictions	KRS 164.283; KRS 61.878(1)(a) - Personal information
	Contents	Series contains but is not limited to: Student name/name change authorizations/contact information/identifier; grade information; Change of address form; Change of Grade Form/File; Student Class Schedules; narrative evaluations; competency assessments; admissions, enrollment and academic documentation; examinations for credit or placement tests; waivers/substitutions of courses requested for degree requirements; demographic information; transfer credit evaluations; information on academic dismissal or any academic integrity code violations with sanctions.
	Retention and Disposition	Retain official copy permanently in Registrar's Office or transfer to the University Archives for permanent retention.
U0402	**Acceptance Letters and Related Materials**	This series is used to inform prospective students that they have been admitted to the college or university, and to communicate with enrollees regarding various aspects of their admission. This series covers correspondence with students who enroll and students who do not.
	Access Restrictions	Please see Contents Section.
	Contents	Series contains all correspondence related to student admission actions, including but not limited to: Acceptance letters; Admission Communication Packets from particular departments; other correspondence. Access restrictions for this Series are found in 20 USC Section 1232g et seq, and KRS 164.283 for enrolled applicants and in KRS 61.878(1)(a) for non-enrolled applicants.
	Retention and Disposition	Retain materials for students who enroll five (5) years after graduation or last date of attendance, then destroy. Retain materials for students who do not enroll one (1) year after application term, then destroy.
U0404	**Entrance Examination Reports/Test Scores**	This series documents reports of test scores on entrance examinations taken by prospective students, whether the students enroll or not. The series includes scores such as those on ACT, SAT and any other exams that serve as the basis of admittance to the university. This series does not include Advanced Placement (AP) reports or scores, which are included in Series U0401.
	Access Restrictions	Please see Contents Section.
	Contents	Series includes all exams for college entrance, for example ACT, MCAT, SAT, TOEFL, LSAT, or GRE. Access restrictions for this Series are found in 20 USC Section 1232g et seq, and KRS 164.283 for enrolled applicants and in KRS 61.878(1)(a) for non-enrolled applicants.
	Retention and Disposition	Retain materials for students who enroll five (5) years after graduation or last date of attendance, then destroy. Retain materials for students who do not enroll one (1) year after application term, then destroy.

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Series	Records Title and Description	Function and Use
U0406	**Applications for Admission or Readmission File**	This series provides a record of all levels of students applying for admission or readmission to a public university or community college. It documents both students who enroll and students who do not, and serves as vehicle for capturing student demographic data and other pertinent information applicable to the admissions process.
	Access Restrictions	Please see Contents Section.
	Contents	Series contains, but is not limited to: Information about the public university or community college, services provided, and instructions on how to complete the application. A completed application may contain student personal or demographic data, semester applying for, major field of study, colleges attended, test scores and dates, residency, citizenship, transcripts from schools attended, transfer credit evaluations, examinations for credit or placement tests, letters of recommendation, military documents, correspondence, etc. Access restrictions for this Series are found in 20 USC Section 1232g et seq, and KRS 164.283 for enrolled applicants and in KRS 61.878(1)(a) for non-enrolled applicants.
	Retention and Disposition	Retain records of students who enroll five (5) years after graduation or last date of attendance, then destroy. Retain incomplete applications and records of students who do not enroll one (1) year after application term, then destroy.
U0408	**Application/Authorization for Graduation File**	This series documents that students have met a college or university's qualifications to graduate and have applied in a timely fashion to have a degree conferred in a given semester.
	Access Restrictions	Please see Contents Section.
	Contents	Series includes: Application for Graduation; student name; degree requirements; list of courses and grades; authorization by auditor. Access restrictions for this Series are found in 20 USC Section 1232g et seq, and KRS 164.283 for enrolled applicants and in KRS 61.878(1)(a) for non-enrolled applicants.
	Retention and Disposition	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.
U0410	**Class Rosters**	This series documents the names of students officially enrolled in a course, and is used for registration and statistical reports. This series does not include class lists for continuing education or certification courses.
	Access Restrictions	KRS 164.283; 20 USC 1232g et seq - Students. KRS 61.878(1)(a) - Faculty
	Contents	Series contains: lists of student names, course number and professor's name.
	Retention and Disposition	Retain for one (1) year, then destroy.
U0411	**Class Schedules - Student/Faculty Copies**	This series documents classes for each semester, topics covered in each class, times of classes, and instructor for each class. It also includes the final examination schedule for faculty members. Series is used as documentation of workload for faculty applying for promotion and/or tenure, and to determine class needs for the future. It also serves as a planning document for faculty members who are teaching a particular class for the first time.
	Access Restrictions	KRS 61.878(1)(a) - Personal information
	Contents	Series contains: Topics for each class, times for each class meeting, instructor of each class, daily assignments, text required for each class, enrollment figures
	Retention and Disposition	Retain until obsolete, then destroy.

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Series	Records Title and Description	Function and Use
U0412	**Class Schedules (Institutional record copy maintained by chief academic officer)**	This series is a list, for public use, of course offerings that are available for a given term as well as the final examination schedule for the semester. That information is stored and maintained electronically. This series also includes associated policies and procedures of key activities associated with registration such as fee payment instructions, refund policies, student support services, final examination schedules, maps and directories.
	Access Restrictions	None
	Contents	Series contains: Class offering information such as courses, times, location, credit hours, instructor name final exam schedule, and specific remarks. Policies and procedures regarding registration, fee payment, student support services and directories are included
	Retention and Disposition	Transfer one copy of each schedule to the University Archives for permanent retention. Retain excess copies until no longer useful, then destroy.
U0413	**Counseling Files (Created by university counseling offices)**	This series documents student visits to the counseling center for various services relating to personal matters, group interaction, substance abuse and psychiatric counseling.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283
	Contents	Series can contain appointment and telephone contact log, change of contact form, policies and procedures form, client information form, initial contact form, assessment reports, assessments, transfer/termination reports, intake report, progress notes, documentation forms, emails, psychiatric notes, psychiatric intake, release of information form, correspondence, records from previous providers, class schedules, referral form for counseling services.
	Retention and Disposition	Retain until seven (7) years after last date of service, then destroy. If a call-log form is completed for a person who does not keep an appointment and is not assigned a counselor, retain for one (1) year, then destroy.
U0414	**Course Change/Repeat File (Add/drop)**	This series is used to add, delete, withdraw from, or repeat a course. This document is usually generated by Deans, signed by the appropriate department chair, dean and vice president for academic affairs and cleared by records and registration for final action.
	Access Restrictions	None
	Contents	Series contains: Instructions, department, section, title, hours, days, instructor, reason for change/repeat in course, appropriate signatures, dates
	Retention and Disposition	Retain until one (1) year after date submitted, then destroy.
U0415	**Course Syllabi**	This series documents a specific occurrence of university class in a particular semester. The syllabus is created by the course instructor, distributed to the class members and used to guide the work and conduct of the students throughout the semester. The official copy of the syllabus will be approved by the Curriculum and Instruction Committee or equivalent body at the university when the course is added or changed.
	Access Restrictions	None
	Contents	Series contains: Course name/number/location; instructor(s)' name/contact information/office hours; statement of the course's goals/objectives; textbooks/readings; schedule of topics/assignments; related polices/procedures to be followed.
	Retention and Disposition	Retain until five (5) years from date last offered by department, then destroy unless accreditation board requires a longer retention period. Each course section offered each semester is a considered a unique course offering; "date last offered" is the conclusion of that specific offering.

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Series	Records Title and Description	Function and Use
U0417	**Credit/No Credit/Audit Approval File**	This series documents approval of a student's request to take a course for credit/no credit rather than receiving a letter grade.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283
	Contents	Series contains: Student name; credit or no credit earned for a course; course taken and term.
	Retention and Disposition	Four-year institutions should retain until five (5) years after graduation or last date of attendance, then destroy. Community Colleges should retain until three (3) years after graduation or last date of attendance, then destroy.
U0418	**Curriculum and Instruction File (Faculty)**	This series offers information on course content as per individual instructor. Outlines are created to describe more generalized course content. It serves as a research and guidance tool, especially for new instructors. Curriculum requirements are determined in conjunction with state educational requirements and professional organization requirements, in addition to university requirements.
	Access Restrictions	None
	Contents	Series contains: Copies of final exams given by members of the department, information regarding subjects covered in previous semesters, notations of texts used for reference, course outline, curriculum, curriculum revisions, check sheets, textbook request list
	Retention and Disposition	Retain until obsolete, then destroy.
U0421	**Degrees Awarded Files (Includes Associate, Undergraduate, Graduate)**	This series lists degrees awarded to an individual and includes relevant documentation. Portions of the file may become part of Series U0401, Student Academic Performance File, which is retained permanently.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains but is not limited to: student name, identifier, degrees awarded; related correspondence.
	Retention and Disposition	Transfer permanent documentation to Master Student File (U0401). Retain remainder until five (5) years after graduation or last date of attendance, then destroy.
U0422	**Disciplinary Warning/Action File**	This series contains documentation of disciplinary warnings or actions against university students. If a disciplinary action is severe and may result in appeal procedures by the student or if a hearing is required to resolve the matter, a copy will be filed in the Student File (Series U0401). An example of this is dismissal or suspension due to an academic integrity code violation.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283; KRS 61.878(1)(a) - Personal information
	Contents	Series contains: Copies of university student disciplinary action reports
	Retention and Disposition	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.

Series	Records Title and Description	Function and Use
U0424	Enrollment Verifications File	This series documents that students are enrolled and in good standing.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283; KRS 61.878(1)(a) - Personal information
	Contents	Series contains: student names, levels, grade point averages, demographic data, and academic majors; working papers; final reports; and related documentation and correspondence.
	Retention and Disposition	Retain until one (1) year after verification, then destroy.
U0427	Fee Assessment Forms File (Enrolled students)	This series documents fees assessed to university students by such units as Student Life or academic departments.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283; KRS 61.878(1)(a) - Personal information
	Contents	Series includes name and identifier of student; types of fees assigned; amount owed; verification of payment.
	Retention and Disposition	Retain until five (5) years after graduation or last date of attendance, then destroy.
U0428	Financial Aid Documents - Student	This series documents determinations of financial aid offered or awarded by public universities. It includes documentation such as applications and other records used to make a determination of financial need.
	Access Restrictions	Please see Contents Section.
	Contents	Series contains: Financial aid application, financial aid needs and analysis, verification of income for previous year, documentation checklist, parental statement of independence, special condition form, documents related to student's application for work-study or part-time employment as means of subsidizing the costs of tuition, financial aid transcript, student aid report, student employment agreement, delinquent billing records. May also include correspondence related to awards of grants and/or loans student has or for which s/he is eligible. Access restrictions for this series are found in KRS 164.283 and 20 USC Section 1232g et seq. for students; and KRS 61.878(1)(a) for parents' personal information such as tax returns.
	Retention and Disposition	Retain until five (5) years after annual audit has been accepted by the federal Department of Education, then destroy.
U0430	International Student File (V)	This series documents institutional assistance to international students who have applied and/or been admitted to academic programs. These records primarily concern admissions, immigration status and other non-academic matters. Some documents from institutions in other countries may be originals. The Records Custodian may want to return these to the student rather than destroy them.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283 & KRS 61.878(1)(a) - Personal information
	Contents	Series may contain: copies of visas; scholarship information; admissions forms; application forms; transcripts of previous college or university work; grade reports of prior college work; grade reports from institutional courses; international student advisors' notes; degree completion certificates; explanations of student withdrawals; recommendations of students; I-20 Forms; World Education Services evaluations; financial certificate; Test of English as a Second Language and related documentation; Alien registration receipt card; DS-2019; Employment authorization/work permit; Copy of 194 Card; Passport number; Statement of education costs; Statement of financial responsibility; correspondence.
	Retention and Disposition	Retain until five (5) years after graduation or last date of attendance, then destroy. Retain incomplete applications and records of students who do not enroll until one (1) year after application term, then destroy.

Series	Records Title and Description	Function and Use
U0431	**Grade Information File - (Individual colleges, study areas) - (NOTE: Permanent information may be found in Master Student File [U0401])**	This series documents grades awarded by instructors and serves as the basis for students' official academic records. These may be mid-semester or end-of-semester grades, and subsequent grade changes. The official record of a student's grades is in Series U0401, Student Academic Performance File.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283; KRS 61.878(1)(a) - Personal information
	Contents	Series may include student names and student ID numbers; course titles and numbers; sections; grades awarded; grade changes; student completed examinations, quizzes or papers; instructors' grade books (if maintained separately from the final grade submission report [U0432]); and instructors' signatures.
	Retention and Disposition	Return to student. Retain materials that are not picked-up and any related records until one (1) year after date distributed, then destroy.
U0432	**Final Grade Submission Reports**	The series documents students who receive a grade in a college/university course and the grades they receive. The final grade reports are submitted by the instructor. This record serves as the basis for students' official academic records (Series U0401).
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283 & KRS 61.878(1)(a) - Personal information
	Contents	Series includes student names and student ID numbers; course titles and numbers; sections; grades awarded; and instructor(s)' signature(s).
	Retention and Disposition	Retain record copy permanently in creating unit, which in some universities may be the Registrar.
U0435	**Graduation Lists**	This series documents students who have completed all graduation requirements and are therefore eligible to graduate in a given term.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains: Semester, student name, department, degree conferred.
	Retention and Disposition	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.
U0436	**Medical Records**	This series documents medical diagnoses and courses of treatment administered by licensed physicians to any college or university students. It is also used as verification or treatment for insurance purposes. These records are used to document students' medical conditions that may require some action on the part of the university. They do not document treatment of students at university facilities. Treatment is documented in Series U1700, Patient File (Emergency Psychiatric Services); U01701, Dental Records - Adults; and U1704, Patient Medical File.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283 & KRS 61.878(1)(a) - Personal information
	Contents	Series contain: Medical treatment sheet, x-ray results, lab reports, immunizations, and other records related to the medical conditions of university students that require some action on the part of the university.
	Retention and Disposition	Retain until five (5) years after graduation or last date of attendance, then destroy. Retain medical records of individuals who do not enroll whether accepted or rejected until one (1) year after the application term, then destroy.

Series	Records Title and Description	Function and Use
U0439	Pass/Fail Request File	This series documents requests to change the grade mode in specific courses from letter grade to pass/fail. The pass/fail option must be approved by the course's instructor.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283; KRS 61.878(1)(a) - Personal information
	Contents	Series includes the Pass/Fail Request Form: Student name, identifier, major, minor; course name/number; credit hours; semester; authorization; rationale; signature of instructor.
	Retention and Disposition	Retain until one (1) year after date submitted, then destroy.
U0443	Recruitment Materials	This series documents efforts of the college or university to recruit students based upon various criteria, including disadvantaged status, academic performance, or veterans status. The series covers efforts for a single semester.
	Access Restrictions	Please see Contents Section.
	Contents	Series may include but is not limited to: prospects lists; interview and conversation notes; photographs; personal information forms and resumes; test scores; academic transcripts; and related documentation and correspondence. Access restrictions for this Series are found in 20 USC Section 1232g et seq, and KRS 164.283 for enrolled applicants and in KRS 61.878(1)(a) for non-enrolled applicants.
	Retention and Disposition	Retain until three (3) years after application term, graduation, or last date of attendance, whichever is appropriate, then destroy. NOTE: Reports, statistical information, if created, should be transferred to the University Archives for permanent retention
U0445	Student Requests Related to Disclosure/Non-Disclosure of Information (V)	This series documents student requests for disclosure or non-disclosure of information. Examples include non-disclosure of directory information; waivers of rights of access to letters of recommendation; and authorizations for records disclosure. Access to the affected records is generally restricted per the Family Educational Rights and Privacy Act (FERPA) (20 USC Section 1232g et seq.). The request may be filed with a copy of the affected record(s) or related correspondence. NOTE: Students who revoke their waivers may not see letters of recommendation submitted during the time waivers were in force, per FERPA.
	Access Restrictions	KRS 164.283; KRS 61.878(1)(a) -- SSN or other identifier
	Contents	Series may contain: completed request/waiver form; copy of affected record; related correspondence.
	Retention and Disposition	Retain requests for non-disclosure of directory information until one (1) year after termination of request, then destroy. Retain all other files upon termination of consent or when affected record is destroyed, then destroy.
U0447	Social Security Certification File	This series documents any certification related to a student or student worker's social security number. The U.S. Social Security Administration requires all international students in F-1 status to prove that they are currently employed or have been offered specific employment when applying for a Social Security Number. The student must take the completed and signed form to the appropriate office on campus to obtain an endorsement by an appropriate school official. The series also covers records related to certifying a student or students worker's social security number.
	Access Restrictions	KRS 164.283; KRS 61.878(1)(a) Social Security Number
	Contents	Series includes the appropriate forms or correspondence related to certification of a student or student worker's social security number or certification of employment/pending employment to obtain a social security number.
	Retention and Disposition	Retain until one (1) year after certification, then destroy.

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U0449	**Student File - College or Department Copy**	This series provides up-to-date information on student's activity from point of enrollment to graduation or leaving school. Series is established and maintained on every individual who attends the university. Series Includes files on Continuing Education, International, Associate, Undergraduate, Masters, and Doctorate students.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283; KRS 61.878(1)(a) - Personal information only
	Contents	Series contains: Advising or performance records; records of awards won; records of class absences, duplicate identification card, meal exemption forms, copies of withdrawal notices if applicable, student hearing procedures as they relate to specific disciplinary actions, copies of campus police reports if the offense is severe enough, other correspondence related to student's behavior while on campus
	Retention and Disposition	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.
U0452	**Student Government Files**	This series documents the policies, procedures, decisions and activities of a college or university's student government association.
	Access Restrictions	None
	Contents	Series may include but is not limited to constitution, bylaws, committee files, correspondence, meeting agendas and minutes, annual reports, photographs and other documentary materials related to student government.
	Retention and Disposition	Transfer to the University Archives for permanent retention.
U0457	**Professional Certification File**	This series documents professional certifications, e.g., of teachers, given through the university. The certifications are generally valid for a given period of time, which may vary depending on the profession.
	Access Restrictions	KRS 61.878(1)(a) - Personal Information
	Contents	Series may contain: Names of attendees and personal identifier, certification applications, exam/course results, correspondence, copies of licenses or certifications, training class and continuing education information.
	Retention and Disposition	Retain until one (1) year after certification period, then destroy.
U0459	**Transcript Request/Hold File**	This series documents official requests (form or letter) from students for transcripts of various records from the university. Federal law requires written authorization for a transcript request. When a student completes a request form or writes a letter, that serves as a request that a transcript copy for that student be picked up or mailed. The series also includes authorizations for transcript holds or encumbrances.
	Access Restrictions	KRS 61.878(1)(a)- Personal Information
	Contents	Series contains: Signed authorization form or letter from student requesting transcript(s). The forms/letters secure necessary information in order to locate record for transcript processing. Form - name, social security number, address of student, signature, unofficial or official copies needed, address of where transcripts are to be sent. Letter - name, social security number, dates of attendance, where transcripts are to be sent; authorization for transcript hold.
	Retention and Disposition	Retain until one (1) year after date submitted, then destroy. If a hold or encumbrance has been authorized for the transcript, retain the authorization for the hold until one (1) year after the hold is released, then destroy.

Series	Records Title and Description	Function and Use
U0463	**Tuition and Fee Change File**	This series documents tuition and fee waivers or change in tuition status for college or university students.
	Access Restrictions	Please see Contents Section.
	Contents	Series contains: tuition waiver form, fee waiver form, change in tuition status form, correspondence. Access restrictions for this Series are found in 20 USC Section 1232g et seq. and KRS 174.283 for students; and KRS 61.878(1)(a) for parents' personal information.
	Retention and Disposition	Retain until five (5) years after graduation or last date of attendance, then destroy.
U0464	**Veteran's Administration Certification File**	This series documents the certification of courses by the Veterans Administration (VA) for enrollment by eligible veterans. Section 3680A of title 38, U.S.C., instructs VA to disapprove enrollment in certain courses by eligible veterans, including those courses where more than 85 percent of the students are receiving educational assistance under programs administered by VA. That section provides an exception for courses offered at institutions of higher learning where less than 35 percent of the students on campus are receiving educational assistance under a program administered by VA.
	Access Restrictions	KRS 61.878(1)(a) - Personal information
	Contents	Series contains: student name/identifier/contact information; course information; approval/disapproval of course.
	Retention and Disposition	Retain until three (3) years after graduation or last date of attendance, then destroy.
U0468	**Personnel Records - Students (College/Department Copy)**	This series documents the work history of students, including Federal work study students, employed by campus offices, including evaluations and disciplinary actions. Campus employment is secured for the student through the Student Financial Assistance Office.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283; KRS 61.878 (1)(a) - Personal information
	Contents	Series contains: Applications; evaluations; and termination documents completed by student employees and their supervisors
	Retention and Disposition	Retain until five (5) years after termination of employment, then destroy. Retain department or unit copies until no longer useful, then destroy.
U0469	**Student Learning Contract File**	This series documents the agreement among a student, faculty advisor, and department as to what the student will complete in an internship, independent study, or other academic project, including responsibilities, learning objectives, how the student will be evaluated, and dates of contract with faculty and internship site. The contract is signed by the student, supervising faculty, department chair, and the Office for Experiential Education (unit identification may vary from institution to institution). The series functions as confirmation that the department will issue academic credit to the student for an on-site experience. The series also includes information on the student intern, faculty, and the site (internship location) supervisor.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283 & KRS 61.878(1)(a) - Personal information
	Contents	Series contains: Student information, such as college, major, social security number, address; hours claimed for credit; method for assessing grades; beginning and ending dates of internship; faculty information; internship site information; description (duties) of internship; learning objectives; faculty assignment descriptions; dates and times for reflection and evaluation of student and internship experience; student signature; faculty signature; department chair signature; and Experiential Education signature
	Retention and Disposition	Retain until three (3) years after completion of internship period, then destroy.

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Series	Records Title and Description	Function and Use
U0470	**Course Proposal File (Departmental copy)**	This series documents proposals to add, drop or change courses in the university curriculum. Faculty committees submit to respective departments recommendations for changes in course offerings. The departments then forward the accepted recommendations to the appropriate academic council for final approval. Every department reviews its curriculum on an ongoing basis. Prior to final approval of the proposals, a review by university staff is conducted, usually by library staff, to determine if materials are available on campus to accommodate the changes. Proposals are documented in the minutes of the approving body.
	Access Restrictions	None
	Contents	Series contains: Information necessary to explain and justify the proposed changes. Included are course descriptions; course outline or syllabus; bibliography; reading list; and related correspondence
	Retention and Disposition	Retain approved proposals until one (1) year after notification of approval, then destroy. Retain denied proposals until notification of denial, then destroy. A record copy is maintained permanently in the minutes of the approving body.
U0472	**Applications for Scholarships File**	This series documents the application by students for academic (merit-based) scholarships. The completed applications are submitted to Admissions, or appropriate administrative unit for approval. Requirements may vary according to the types of scholarships being offered through the university. For instance, some may be based on geographic location, area of study, grade levels, etc. Specific requirements are determined by the scholarship funding agent. University catalogs generally provide basic information about the types of scholarships offered.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283 & KRS 61.878(1)(a) - Personal information
	Contents	Series contains: Application and supporting documentation (high school transcripts, essays, etc.); notification letter; type of scholarship awarded; amount; and award period
	Retention and Disposition	Retain successful applications until three (3) years after expiration of award period, then destroy. Retain unsuccessful applications one (1) year after issuance of notification letter, then destroy.
U0475	**Student Disability Services File**	This series documents the need for, and rendering of, services and/or accommodations to students with disabilities. Notice of the need for the services may come from a variety of sources, including the Department for Vocational Rehabilitation, other colleges and universities, the individual student, or other parties having contact with students who may require special accommodations. This series represents the record copy of services provided.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283 & KRS 61.878(1)(a) - Personal information
	Contents	Series contains: Application for service; disability disclosure form; release of information forms; documentation of disability; accommodation letters; referral information; medical information and correspondence from health professionals; copies of admissions forms; interview notes; and related correspondence
	Retention and Disposition	Retain until five (5) years after graduation, or last date of attendance, then destroy.

Series	Records Title and Description	Function and Use
U0476	Student Credential File	This series is created to provide documentation about students for use by potential employers. The files are maintained by the Career Services Center, or similar unit. Students provide updated information as they see fit. Failure by the student to respond to the request for updated information will result in the file being deemed inactive.
	Access Restrictions	KRS 164.283; KRS 61.878(1)(a) - Personal information
	Contents	Series contains: Application, including release form; resumes; transcripts; reference letters; national test scores; state's teaching internship eligibility form; co-op paperwork, including coordinator's notes, learning plan, final work report narrative, and address and housing report; philosophy of teaching statements; generic cover letters; certificates or licenses; medical release forms; credentials mailing record; billing statements; correspondence requesting access to file; confidential reference form (access denied to student); record of copies distributed to potential employers; cooperating teacher reference form; supervising teacher reference form; and similar documentation received from other universities attended; career counseling materials.
	Retention and Disposition	Retain until three (3) years after last date of activity, then destroy.
U0478	Appeals File - Students	This series documents the appeals filed by students as a result of grades or other academic matters, and decisions rendered by the various campus standing committees. Generally, the decisions relate to the assessing of fines and fees for infractions of rules and procedures. Each university has standing committees which oversee different areas of the campus. The standing committees have appeal procedures in place that students can utilize should they disagree with committee decisions. Most situations require appeals to be filed within sixty days or less. Actions that can result include: upholding the appeal and canceling assessment; denying the appeal; or requiring special arrangements which the student must meet.
	Access Restrictions	20 USC Section 1232g et seq.; KRS 164.283 & KRS 61.878(1)(a) - Personal information
	Contents	Series contains: Date appeal filed; name of appellant, address, phone number; request for hearing; basis for the appeal; supporting witness information; signature of appellant; date of hearing; committee action/decision; student statement on content of record; signature of chairperson; and related correspondence.
	Retention and Disposition	Retain for three (3) years, then destroy.
U0479	Student Awards and Honors	This series represents the official copy of awards and honors that students can apply for or earn, including scholarships. Records of these awards might be contained in Series U0449, Student File - College or Department Copy.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only (e.g., student ID)
	Contents	Series contains but is not limited to the name of the recipient and official copy of the award.
	Retention and Disposition	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 unlil no longer useful, then transfer to the University Archives for permanent retention.
U0480	Student Organization Files	This series documents the history of student associations and organizations recognized by the university.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains an organization's constitution, bylaws, newsletters, minutes, brochures, photographs, reports, scrapbooks and any other records related to its overall operations.
	Retention and Disposition	Retain until two (2) years after no longer useful, then transfer to University Archives for permanent retention.

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Series	Records Title and Description	Function and Use
U0481	**Continuing Education Materials**	This series documents continuing education courses offered through the university and the students who attend those courses. The series can be used to provide verification of attendance for professionals taking courses for credit.
	Access Restrictions	None
	Contents	Series includes but is not limited to course proposals, correspondence, publicity materials, applications, payment information, receipts, sign-in sheets, course evaluations.
	Retention and Disposition	Retain in creating unit. Retain financial records until after audit, then destroy. Retain class lists for six (6) months, then destroy.Retain all other materials until course is no longer offered, then destroy.
U0482	**Medical Resident Student File (V)**	This series documents the appointment, licensure, credentials and performance of resident physicians at a university hospital or clinic. A resident physician has received his/her medical degree and is practicing medicine under the supervision of a fully-licensed physician. Resident files may be maintained by a university's college of medicine rather than by the university registrar or human resources department.
	Access Restrictions	KRS 61.878(1)(a) - Personal information
	Contents	Series may contain: contract/appointment letter; absence records; payroll records; change of address; Credentials (consists of: application, C.V., Board certification, other training, Fellowship/Residency training, Medical/Dental/Pharmacy, etc. training, and reference/assessment letters); Licensure (DEA, USMLE/NBOME/NBDE etc. Scores, Required UK training, Visa/Perm. Res. etc., ECFMG Certification, ACLS Certification); evaluations; correspondence and other related materials, verifications (outside requests), loan deferments, employee health documentation.
	Retention and Disposition	Retain permanently in creating unit, which in some universities may be the College of Medicine.
U0483	**Extra-Academic Program File**	This series documents programs conducted outside traditional academic paths by public universities. These are generally offered in the summer, but may occur during the school year as well. These programs may involve university students, prospective students, or members of the general public, and may or may not count for academic credit. Examples of these programs include athletic camps, ROTC programs; Research and Extension Apprenticeship Program; Upward Bound; music camps; English as a Second Language; or Governor's Scholars programs.
	Access Restrictions	KRS 61.878(1)(a) - Medical information only
	Contents	Series includes, but is not limited to: Information related to the applicant: name, address, contact information, experience/interest/ background questions, medical information; liability releases; emergency contact/treatment information; publicity releases; Code of Conduct Forms; TB Test results; dormitory information and rules sheet; acceptance of rules signature sheet. Information related to the program: publicity materials, payment/financial information, rosters, sign-in sheets and evaluations. Some publicity materials may be considered publications (U0109) and should be retained permanently.
	Retention and Disposition	Retain for five (5) years, then destroy. Retain application files of rejected applicants for one (1) year, then destroy. Some materials may be considered publications (U0109) and should be retained permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
E. Libraries/Archives/Museums

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0501	**Accession Records**	This series documents the acquisition, accessioning, use, preservation, storage, transfer and disposition of artifacts, books, records and other collections at an institution's library, museum, archives or special collection, herbarium, or other repository that is used for research purposes.
	Access Restrictions	KRS 61.878(1)(a) -- Certain donor information
	Contents	May contain: logs listing dates of acquisition, acquisition/accession numbers, descriptions of artifacts or collections, and donor names; gift receipt forms; cataloging worksheets; deeds of gift; object file cards; subject file cards; numerical file cards; wildlife collecting permits; guns and weapons registration forms; condition/conservation records, photographs related documentation and correspondence; donor correspondence; descriptions of property; inventory lists; incoming loan agreements; background data; receipt of collections documentation; donor agreement forms or instruments of donation; purchasing data; publicity records; foundation equity history reports; declaration of charitable gifts forms; copyright and citation information; records transmittal forms.
	Retention and Disposition	Retain permanently in creating unit.
U0502	**Deaccession Records**	This series documents recommendations concerning removal of artifacts, books, records, or other items in a collection from a university library, archives, special collections or museum and action upon those recommendations. The most common reasons for deaccessioning include duplication, deteriorated condition, and irrelevance to a collection.
	Access Restrictions	None
	Contents	May include: transfer forms to transfer ownership/custody of materials held within institutional collections to other institutions; deaccessioning documentation which lists the artifacts, records or collection items by acquisition/accession numbers and descriptions, names of persons making deaccession recommendations and dates, reasons for deaccessioning, documentation that legal searches of donor records have been done to establish that the institution is not precluded from deaccessioning and to establish whether the donors are still living, appraised values (including whether these are estimates or have been appraised), signatures of approval for deaccessioning and dates, and dispositions of materials and dates; deaccessioning and weeding listings; reports of deaccessioning; and related documentation and correspondence.
	Retention and Disposition	Retain permanently in creating unit.
U0503	**Appraisal Records**	This series documents monetary value appraisals of institutional artifacts, objects, rare books, maps, manuscripts and collections that have been completed by private parties. Objects are appraised most often for insurance purposes.
	Access Restrictions	None
	Contents	May include: appraisals and valuation reports; reference materials used by appraisers; and related documentation and correspondence.
	Retention and Disposition	Retain permanently in creating unit.
U0504	**Loan Records**	This series documents loans of collection materials such as artifacts, objects, rare books, manuscripts, photographs and records contracted between units of the institution or between the institution and either other institutions or individuals. This series excludes books from the library's circulating collection.
	Access Restrictions	None
	Contents	May include: signed and legally binding agreements for incoming and outgoing loans between the collection administrators; insurance documents; documents concerning shipping or transportation of the loaned items; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence.
	Retention and Disposition	Retain until ten (10) years after termination of the loan, then destroy.

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E. Libraries/Archives/Museums

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0505	**Collection Management Records**	This series documents the maintenance of materials which typically involves accessioning, cataloguing, preserving, and/or referencing.
	Access Restrictions	None
	Contents	May include: accession sheets; archives transmittal lists; accession reports; computer cataloging records; catalogs of holdings; reference guides and finding aids; request for permission to publish or reproduce images forms; [collection inquiries; budget and purchasing data;] and related documentation and correspondence.
	Retention and Disposition	Retain finding aids/reference guides until superseded or obsolete, then destroy. Retain all other records permanently in the creating unit
U0506	**Visitor Records**	This series documents individual research visits and group visits (tours, classes) to a university archives, special collections or research facility.
	Access Restrictions	None
	Contents	May include: sign-in sheets; patron logs; patron registration forms; or guest books.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
U0507	**Reference Request Records**	This series documents requests for information about, information contained in, or access to items within, a university's libraries, archives, special collections or museums.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	May include: collection service request forms that show requestors' names, addresses, and telephone numbers; the nature/ explanation of the requests; use/purpose of the requests; dates of receipt and completion of requests; staff member handling the requests; amount of time spent on handling the requests; disposition of the requests; and related documentation and correspondence.
	Retention and Disposition	Retain until no longer useful, then destroy.
U0508	**Circulation Records**	This series documents the borrowing of circulating library materials by qualified patrons.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	May include: name and identification of borrower; titles of materials borrowed; due date; overdue and fine payment notations; related documentation and correspondence.
	Retention and Disposition	Retain until no longer useful, then destroy.
U0509	**Interlibrary Loan Records**	This series documents requests made of the institutions within the university library system for materials by outside institutions and also institution requests for materials from other library systems. This series applies to circulating library resources only (not to archival, special collections or museum materials).
	Access Restrictions	None
	Contents	May include: materials request forms; invoices for services provided; and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
F. Personnel/Payroll Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0600	**Accident Report File**	This series documents accidents that occur on individual campuses. The accidents may or may not result in injury. The accidents may also involve vehicles, motor bikes, bicycles or other modes of transportation. Injury to employees is reported to the appropriate person in the department where the accident occurred and a report is filled out and sent to Worker's Compensation. Files that result in claims should be transferred to Worker's Compensation Files (Series U0631) or Litigation Files (Series U2000).
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Series may contain: Accident report which indicates the employees name, date of injury, department, nature of accident, attending physician and days away from work; Non-Injury Accident Report which gives specific information about an accident which does not result in injury; and a First Report of Injury or illness.
	Retention and Disposition	Retain files that do not result in a claim until three (3) years after the report date, then destroy. Retain those that result in a claim until three (3) years after the case is closed, then destroy. Retain duplicate (departmental) copies not resulting in a claim until three (3) years after case closure.
U0604	**Bureau of Labor Statistics Log and Summary of Occupational Injuries and Illnesses (OSHA Reports)**	This series documents employees' injuries and illnesses sustained in work-related incidents. It includes OSHA Form 300 -- Log of Work-Related Injuries and Illnesses; OSHA Form 300A -- Summary of Work-Related Injuries and Illnesses; and the Injury and Illness Incident Report (state agency may substitute the Workers' Compensation First Report of Injury Form IA-1). The log series is used to record and classify reportable work-related injuries and illnesses and to document the severity of each case. It must be kept current and be presented to officials of the USDOL on request. The summary shows the total reportable injuries and illnesses for an establishment for a year and is required to be posted from February 1 through April 20 of the following year so employees are aware of the injuries and illnesses occurring in their workplace.
	Access Restrictions	None
	Contents	Series contains: OSHA Form 300; OSHA Form 300A; supporting documentation, either OSHA Injury and Illness Incident Report or Workers Compensation First Report of Injury and Lost Time/Return to Work form. The log contains the case #, Employee's name (or notation of privacy); job title; date of injury or illness; where the injury/illness occurred; description of injury/illness; classification of the case; number of lost work days or days of modified duty; indication of injury or type of illness. The summary records the total number of deaths, cases with days away from work, total number of cases with job transfer or restricted duty; number of other recordable cases; total number of days away from work; total number of days of job transfer or restricted activity; the numbers of the various types of injuries & illnesses.
	Retention and Disposition	Retain until five (5) years following the end of the calendar year that these records cover, then destroy.
U0610	**Benefits File (If filed separate from the Master Personnel File)**	This record series is used to document the benefits offered by a university to its employees and the application for those benefits. This file is also used to verify beneficiary changes to insurance and other plans and to document what benefits an employee has elected to take. These records may be filed as part of the employee's Payroll Deduction File (Series U0617).
	Access Restrictions	KRS 61.878(1)(a) - Personal information
	Contents	Series contains employee enrollment forms for medical, vision, dental and life insurance and beneficiary forms. It may also contain Tuition Waiver forms and other benefits offered by individual universities.
	Retention and Disposition	Maintain current file. Retain balance until obsolete, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
F. Personnel/Payroll Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0613	**Job Description/Classification File**	This series documents the process of describing and classifying university employment positions. This involves monitoring employees' work and how much time each duty consumes. Job descriptions are used to ensure university administration, faculty and staff are aware of their duties, and to evaluate their performance. It serves as a basis or standard for classifying positions throughout the university. It provides a plan that maintains an equitable relationship between the nature of the work, education necessary, experience, the variety and complexity of duties, and responsibilities required by a position. The process may be completed whenever a position is to be established, reclassified or reallocated, and documents the approval or denial of the request.
	Access Restrictions	None
	Contents	Series contains: Classification title of job, characteristics of that class, example of duties, training and experience, and desirable knowledge, skills and abilities.
	Retention and Disposition	Retain permanently in creating unit. Retain department or subunit copies until no longer useful, then destroy.
U0617	**Payroll Deduction File (V)**	This series documents employee payroll deductions. These records may or may not include lists with notations of authorized deductions as well as actual deduction forms.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Series contains: Pay period, employee name/number, social security number, bookstore employee name, gross pay, FICA tax, federal tax, state tax, city tax, W4/K4 forms, retirement, insurance, garnishments, other deductions and net pay for employees.
	Retention and Disposition	Retain for four (4) years then destroy.
U0619	**Performance Evaluations (Faculty and staff - If filed separate from the Master Personnel File)**	This series reflects employees' performance over the course of a year. The employee's supervisor meets with the employee to discuss performance rating, other questions or comments the employee may have, and expectations of the employee in the upcoming evaluation year.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Series contains: Employee name, social security number, classification, title code, cabinet/department/division, branch/section/unit, position number, review period (from/to), job duties, rating, employees signature, other appropriate signatures
	Retention and Disposition	Retain until five (5) years after termination of employment with the university, then destroy. NOTE: Some universities retain the faculty evaluations (record copy) in the appropriate department or college. Check with the University Archives before destruction.

Series	Records Title and Description	Function and Use
U0620	**Personnel File (Faculty and staff) (V)**	This series documents the employment history of faculty, classified employees and graduate students. Records document the employee's work history at the university, including dates of employment and other official personnel actions, should questions arise regarding eligibility for retirement (refunds or benefits) or social security benefits. Copies may also be filed within a division or subunit.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This series includes routine, information such as job title, rank, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some of the documents comprising this series include confidential information such as social security number, birth date, and marital status. Records may include but are not limited to copies of Affirmative Action Compliance Data Forms; Applications for Admission to Graduate School; Applications and Contracts for Sabbatical Leave; Applications for Academic Employment; Athletic Contracts/Overseas Agreements; Conditions of Employment; Memoranda of Agreement; Notices of Appointment; Overload Compensation Requests; Patent Rights Waivers; Pay/Budget Action Forms; forms documenting personnel actions, including Salary Adjustments and Summer Session Appointments; Proposals for Academic Appointment; Requests for Approval for Outside Employment; resumes or curriculum vitae; Retirement Agreements; Leave Accrual summary; Technology Transfer Agreements; Tenure Relinquishment Forms; employee Social Security number disclosure forms; disciplinary actions and responses to those actions; employment contracts, and related documentation and correspondence, such as letters of resignation and memos confirming appointments.
	Retention and Disposition	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 termination, then destroy.
U0624	**Retirement Reports**	This series identifies per-pay-period the contribution and earnings to a university's retirement fund. This series provides information such as amounts paid in and years of service to substantiate retirement claims.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains: Monthly reports show gross salaries, check number, dollar amounts of employee, employer deductions. Annual reports show fiscal year earnings. Employers annual report shows employees social security number, name, retirement contributions, days paid, contract days, contract salary
	Retention and Disposition	Retain for seventy-five (75) years in creating unit then destroy.
U0627	**Tenure Track Applications - Not Accepted To include departmental copies.**	This series documents the applications received in a university's annual search to fill tenure-track faculty positions and are from individuals that are not presently on staff and for whom no Master Personnel File (U0620) currently exists. Potential candidates for tenure normally are already on the university staff, and all documentation for tenure is in the Master Personnel File, even if the application is not accepted. The evaluation process to become tenured may vary from university to university.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Series contains: Applications and resumes, plus any other information deemed necessary to evaluate an individual's appropriateness for a tenured position
	Retention and Disposition	Retain official copy and Departmental copy for two (2) years, then destroy.

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State University Model
F. Personnel/Payroll Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0631	**Workers' Claims (Compensation) File (Duplicate - Record copy in the Department of Workers' Claims)**	This record series is used to document those employees who have applied for workers' compensation. This file documents job related injuries or infestations from which workers' compensation is requested by employees. This is a duplicate file. The original is retained by the Department of Workers' Claims. This series is used for convenience in reviewing cases.
	Access Restrictions	KRS 61.878(1)(a) -- Personal and Medical Information
	Contents	Series contains: Name of employee, date of incident, department of employee, details of incident
	Retention and Disposition	Retain until three (3) years after case closure, then destroy.
U0633	**Position Control Form**	This series documents job classifications and is a method by which positions are tracked by codes. It is used to set the budget line for salaries in each unit's budget, and to oversee the number of employee positions within the university.
	Access Restrictions	None
	Contents	Series contains: Name of position; salary; department in which position is located; name and e-mail address of individual submitting the form; and name and title of person authorizing the position
	Retention and Disposition	Retain for four (4) years or until after audit, whichever is longer, then destroy. Retain unit copies until superseded, then destroy.
U0642	**Family and Medical Leave Case File**	This record series documents those who apply for leave under the Family and Medical Leave Act (FMLA). Covered employers must grant an eligible employee up to a total of 12 workweeks of unpaid leave during any 12 month period for maternity, for adoption, to care for an immediate family member, or because of a serious health condition.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	(1) Basic payroll and identifying employee data, including name, address, and occupation; rate or basis of pay and terms of compensation; daily and weekly hours worked per pay period; additions to or deductions from wages; and total compensation paid. (2) Dates FMLA leave is taken by FMLA eligible employees (e.g., available from time records, requests for leave, etc., if so designated). Leave must be designated in records as FMLA leave; leave so designated may not include leave required under State law or an employer plan which is not also covered by FMLA. (3) If FMLA leave is taken by eligible employees in increments of less than one full day, the hours of the leave. (4) Copies of employee notices of leave furnished to the employer under FMLA, if in writing, and copies of all general and specific written notices given to employees as required under FMLA and these regulations. Copies may be maintained in employee personnel files. (5) Any documents (including written and electronic records) describing employee benefits or employer policies and practices regarding the taking of paid and unpaid leaves. (6) Premium payments of employee benefits. (7) Records of any dispute between the employer and an eligible employee regarding designation of leave as FMLA leave, including any written statement from the employer or employee of the reasons for the designation and for the disagreement
	Retention and Disposition	Retain for three (3) years or until after audit, whichever is longer, then destroy.

Series	Records Title and Description	Function and Use
U0643	**Student Faculty/Course Evaluation**	This series documents students' evaluations of teaching personnel and may be used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Individual student responses are tabulated into a summary report for a given course. Information from the summary report is used to help determine certain major responsibilities on faculty members' performance evaluation form (see Series U0619, Performance Evaluations).
	Access Restrictions	KRS 61.878(1)(a) and (j)
	Contents	Records include: bubble forms, or other response/input documents; statistical tabulations; summary reports; and related documentation and correspondence.
	Retention and Disposition	Retain individual student response sheets for six (6) months, then destroy. Retain summaries/tabulations for three (3) years, then destroy.
U0644	**Grievance File**	This series documents grievances brought forward by faculty, staff or students against the institution that are resolved without litigation. (Records of grievances that are litigated become part of the legal case file.) Grievances may pertain to personnel policies and procedures; equal opportunity or affirmative action issues; promotion and tenure issues (faculty); departmental issues; academic, housing, student conduct and other issues (student).
	Access Restrictions	KRS 61.878(1)(a)
	Contents	May contain: grievance forms; notices of grievances; grievances responses; informal discussion notes; formal hearing notes including audio or video tapes; any supporting documentation; final summary statements; settlement agreements, appeals documentation and related records.
	Retention and Disposition	Retain until three (3) years after resolution of case, then destroy.
U0645	**Hiring Process Materials File (V)**	This series documents the process and criteria used to select a candidate to fill a position. The series documents the decision making process; how the candidates were screened and selected for an interview; the interview questions and answers; and other factors used in the selection process. These materials may be used to defend the agency's hiring decision in the event of a grievance, appeal or legal action as a result of the hiring process and decision.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series may contain: All written comments; interview questions; job advertisements; job postings; resumes; copies of evaluations; written recommendations for hiring; applicant referral log; Vacant Faculty Position Retention Form; materials related to description of available position; Affirmative Action/Equal Opportunity Form; Justification of Waiver Request; Search Committee Form; request to interview candidate; Interim Affirmative Action Report; Summary of Affirmative Action Process; Preferred Candidate Identified Form; Vacancy Reporting Form; Personnel Applications and Resume File (for persons not hired); Vacancy Reporting Form; and any other information that directly relates to the hiring process.
	Retention and Disposition	Retain record copies of descriptions of available positions until five (5) years after inactivation of position and audit, then destroy. Retain record copies of all other materials until three (3) years after search is concluded, then destroy. Retain department or unit copies of descriptions of available positions until they are superseded, then destroy. Retain department or unit copies of all other materials for two (2) years, then destroy.

Series	Records Title and Description	Function and Use
U0646	**Affirmative Action File**	This series documents implementation of affirmative action requirements in the university hiring process. This series helps fulfill the requirements of Executive Order 11246. The Order requires colleges and universities to collect and maintain data on race, gender and ethnic identity of applicants for employment. The series also allows for the identification of any candidate who has a disability, or is an Armed Forces Service Medal Veteran. The materials are completed in some cases by a candidate and in other cases by university personnel. Many of these materials may be maintained as part of Series U0645, Hiring Process File.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series may contain, but is not limited to Affirmative Action/Equal Opportunity Form (Name of applicant, e-mail address, position applied for, position control number; age of applicant, sex, race, ethnic category, physical impairments, veteran status, disabilities), Justification of Waiver Request; Search Committee Form; Interim Affirmative Action Report; Summary of Affirmative Action Process report.
	Retention and Disposition	Retain for three (3) years, then destroy.
U0647	**Periodic Payroll Reports (Includes Time Sheets/Time Cards)**	This series represents various reports issued from university systems that document periodic payroll activity or otherwise summarize payroll information for a given period of time. This includes all university employees, hourly or salaried, such as student workers, Federal Work Study students, academic instructors, graduate assistants and teaching assistants.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains city tax reports; federal tax reports; leave accrual reports; salary distribution information; Social Security reports; time sheets, time cards and other time and attendance reports; Distribution of Effort forms; any other periodic report on payroll activity.
	Retention and Disposition	Retain record copies of tax reports for four (4) years, then destroy. Retain timesheets of Federal Work Study students until three (3) years after the student leaves the university, then destroy. Retain record copies of all other reports for three (3) years, then destroy. Retain department or unit copy when no longer useful, then destroy.
U0648	**Leave Request Form**	This series is used when an employee is requesting leave such as sick or annual. Employee must complete and supervisor must sign to give authorization.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains: Name of employee, pay period ending date, date of leave, nature of leave (sick/annual), signature of employee, signature of supervisor
	Retention and Disposition	Retain official copy for one (1) year, then destroy. Retain copies until no longer useful, then destroy. If employees do not keep a timesheet, retain leave request form for three (3) years, then destroy.
U0649	**Employee Medical/Health File**	This series provides documentation of an employee's illness, injuries and treatment. This information is considered confidential and is separate from the personnel file in a secure file to ensure access is granted on a strictly need-to-know basis. The supporting medical documentation in this series may be used to verify eligibility for sick leave, sick leave sharing, workers' compensation benefits, FMLA, or ADA accommodation requests.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Series may contain: Medical certifications to support requests for sick leave; FMLA application/certification; SLS application & supporting documentation; workers' compensation first report of injury; medical statements from healthcare providers; disability statements/records; test results.
	Retention and Disposition	Retain until five (5) years after termination, then destroy.

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State University Model
F. Personnel/Payroll Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0650	**Form I-9, Employment Eligibility Verification**	This series documents that each new employee (both citizen and non-citizen) hired after November 6, 1986, is authorized to work in the United States. All employees (citizen and non-citizen) hired after November 6, 1986 and working in the United States, must complete the I-9 Form, per U. S. Citizenship and Immigration Services. These are maintained separately from an employee's personnel file.
	Access Restrictions	KRS 61.878 (1)(a) Soc. Sec. Number
	Contents	Series contains: Employee name, Address, DOB, SSN, citizenship status; Preparer's/Translator's name, address, signature; Employer Review and Verification: Document title, issuing authority, document number, expiration date; Certification; updating and reverification: new name, date of rehire, document title, number, expiration; employer's signature, date.
	Retention and Disposition	Retain until three [3] years after employee begins work, or one [1] year after employment is terminated, whichever is later, then destroy.
U0651	**Unemployment Insurance Claim File**	This record series is used to document those claims made by public colleges or universities' former employees who qualify for unemployment benefits. The employee must have worked at least the first four out of the last five completed calendar quarters prior to the time that the claim is filed. The employee must have been determined to be unemployed through no fault of his/her own.
	Access Restrictions	KRS 341.190(3)(a); KRS 61.878(1)(a) - Personal information only
	Contents	This record series may include the notice of claim, employment verification, fact finding report, notice of decision, referee hearing notice, referee decision, correspondence and other information pertaining to the claim.
	Retention and Disposition	Retain until three (3) years after close of case or audit, whichever is longer, then destroy.
U0652	**Work Schedules**	This series documents periodic personnel assignments and may include assignments for specific activities, special events and vehicle assignments. Work schedules generally document routine information such as an individual’s assigned hours, work area and/or duties.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series may contain: Date; employee name; department or unit name; time in; time out; place of work; nature of work; and activity summary for sporting events, concerts or other extraordinary events.
	Retention and Disposition	Retain for one (1) year, then destroy.
U0653	**Promotion/Tenure File**	These records document the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. These records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty as well as other materials that are maintained in the dossier folders. The dossiers may be returned to the candidate once the promotion/tenure process is completed. These files are maintained separately from regular faculty personnel records (Series U0620), though there may be a record of the decision in the candidate's personnel file.
	Access Restrictions	KRS 61.878(1)(a) and (j) (See Contents Section)
	Contents	This series includes but is not limited to candidate current position description; letters of evaluation; current curriculum vitae or resume; personal statements; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; committee findings; official notification of decision; recommendations of administrative personnel; copies of articles, publications or other scholarly works; awards; performance evaluations and other materials submitted or created as part of the promotion and tenure process;. NOTE: Access is restricted to the following items in the file: peer evaluation forms; letters of evaluation submitted by internal and external evaluators; the reviewee's personal statement; and summative teaching evaluation forms.
	Retention and Disposition	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.

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7050

Series	Records Title and Description	Function and Use
U0654	**Volunteer Files**	This series represents records that may be created when individuals volunteer at public universities. Volunteers, for example those at medical facilities, may have to apply and complete appropriate forms and releases.
	Access Restrictions	KRS 61.878(1)(a) - Personal Information
	Contents	Series may contain, but is not limited to: application, appropriate medical or other documentation, signed acknowledgement forms or waivers, permission slips.
	Retention and Disposition	Retain until five (5) years after last date of volunteer work, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
G. Buildings/Grounds/Physical Plant Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0700	**Applications/Awards to Construct University Buildings (V)**	This series documents the process of awarding contracts for the construction or renovation of university buildings, per KRS 164A.585. When the total cost of a capital construction project will exceed two hundred fifty thousand dollars ($250,000), the project shall be contracted for on a competitive bid basis, and the execution of such contracts shall be approved and authorized by a university's governing board. When a capital construction project has been approved, in whole or in part, the board shall prepare the plans and specifications, advertise for bids, award the contracts, supervise the construction and handle the financial negotiations.
	Access Restrictions	None
	Contents	Series contains: Application for award of construction; materials documenting details of construction; related correspondence.
	Retention and Disposition	Retain until three (3) years after construction is completed, and audit, then destroy.
U0701	**Blueprints, Plans and Specifications for Buildings, Grounds and Landscapes File (V)**	This series documents details of infrastructure construction and improvements completed on university grounds. These materials are used as a reference when there is a need for information concerning buildings and projects that are still current. They also may give a history of the university's infrastructure.
	Access Restrictions	KRS 61.878(1)(m) Subpart 1.g
	Contents	This record contains drawings, name of architect, date of drawing, name of project or structure.
	Retention and Disposition	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.
U0702	**Building Inspection File**	This record series is used to document the inspection of structures that are newly built or altered. These include building, electrical, plumbing, and other inspections. These are done in accordance with building code mandates. A certificate of occupancy can only be issued after successful inspections of all aspects of the structure.
	Access Restrictions	None
	Contents	This record series may contain the address of structure, type of construction, type of inspection, date of inspection, narrative of inspection, list of violations, results of inspection, name of inspector, signature of inspector and corrective measures to be taken.
	Retention and Disposition	Retain for two (2) years then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
G. Buildings/Grounds/Physical Plant Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0703	**Construction/Renovation File**	This series documents college and university capital and non-capital building and renovation projects. As defined by KRS 7A.010 (1), capital project means (a) any undertaking which is to be financed or funded through an appropriation by the General Assembly of general fund, road fund, bond fund, trust and agency fund, or federal fund moneys, where the expenditure is a capital expenditure pursuant to statute or under standards prescribed by the Legislative Research Commission under the authority of KRS Chapter 48; (b) any undertaking which is to be financed by a capital expenditure for use by the state government or one of its departments or agencies, as defined in KRS 12.010 or enumerated in KRS 12.020, including projects related to the construction or maintenance of roads, and including projects of institutions of higher education as defined in KRS 164A.550(2); (c) any capital construction item, or any combination of capital construction items necessary to make a building or utility installation complete, estimated to cost six hundred thousand dollars ($600,000) or more, or any item of movable equipment, estimated to cost two hundred thousand dollars ($200,000) or more, regardless of the source of funds; (d) any lease of real property whose value is two hundred thousand dollars ($200,000) or more; (e) any lease of an item of movable equipment if the total cost of the lease, lease-purchase, or lease with an option to purchase is two hundred thousand dollars ($200,000) or more; or (f) any new acquisition, upgrade, or replacement of an information technology system estimated to cost six hundred thousand dollars ($600,000) or more. Under the terms of KRS 7A.100, the Capital Planning Advisory Board of the General Assembly prepares a state capital improvement plan and makes funding recommendations to each branch head as to state spending for capital projects.
	Access Restrictions	KRS 61.878(1)(m) - Structural specification records
	Contents	May contain: Plans, shop drawings, materials used, locations, dimensions, as-built plans, specifications, bids & estimates, guarantees, applications, contracts/agreements, bonds, reports; includes periodic inspection reports and final reports, state approval letters and correspondence. This file may include the financial records for this project.
	Retention and Disposition	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.
U0704	**Insurance File - Building and Equipment**	This series documents a contract between a university and an insurance company whereby for a stipulated consideration, the company agrees to compensate the other for loss against a specified action or event. This series includes insurance information on university buildings and equipment.
	Access Restrictions	None
	Contents	This record series contains the policy, correspondence, supporting claim documents.
	Retention and Disposition	Retain until three (3) years after expiration of agreement or policy, and audit, then destroy.
U0707	**Maintenance File**	This series documents continuing maintenance work completed on university buildings, equipment or vehicles. Maintenance may be performed by university staff or by private vendors.
	Access Restrictions	None
	Contents	Series may include, but is not limited to: maintenance contracts or copies of contracts; service histories; work orders; correspondence; estimates; invoices.
	Retention and Disposition	Retain until three (3) years after expiration of maintenance agreement or disposal of equipment or vehicle, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
G. Buildings/Grounds/Physical Plant Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0710	**Work Orders**	This series is used as a request for repairs needed on campus buildings for such items as HVAC systems, electrical and plumbing repairs, carpentry work, welding and custodial services, and other necessary maintenance. Requests are made to the maintenance department. This is the record copy of the work order. Other copies are covered under Series U0222.
	Access Restrictions	None
	Contents	Series contains: Type of work requested, location of maintenance needed, who performed the work, how long the work took, approximate cost of work
	Retention and Disposition	Retain for three (3) years or until after audit, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
H. University Housing Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0800	**University Housing Assignments**	This series documents housing assignments made by the university. These include but are not limited to housing assignments for graduate and undergraduate students; medical student rotations; student or non-student internships/externships; visiting scholars; post-doctoral scholars. Assignments are of no fixed length; they may be for one day or many years.
	Access Restrictions	KRS 164.283; 20 USC Section 1232g et seq
	Contents	Series contains: Application; Lease/Rental Agreement; Information Update Form; Change Request Form (online and paper); Cancellation Form (online and paper); Liquidation Form; Fire Suppression Agreement; Lead Paint/Asbestos Acknowledgement; Notice to Vacate; Warning Notices, Personal Information Cards (Yellow Cards), and other office correspondence; Student ID Numbers; Social Security Numbers; Family Information (Children's Dates of Birth); Signatures; Complete Mailing Addresses (past, present, future); AFDC paperwork; government employment rental history; rental history; eviction/court paperwork; medical documentation for accommodations; criminal background check information.
	Retention and Disposition	Retain until five (5) years after date of graduation or five (5) years after date of last contact, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
I. Athletics Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0910	**Catastrophic Injury Insurance Records**	This series documents insurance claims made by university parties on the Catastrophic Injury Insurance Program. Provided by the NCAA/NAIA the Catastrophic Injury Insurance Program covers student athletes, student coaches, student managers, student trainers and student cheerleaders who are catastrophically injured while participating in a covered event. The policy provides benefits in excess of any other valid and collectible insurance.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This series may include but is not limited to accident reports; claim forms; annual insurance questionnaires; notes; and related documentation and correspondence.
	Retention and Disposition	Retain for seventy-five (75) years, or until after estate settlement, whichever is longer, then destroy.
U0911	**Recruiting Records**	This series documents the recruitment of athletes into the university's intercollegiate athletic program. It may also provide documentation of the recruitment process for prospective players to comply with national athletic association and regional conference rules and regulations.
	Access Restrictions	KRS 61.878(1)(a) Personal information
	Contents	Series may include but is not limited to: scouting reports; lists of prospects; audiovisual recordings; questionnaire forms with personal, scholastic, transcript and general release information; performance reports; mailing lists; telephone logs and conversational notes; letters of intent; and related documentation and correspondence.
	Retention and Disposition	Retain for six (6) years or until end of eligibility whichever is longer, then destroy. Retain records of athletes who do not enroll until one (1) year after application term, then destroy.
U0912	**Competition Scheduling Records**	This series documents a university's competition schedules for a given year. Non-conference schedules are arranged by the university. In-conference schedules are arranged by the university's conference.
	Access Restrictions	None
	Contents	Series may include but not limited to telephone notes; correspondence; contracts; schedules and schedule changes; and related documentation.
	Retention and Disposition	Retain contracts until six (6) years after expiration, then destroy. Retain all other records for one (1) year, then destroy.
U0915	**Playbooks and Related Materials**	This series documents the practice times, game strategies and game plays developed for the season and individual games.
	Access Restrictions	None
	Contents	Series may include but is not limited to practice plans and video; game plans; game results; and related documentation.
	Retention and Disposition	Retain in office until no longer useful, then transfer to Archives for permanent retention.
U0916	**Practice Schedule Records**	This series documents practice time for athletic teams/players and assists the university in complying with national athletic association and regional conference rules and regulations.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	This Series may include but is not limited to: practice schedule logs including team rosters indicating time spent in practices; training and conditioning records; meeting records.
	Retention and Disposition	Retain for six (6) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
I. Athletics Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0917	**NCAA Enforcement Records**	This series represents reports to the National Collegiate Athletic Association (NCAA) submitted by public universities through their respective conference office. The reports document allegations of major and/or secondary violations of association rules and regulations and university responses to those allegations.
	Access Restrictions	None
	Contents	Series may include but is not limited to secondary violations reports with supporting documentation, allegations of major violations and institutional response with supporting documentation and final resolutions including penalties if applicable.
	Retention and Disposition	Retain in athletic office until seven (7) years after all enforcement processes have ended, then destroy.
U0918	**Athlete Eligibility Records**	This series documents that prospective and current student athletes meet minimum academic standards and amateurism criteria required by national athletic associations and regional conferences.
	Access Restrictions	KRS 61,878(1)(a) - Personal information
	Contents	Series may contain, but is not limited to academic progress reports; Student Athlete Statement; drug test results; Buckley Amendment Consent; affirmation of amateur athlete status; prior involvement in rules violations; tutor evaluation and assessment; affirmation of information provided to national associations and regional conferences.
	Retention and Disposition	Retain negative drug tests for one (1) year, then destroy. Retain remainder of file for six (6) years or until end of eligibility, whichever is longer, then destroy.
U0919	**Athletics and University Compliance Records**	This series documents that public universities have met the compliance requirements of a national athletic association and/or regional conference.
	Access Restrictions	
	Contents	Series may contain, but is not limited to Certification of Compliance for Institutions and Athletic Staff; eligibility certificates; squad lists; agent or financial advisor registration.
	Retention and Disposition	Retain for six (6) years, then destroy.
U0920	**Game Official Evaluation Forms**	This series documents a head coach's evaluation of officials of an athletic contest (e.g., referees or umpires). These evaluations are used to comply with national athletic association and regional conference rules and regulations.
	Access Restrictions	
	Contents	Series contains team names; location; event date; officials' names; evaluative scores; comments; coach's signatures.
	Retention and Disposition	Retain for one (1) year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
I. Athletics Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U0921	**Game Statistics Records**	This series documents playing statistics for each game or contest by sport and season.
	Access Restrictions	
	Contents	Series includes, but is not limited to player academic statistics; attendance statistics; awards information including national association or conference nominations; numerical rosters; narrative game reports; final game statistics; national association official scoring summaries; play-by-play reports; related documents.
	Retention and Disposition	Retain permanently.
U0922	**Individual Athlete Competition Records**	This series documents the athletic history of individual athletes who compete for the university. This file may be a continuation of the recruitment file and include recruitment records if an athlete signs a letter of intent.
	Access Restrictions	
	Contents	This series may include recruitment documents; media articles; photographs; release of information forms; personal data questionnaires; records of awards and related documentation and correspondence.
	Retention and Disposition	Retain permanently.
U0923	**Student Athlete Advising File**	This series documents the academic advising and progress of prospective and current student athletes during their active involvement in the university's athletic program. This helps a university to comply with national athletic association and regional conference rules and regulations.
	Access Restrictions	KRS 164.283
	Contents	Series contains, but is not limited to advising or performance records; academic award records; academic evaluations. Additional athletic documents may include letters of intent, renewals of letters of intent, NCAA Progress Reports, students request for release from athletic programs.
	Retention and Disposition	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.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
K. Food Services Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1102	**Catering Records File**	This series documents the scheduling of catering events by university personnel, both on and off campus. Generally, events held on campus are directly related to university programs and functions. Off campus events could include such things as weddings, corporate events, teleconferences, etc. Labor charges for off campus events, which could include student workers, are paid for by the party scheduling the event. A file is established when the event is scheduled by the Catering Office and may be in a manual or electronic format, or a combination of both. Information from the file is used for billing purposes by the respective accounting office.
	Access Restrictions	None
	Contents	Series contains: Order form, production form, invoices or billing forms
	Retention and Disposition	Retain for three (3) years or after audit, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
L. Bookstore Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1200	**Bookstore Charge Slip - Faculty and staff**	This document is to maintain record of items purchased and charged in the University Bookstore by faculty and staff. Items purchased are charged against employees paycheck. This is a duplicate record. The original in payroll unit for deduction purposes.
	Access Restrictions	None
	Contents	Series contains: Date, cashier name, receipt number, quantity of each item, merchandise charged, unit price, amount, tax, total, employee's signature
	Retention and Disposition	Retain for one (1) year, then destroy.
U1202	**Inventory Return File**	This series contains information and related correspondence on textbooks and other bookstore inventory returned to publisher or vendor for credit. Also contains credit memoranda which are applied to future orders or for which reimbursement is received.
	Access Restrictions	None
	Contents	Series contains: correspondence, invoices, credit memos
	Retention and Disposition	Retain until after reimbursement has been received, or credit has been applied to subsequent orders, then destroy.
U1203	**Special Book Order File**	This series documents orders for books that are not ordered specifically for a college or university class.
	Access Restrictions	None
	Contents	Series may contain: Customer name and contact information; book bibliographic information; cost information.
	Retention and Disposition	Retain until book is received and sold, then destroy.
U1204	**Student Order File**	This series documents book orders compiled for students based on course enrollment information received from the Registrar's Office. Bookstore staff assemble a group of books based on the courses for which a student has registered and the student buys that set of books.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only; 20 USC Section 1232g et seq.; KRS 164.283
	Contents	Series contains: Student name, ID, contact information; book(s) bibliographic data; course(s) information; pricing information
	Retention and Disposition	Retain for one (1) year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
M. Campus Police Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1300	**Call Response Run Report (Incident Report)**	This series documents incidents reported to campus police. Incidents are classified as non-criminal, are regularly responded to by a patrol officer, are routinely closed the same shift and are not given a case number. Incident reports primarily serve as administrative documentation that an incident has been reported to the campus police and what, if any, actions were taken by the campus police.
	Access Restrictions	KRS 61.878 (1)(a) & (h) - Personal Information and Investigation information.
	Contents	Series contains: Agency name, call number, reporting officer, call type, date/time, location of incident, names of persons involved, DOB, SSN and contact information and officer narrative.
	Retention and Disposition	Retain for one (1) year, then destroy.
U1301	**Investigative File**	This series documents all information collected and procedures followed, after an incident/offense report has been filed relating to a case. Investigations may include felonies, misdemeanors, citations given or violations. An arrest is not always made when a violation has occurred. This file is used in the resolution of the case. These are active, inactive, closed, open and suspended investigative files. Additional note: when cases are “turned over” to other law enforcement agencies, due to jurisdictional reasons and/or certain federal criteria regarding the crime(s) having been met, all information gathered by campus police is provided to the other law enforcement entity.
	Access Restrictions	KRS 61.878 (1)(a) and (h)
	Contents	Series may contain: Copy of the uniform offense report, copy of the uniform citation report, the investigative report, photos of crime scenes, photos of suspects, interviews, statements from victims/witnesses/suspects, audio and video tapes, arrest warrants, fingerprints, lab information, criminal history information, correspondence, subpoenas, citations, pleas, sentences and prosecution data.
	Retention and Disposition	Retain for seven (7) years or until five (5) years after closure of case, whichever is longer, then destroy..
U1302	**Parking Citation Receipt File**	This series documents parking citation receipts received by campus police. On some university campuses, parking violations are paid directly to and administered by campus police. This series documents the fines received by campus police for parking violations. Note: Some colleges and universities may designate other departments/units to administer parking citation receipts.
	Access Restrictions	None
	Contents	Series contains: Parking or traffic violation description and violation code, date/time of violation, location of violation, vehicle description, officer name and fines collected.
	Retention and Disposition	Retain for three (3) years, until payment, or until after audit, whichever is longest, then destroy..
U1303	**Parking Permit File**	This series documents campus parking permits issued and administered by campus police departments. Note: Some colleges and universities may designate other departments/units to issue and administer campus parking permits.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains: Application, applicant/permit holder name and contact information, permit number, parking access control card number, designated parking area/location/spot and fees collected.
	Retention and Disposition	Retain for three (3) years or until after audit, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
M. Campus Police Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1305	**Shift Change/End of Shift Report**	This series documents officer shift assignments and may include specific activities, special events and vehicle assignments. Shift change reports and/or end of shift reports generally document routine information such as an officer's assigned area of patrol, if an officer is assigned training, or if an officer is out sick. This report may include certain activities and/or actions taken during the shift such as arrests, traffic stops and other routine policing activities.
	Access Restrictions	None
	Contents	Series contains: Date, shift, officer name, officer status (on duty, training, sick), officer assignment. May also contain: Shift activity summary (traffic stops, arrests, calls), vehicle assignments and activity summary for special events such as sporting events, concerts or other extraordinary events which require campus police presence.
	Retention and Disposition	Retain for five (5) years, then destroy.
U1307	**Uniform Accident Report**	This series documents the Kentucky Uniform Police Traffic Collision Report which all campus police departments use to report and investigate traffic collisions within their respective jurisdictions. This report provides all law enforcement agencies in the Commonwealth a uniform document to record detailed, factual information regarding a traffic accident. The original report is either uploaded to the Kentucky State Police's database directly, or the report is sent to KSP where it is then entered into KSP's database.
	Access Restrictions	KRS 189.635(5), (8) and (9)
	Contents	Series may contain: Local code; agency identification number; name of investigating agency; number killed; number injured; investigation completion note; hit and run note; day of the week; military time; date; intersection; one way note; ramp; direction; mile post; speed limit; operator's license number; state; restriction and compliance note; operator name; address; date of birth; owner name; vehicle make; model; registration number; insurance company name, address; fire and/or overturned note; estimated speed; hazardous cargo note; drawing of accident; photos; property damage note; time of ambulance arrival; witness names and addresses; violation codes; citation number; case number; officer's signature.
	Retention and Disposition	Retain for three (3) years or until after audit, whichever is longer, then destroy.
U1308	**Uniform Citation**	This series documents the use of the Commonwealth of Kentucky Uniform Citation by Campus Police. A Uniform Citation is used when a campus police officer cites a person for the violation of a criminal offense, traffic law, makes a physical arrest, or executes a summons and/or an arrest warrant. The Uniform Citation is used by all law enforcement agencies in Kentucky. The original document is either uploaded to the Kentucky State Police's database directly, or is sent to KSP where it is then entered into KSP's database. For the retention of traffic citations, please see Series U1302, Parking/Traffic Citation Receipt File.
	Access Restrictions	KRS 61.878(1)(a) Personal Information.
	Contents	Series contains: The offender/violator section (name of agency, name of subject, alias, address, I.d. number, ss#, date of birth, sex, race, home phone, emergency phone, resident status, marital status, victim's relationship to offender, ethnic origin, height, weight, hair color, eye color, alcohol/drug involvement), vehicle section (make, type, year, color, state registered, year registered, registration no. identifiers, mph, in mph zone), date/time section (violation date, time, exact location of violation/arrest, breathalyzer. results, date of arrest, time, miles, direction, city, county of violation), charges section (violation code, statute/ordinance, charges, plea, finding, final violation code, disposition code, fine, costs, fee, jail/prison, probation time), court section (court date, court time, court location, court case no. disposition date, trial, clerk's initial), post-arrest section (post-arrest complaint) and case section (name of witness, address, case no., carried for ucr by contributor, fingerprints taken, photos taken, evidence held, officer's signature, badge/I.d. number, assignment).
	Retention and Disposition	Retain for seven (7) years or until five (5) years after closure of case, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
M. Campus Police Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1309	**Uniform Offense Report (KYIBRS)**	This series represents official reports created by campus police of crimes against persons and/or property and reported to the Kentucky State Police (KSP) by completing the Kentucky Incident Based Reporting System Report (KYIBRS). The KYIBRS Report provides a uniform mechanism for law enforcement agencies to report incidents of criminal occurrences within the Commonwealth, as required by KRS 15A.190. In addition, it fulfills the terms of KRS 17.150 and 17.153 which require KSP to collect, tabulate and report such incidents to the legislature, public and the Federal Bureau of Investigation. The report is completed and uploaded into KSP's database directly by campus police or is forwarded to KSP where it is then uploaded for inclusion or reporting crime statistics to the F.B.I and for the creation of KSP's annual publication titled "Crime in Kentucky".
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This series contains: Agency information, incident number, specific incident data, date, time, location, offense description, offense code, property description, property value, victim data, reporting officer, badge number, date completed, time spent and reviewer information. UOR2 Supplement contains summary narrative, property description and status.
	Retention and Disposition	Retain until seven (7) years after incident is reported to the university, then destroy.
U1310	**Vehicle Usage Schedule**	This series documents campus police vehicle usage and/or assignments. Routinely, campus police departments document when vehicles are assigned, to whom vehicles are assigned, and where vehicles are assigned.
	Access Restrictions	None
	Contents	Series may contain: Date, shift, vehicle number, officer assigned and area of use.
	Retention and Disposition	Retain for ninety (90) days then destroy.
U1312	**Evidence Form File (V)**	This series documents the complete inventory of property and evidence seized or otherwise collected during the investigation of a felony or misdemeanor case. This is a system of keeping track of the property and/or evidence and the disposition of that property and/or evidence. The disposition of property and/or evidence may be by destruction, auction, forfeiture, or returned to the owner. Additionally, property and/or evidence may become part of court proceedings. A form is maintained which specifically identifies item(s) and tracks chain of custody to ensure court admissibility. In some units, bar coding has become standard practice in the administration of property and evidence.
	Access Restrictions	KRS 61.878(1)(a) and (h) Personal information and ongoing investigation.
	Contents	Series may contain: Property description and record number, suspect name, address, source of property, date of entry, date of release, released by, arresting officer and badge number, case number, offense, case officer and badge number, booking officer and badge number, owner/victim name and address, location found, found by, bar coding.
	Retention and Disposition	Retain until five (5) years after case closure, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
M. Campus Police Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1313	**Body-Worn Camera Recordings (Audio/Video)**	The audio and video created by the body worn camera documents incidents and happenings that occur while a person is acting in his/her capacity as a law enforcement officer. Footage produced by body-worn cameras may be used as evidence in civil or criminal investigations, reviewed administratively for officer compliance with department policies, used as a tool in law enforcement training, or utilized as a reference in incident documentation, to improve evidence collection, to strengthen officer performance and accountability, to enhance agency transparency, to document encounters between police and the public, and to investigate and resolve complaints and officer involved.
	Access Restrictions	
	Contents	This record series may contain: Time, date, statement by officer and others (witness etc.), video of scene, audio of involved persons, and other incidental recordings.
	Retention and Disposition	Retain all recordings of DUI-related incidents for fourteen (14) months if there is no appeal or if they do not document the actual happening of an accident involving a motor vehicle or after a decision has been made not to prosecute. Destroy upon order from District Court. If the actual happening of an accident is recorded, retain twenty-six (26) months if there is no appeal. Destroy upon order from District Court. Retain non-evidentiary recordings for thirty (30) days, then destroy. Evidentiary recordings used in any investigation, pending investigation, litigation or open records requests must be kept until all investigative or legal activity is completed. The original and all copies of recordings should be destroyed.
U1314	**Dispatch Call/Radio Run Recordings**	This record series documents dispatch calls and all other calls for service to the University Police Department. These may be emergency or non-emergency, either by telephone or by radio. This includes all information that is collected by a dispatcher in response to a call. These calls are forwarded to the appropriate unit, which may be police, fire, physical plant, etc.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Time, date, name of person calling and subjects covered, unit to which the matter was forwarded.
	Retention and Disposition	Retain for thirty (30) days, then destroy if there is no investigation relating to information on the recording. If the recording is being used in an investigation maintain until the resolution of the case, then destroy, erase, and/or reuse the tape or disc.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
O. Financial Aid Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1500	**Student Financial Aid Documentation File (V)**	This series documents the application for student financial aid in the respective universities. Generally, loans fall under the Perkins Loan Program, which is a credit assistance program authorized by Federal law for the benefit of an economically disadvantaged class of persons. Other programs include Pell Grants, Defense student loans and Direct student loans.
	Access Restrictions	KRS 164.283; 20 USC Section 1232g et seq
	Contents	Series contains: Application and supporting documentation (incl. admission, enrollment status, and period of enrollment; eligibility, satisfactory academic progress; program of study and enrolled courses); documentation regarding amount of award and calculations used to determine amount; documentation of loan counseling; verification of applicant's data; financial aid history; Student aid report or Institutional Student Information Record; SFA program participation forms; Dates and amounts of disbursements; Repayment history (date and amount of each repayment over the life of the loan; amount of each repayment credited to principal, interest, collection costs, and penalties/late charges; date, nature and result of each contact with the borrower in the collection of an overdue loan); correspondence.
	Retention and Disposition	Retain until three (3) years after repayment, cancellation, or assignment to the U.S. Department of Education, then destroy. The Promissory note should be returned to student upon repayment. If the retention period ends before the SFA program review, audit or investigation is completed, relevant records must be retained until completion. Schools must adhere to the record retention requirements upon their closing, change of ownership, termination or suspension from participation in the SFA programs.
U1501	**Student Financial Aid Program Records**	This series documents the general administrative and financial operations of a university's Student Financial Aid Office, including accrediting the program, auditing accounts, and evaluating operations.
	Access Restrictions	
	Contents	Series includes, but is not limited to: Program Participation Agreement; Accrediting and licensing agency review, approvals and reports; State agency reports; Audit and review reports; Self-evaluation reports; Other records pertaining to financial responsibility and standards of administrative capability; General financial records, such as bank statements, records of transactions, program reconciliation reports, Records supporting data on required reports.
	Retention and Disposition	Retain until three (3) years from end of award year, then destroy. If the retention period ends before an SFA program review, audit or investigation is completed, relevant records must be retained until completion. Schools must adhere to the record retention requirements upon their closing, change of ownership, termination or suspension from participation in the SFA programs.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
P. Real Property Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1603	**Property Records/Files (V)**	This series documents property bought and sold on behalf of the university. Per 164.410, the governing board of a college or university may purchase, lease, acquire land by other means for the use of the university and may build and make renovations as necessary. Under KRS 164A.575, acquisition of land must be approved by the secretary of the Finance and Administration Cabinet, The amount paid shall not exceed the appraised value as determined by a qualified appraiser or the value set by the eminent domain procedure. KRS 164A.575 also addresses the sale of surplus property.
	Access Restrictions	None
	Contents	Information includes description and location of the property, maps, appraisals, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence
	Retention and Disposition	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.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
Q. Medical Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1700	**Patient File - (Emergency psychiatric services)**	This series documents the medical/psychiatric treatment given to patients who are admitted to a university's Emergency Psychiatric Services Department. A record is created upon admittance. Since the Department is part of the university, it also maintains a patient file on the individual. The record created by Emergency Services is considered an internal document. The record held by the Medical Records Department is considered the official patient record.
	Access Restrictions	KRS 422.330 psychiatrist/patient privilege
	Contents	Series contains: Admitting forms; referral forms; consent forms; data sheets; yellow face sheets; psychiatrist's notes; nurses notes; laboratory test results; hospital transfer forms; prescription information; clinical assessment for holding bed unit; holding bed unit nursing assessment; treatment notes; minimum data sheets; copies of 72-hour holding forms; initial intake information; and discharge summary
	Retention and Disposition	Retain until seven (7) years after last date of service, or in the case of a minor, three (3) years after patient reaches the age of majority, whichever is longer, then destroy.
U1701	**Dental Records - Adults**	This series documents dental services provided to adults through clinics operated by universities, or as a part of dental hygiene course offerings. It is used to document data pertinent to the delivery of treatment, including clinical findings and written histories supplied by patients. Dental hygiene students chart findings and histories, under the supervision of clinical instructors (faculty). NOTE: Conditions requiring extreme or long term care would be referred to other more appropriate care givers.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Series contains: Treatment plan; record of consultation with dentist regarding risk factors associated with dental treatment; record of x-rays; dental molds; documentation of services rendered; payment notations and receipts; and consent form.
	Retention and Disposition	Retain until seven (7) years from the date of the patient’s last treatment or two (2) years after the patient’s death, whichever comes first, then destroy.
U1702	**Dental Records - Children**	This series documents dental services provided to children through clinics operated by universities, or as a part of dental hygiene course offerings. It is used to document data pertinent to the delivery of treatment, including clinical findings and written histories supplied by patients. Dental hygiene students chart findings and histories, under the supervision of clinical instructors (faculty). NOTE: Conditions requiring extreme or long term care would be referred to other more appropriate care givers.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Series contains: Treatment plan; record of consultation with dentists regarding risk factors associated with dental treatment; record of x-rays; dental molds; documentation of services rendered; payment notations and receipts; and consent form.
	Retention and Disposition	Retain until seven (7) years after the patient’s eighteenth (18) birthday or two (2) years after the patient’s death, whichever comes first, then destroy.
U1703	**Diagnostic Files**	This series documents the evaluations of students referred to the Diagnostic Network Coordination Center, or similar unit, by respective school systems. Evaluation may be conducted in one or more of the following areas: psychological, educational, speech and language, and adaptive/social behavior. Personnel test the children utilizing standardized teaching instruments. Reports are prepared and forwarded to the respective school system, for inclusion in the student's permanent record. The evaluations aid the school systems in developing education plans.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Series contains: Referral from respective school system; test protocols (completed by personnel during testing); reports generated for school system; individual education plans prepared by school system; relevant medical records; related reports, usually psychological, prepared by other agencies; social history updates; behavioral observation reports; related school forms
	Retention and Disposition	Retain until five (5) years after child reaches the age of majority, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
Q. Medical Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1704	**Patient Medical File (V)**	This series represents medical records for patients at a university hospital, clinic, or any other university medical facility except psychiatric and dental facilities. Documentation contains sufficient information to identify and assess patients and to furnish evidence of the course of the patient's health care by the provider responsible for the delivery of the care. The record includes documentation of assessments, tests, results and treatment, a description of services rendered, the date rendered, and the service provider's signature. For psychiatric patient files, see Series U0413, Counseling Files, or Series U1700, Patient File - Emergency Psychiatric Services. For dental patient files, see Series U1701, Dental Records - Adults, and Series U1702, Dental Records - Children.
	Access Restrictions	KRS61.878(1)(a)
	Contents	The medical record contains all the documentation necessary for the health care provided to the patient for/by the health department. Information consists of patient identifying and demographic data; financial eligibility and case management data; social and medical histories; documentation of all nursing, medical, social, educational, nutrition, laboratory and radiology services.
	Retention and Disposition	Retain files for patients exposed to hazardous materials until thirty (30) years after date of each exposure, then destroy. Retain files for minors until three (3) years after patient reaches age of majority, then destroy. Retain all other files seven (7) years after last treatment, then destroy.
U1705	**Health and Fitness Record File**	This series documents records submitted for participation in health and fitness-related programs offered by the university to students, faculty, staff and the public. The records provide information needed to evaluate an individual's ability to participate so that an appropriate exercise regimen can be developed. The series also documents an individual's consent to participate and releases the university from any liability in connection with the evaluations.
	Access Restrictions	20 USC Section 1232g et seq for students; KRS 61.878(1)(a) - non-students
	Contents	Series contains: Questionnaires related to general health and specific health conditions; consent forms; release forms; screening results; and diagnostic reports
	Retention and Disposition	Retain for two (2) years then destroy.
U1707	**Credentials File**	This series documents the credentials of medical professionals, residents or students at university medical facilities. The series may be used to substantiate with insurance companies the identity and the qualifications of individuals who wish to practice. Credentialing allows a medical professional to join an insurance carrier's network for billing and reimbursement purposes.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series may contain: Credentialing application forms; updated resume; personal demographic information; practice and business information; state and federal Drug Enforcement Administration (DEA) numbers; state licensing and registration information; evidence of education - e.g. diploma or certificate; recommendations/testimonials; malpractice insurance information; information on any disciplinary actions.
	Retention and Disposition	Retain until ten (10) years after date of last activity, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
Q. Medical Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1708	**Medical Center/Hospital Privileges File**	This series documents applications for hospital privileges submitted by medical professionals, residents and students to university medical facilities. When hospitals grant privileges, they permit an outside doctor to work in their hospital, which includes allowing doctors to admit patients, order labs and treatment, perform procedures, etc. This series applies to: Physicians; Dentists; Advanced Practice Registered Nurses; Certified Nurse Midwifes; Certified Registered Nurse Anesthetists; Doctors of Podiatric Medicine; Licensed Clinical Social Workers; Licensed Professional Clinical Counselors; Ophthalmologists; Physician Assistants; Psychologists; Sexual Assault Nurse Examiners.
	Access Restrictions	KRS 61.878(1)(a) - Personal information
	Contents	Series includes: Application; applicant ID; documentation of education, training, experience and current competence; updated CV; licenses and certifications; letters of recommendation; case reports including treatment outcomes; malpractice suit documentation; appropriate signatures/verifications; copy of visa/work authorization; Commitment to Behavioral Standards form; Security forms; marketing forms; compliance form; Medicare/Medicaid/CHAMPUS Attestation form; verifications; correspondence; procedural checklist
	Retention and Disposition	Retain in the creating unit until seventy-five (75) years after creation, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
R. Sponsored Programs Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1800	**Grant Proposal File - Funded**	This series documents the application for and approval of grant funds which may be used for various types of research, instruction, public service, university operations, student affairs and the awarding of scholarships. Grants are applied for from a variety of federal, state, local and private sponsors. Procedures for the submission of proposals for grants may vary from institution to institution. Both faculty and staff can make application for a grant. Generally, proposals are submitted to the Office of Sponsored Programs, or similar unit, for initial review. Depending upon the type of project being proposed, the review process may go through several levels before a final decision is made. The Office also assists in locating funding sources. Financial documentation on funded grants and contracts is generally maintained by the appropriate business affairs/accounting unit.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	Series contains: Documents pertaining to the application for, and receipt and administration of grant funds, including grant proposal and supporting documentation; applicable grant contract or agreement; budget information; receipt and disbursement records (e.g., journal vouchers; ledgers; procurement receipts and edits; purchase orders); bank statements; financial statements; and reports to granting agency; absence forms; time sheets; travel forms.
	Retention and Disposition	Retain until three (3) years after submission of final financial report, or, for awards that are renewed quarterly or annually, three (3) years after the date of the submission of the quarterly or annual financial report, then destroy. If any litigation, claim, or audit is started before the expiration of the three-year period, retain the records until all litigation, claims or audit findings involving the records have been resolved and final action taken, then destroy.
U1801	**Grant Proposal File - Not Funded**	This series documents the application for grant funds that are not approved by the funding entity. Grants are applied for from a variety of federal, state, local and private sponsors. The reasons for rejection of the applications will vary, depending upon the funding agent. Applications may also be denied as a result of the reviews by the appropriate university officials.
	Access Restrictions	None
	Contents	Series contains: Documents pertaining to the application for grant funds, including grant proposal and supporting documentation; suggested revisions; final proposal; and related correspondence
	Retention and Disposition	Retain until no longer useful, then destroy.
U1802	**Research Approval Files - Human Subjects**	This series documents the application for and authorization of research involving the use of human subjects. All research that involves the use of humans must be approved by the Human Subjects Review Board, or similar entity, including a description of the procedure to be used to gather information from the subjects. A human subject is defined as "a living individual about whom an investigator obtains data through intervention or interaction with the individual, or identifiable private information." The application form is generally completed by the principal investigator and submitted to the Office of Sponsored Programs, or similar unit for initial review. Human participants are those upon whom the principal investigator applies a research technique, (e.g., survey, experimental, evaluation, biomedical research), or many other methods, to elicit data that can be generalized. Examples of activities that constitute research include: 1) any study intended to result in publication or public presentation; 2) any activity resulting in publication or presentation, even though it involves only review of existing data that were collected with no intent to publish; or 3) any use of an investigational drug or device. Human subjects may be used in both basic and applied research projects.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Series contains: Documents pertaining to university approval of the use of human subjects of research, including research proposals, sample consent documents, correspondence regarding revisions, and reports of investigator(s)
	Retention and Disposition	Retain until six (6) years after the study is closed, then destroy. If records are part of a research misconduct investigation, retain until seven (7) years after end of the investigation, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
R. Sponsored Programs Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U1803	**Research Approval Files - Non-Human Subjects**	This series documents the application for and authorization of research involving the use of non-human subjects. Animal subjects may be used in research, research training experimentation, biological testing and related activities. The use of animals for research must be in compliance with the Public Health Service Policy on Humane Care and Use of Laboratory Animals. Also, compliance with all applicable provisions of the Animal Welfare Act and related federal statutes and regulations is expected. Additionally, guidance to institutions is provided through the "U. S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research and Training."
	Access Restrictions	None
	Contents	Series contains: Documents pertaining to approval of the use of animal or other non-human subjects of research, including research proposals, correspondence and supporting documentation; Animal Subject Committee minutes and decisions; and appointment letters
	Retention and Disposition	Retain for three (3) years, then destroy. Retain records that relate directly to proposed activities and proposed significant changes in ongoing activities reviewed and approved by the Institutional Animal Care Use Committee (IACUC) for the duration of the activity and for an additional three (3) years after completion of the activity, then destroy. If records are part of a research misconduct investigation, retain until seven (7) years after end of the investigation, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
T. Legal Office Records

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2000	**Litigation File (V)**	This record series is used to document the litigation process that may arise from a university's being sued or suits brought by a university against others. This material is a working file maintained by the university's attorney. The suits may represent individuals or groups bringing suit for a number of reasons including discrimination, sexual harassment, program liability, personal injury, non-compliance with state and federal law, or others. The case file of record is maintained in the court of jurisdiction.
	Access Restrictions	KRS 61.878 (1)((l)-Atty Client Priv/Work Product
	Contents	May contain Correspondence; Pleadings; Client File; Expenses; Attorney Notes; Medical Records; Government Agency Filings; Discovery [for example Interrogatories, Request for Production of Documents]; Deposition Transcripts; Evidence [for example photos, statements, etc.].
	Retention and Disposition	Retain until ten (10) years after all litigation has ceased, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
Master Files

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2100	**Master Files (including Master Files that are components of Database Management Systems)**	This series consists of organized and consistent sets of information found within a computer file. This information could be the text of a word processing document, the individual data elements found within a database, the data contained in a spreadsheet, or the graphical images on a website. These records could replace, in whole or in part, hard copy administrative records scheduled for disposal under a retention schedule approved by the State Archives and Records Commission. (i.e.: if an agency began creating or receiving electronic reports that had previously been created in paper.) Master files could also consist of the same information that is contained in all or portions of the disposable record(s) it replaces or duplicates. (i.e.: if an agency is imaging paper records) The same retention period and disposal instructions apply to the electronic master file that applied to the previous paper record. Check the Commission-approved schedule to determine the retention period for the master file. Which media version of the records (paper or electronic) an agency should retain depends on a variety of factors such as cost, any potential legal requirements/restrictions, frequency of reference, and the total retention period of the records in question.
	Access Restrictions	None
	Contents	These records could consist of the text of a word processing document, the data elements found within a database, or the graphical images on a website.
	Retention and Disposition	Retain until after the expiration of the retention period authorized in a Archives-and-Records-Commission-approved records retention schedule for the disposable hard copy file or when no longer useful, whichever is later, then destroy. Which media version of the records (paper or electronic) a university should retain depends on a variety of factors such as cost, any potential legal requirements/restrictions, frequency of reference, and the total retention period of the records in question.
U2144	**Electronic Messages**	This series encompasses any communication using an electronic messaging system for the conduct of agency business. Electronic messaging systems manage and facilitate the sending and receiving of electronic messages with associated attachments and may also allow for calendaring and scheduling of appointments. These systems have become an increasingly important and common communication tool for public agencies. Unified messaging systems allow for a common user in-box for email, voicemail, and text messages allowing users to manage all three from a single point. Use of mobile technologies such as RIM's Blackberry, Personal Digital Assistants (PDA), and web-enabled cell phones enable users to access messages outside of the office setting. Electronic messaging systems such as a listserv allow for broad distribution of messages sent to a single address to multiple recipients. With the ability to attach files to electronic messages, electronic messaging systems have transitioned from simple messaging systems to repositories of public records. Most electronic messages have very limited value and can be deleted immediately upon receipt, but some document agency functions and provide evidence of agency business. The dynamic and often informal nature of electronic messages, coupled with the ease with which electronic messages can be sent and received, can lead to personal and other non-business related messages being mixed with business related messages. Electronic messages should be managed and retained in a manner that protects the integrity of the records and allows for the efficient management of the records over the prescribed retention period.
	Access Restrictions	None
	Contents	Electronic messages are any message sent or received by an electronic messaging system. Electronic messages may be in the form of electronic mail (email); text messages (such as on a Blackberry or other portable device); voicemail messages (in a voicemail box on a phone, or as an audio file in a unified messaging environment); or faxed messages (faxes are electronically transmitted with a paper output, or may be maintained electronically as an electronic fax.) In addition to the body of the message, text-based messaging systems (email, text messages, faxes and voicemail through a unified system) contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Email messages may also include attached files.
	Retention and Disposition	Electronic messaging systems are a form of communication. The messages found in these systems can be any type of record. Identify what type of record the message is and retain until the retention period on a State-Archives-and-Records-Commission-approved records retention schedule has been met, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
1. General Administration

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2102	**Data Processing Unit Subject Files**	Correspondence, memoranda, reports, publications, and related records used to support the administration of agency data processing services. These records may exist in either paper or electronic form. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. EXCLUDING system documentation, this series is covered separately (See Series U2105, U2106, U2108, and/or U2111)
	Access Restrictions	None
	Contents	Correspondence, memoranda, reports, publications, and related records.
	Retention and Disposition	Retain until obsolete or superseded, then delete or destroy. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation and source code in an accessible format. This is particularly crucial if the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
U2103	**Data Processing Policies**	Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership. These records may exist in either paper or electronic form.
	Access Restrictions	None
	Contents	Records covering access and security, systems development, data retention and disposition, and data ownership.
	Retention and Disposition	Retain until three (3) years after policy is withdrawn, revised, updated, or superseded, then destroy..

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
2. Systems and Application Development

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2104	**Application Development Project Files**	Records created and used in the development, redesign, or modification of an automated system or application. These may include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. These records may exist in paper or electronic form. Note: In some circumstances, agencies may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see Series U2105 and U2106).
	Access Restrictions	None
	Contents	Project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. Records Not Covered: System or application documentation (see items U2105 and U2106)
	Retention and Disposition	Retain until three (3) years after system is no longer in use, then delete or destroy. Note: In some circumstances, universities may wish to maintain these files longer for reference purposes. All relevant information and final documentation should be contained in system and application documentation files (see items U2105 and U2106).
U2105	**Data Systems Specifications**	User and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. These records may exist in paper or electronic form.
	Access Restrictions	None
	Contents	Records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. Records Not Covered: Data documentation and other records used to explain the meaning, purpose, or origin of data (see item U2106).
	Retention and Disposition	Retain until three (3) years after discontinuance of system or application or until system's or application's data is destroyed or transferred to a new structure or format, whichever is longer, then destroy. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
2. Systems and Application Development

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2106	**Data Documentation**	These records generally created during development or modification and are necessary to access, retrieve, manipulate and interpret data in an automated system. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. These records may exist in paper or electronic form. These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. Application design documentation and user's guides covered by Series U2105 may also serve to explain how data was interpreted and used.
	Access Restrictions	None
	Contents	Data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.
	Retention and Disposition	Retain until three (3) years after discontinuance of system or application or until system's or application's data is destroyed or transferred to a new structure or format, whichever is longer, then destroy. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
U2107	**Special Purpose Programs/Source Code**	These records consist of the application software or the automated program code which generates the machine-language instructions used to maintain a master file or database or operate an automated information system. Note: This Series coincides with Series U2115, System Backup Files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice; i.e., that 3 generations of backups be retained (see Series U2115).
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until related master file, database, or application is no longer in use and has been deleted, or until audit requirements have been met, whichever is longer, then destroy. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation/source code in an accessible format. This is particularly crucial if the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
U2108	**Technical Program Documentation**	These are the paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs. These records are used for reference, backup, system audits, to insure adequacy of change documentation, or to rectify errors in program implementation.
	Access Restrictions	None
	Contents	Paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.
	Retention and Disposition	Retain until three (3) years after replacement, modification, or related programs cease to be used, then destroy. Note: Universities may consider retaining documentation for critical systems for a longer period.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
2. Systems and Application Development

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2109	**Test Database/Files**	Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system
	Access Restrictions	None
	Contents	Routine or benchmark data sets, related documentation, and test results.
	Retention and Disposition	Retain until no longer useful or until user acceptance is documented, three (3) years for audit requirements, and management review and approval of test results, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
2. Systems and Application Development

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2101	**Technical Reformat File**	This series consists of electronic files consisting of data copied from a master file or database for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the State Archives.
	Access Restrictions	None
	Contents	COM (Computer Output Microfilm), COLD (Computer Output Laser Disk), Digital to microfilm conversion.
	Retention and Disposition	Retain until no longer useful, then delete.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
3. Computer Operation and Technical Support

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2110	**Data Processing Operating Procedures**	This series consists records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation. They may exist in either paper or electronic form and should be disseminated to all employees that are required to operate the data processing system.
	Access Restrictions	None
	Contents	Procedures manual(s) for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.
	Retention and Disposition	Retain until three (3) years after procedure is withdrawn, revised, updated, or superseded, then destroy.
U2111	**Data Processing Hardware Documentation**	This series consists of records documenting the use, operation, and maintenance of an agency's data processing equipment. These records may be in either paper or electronic form and may include any and all operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.
	Access Restrictions	None
	Contents	Includes operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.
	Retention and Disposition	Retain until after the university no longer uses related hardware and all data is transferred to and made useable in new hardware environment, then destroy. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. Note: Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis.
U2113	**Operating System and Hardware Conversion Plans**	These records deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance and should be part of regular migration/conversion schedule built into the design of the system. These records may exist in either paper or electronic form.
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until one (1) year after successful conversion, then destroy.
U2114	**Disaster Preparedness and Recovery Plans**	This series consist of records related to the protection and reestablishment of data processing services and equipment in case of a disaster. These records may exist in either paper or electronic form. They should be backed-up or copies made, with some copies stored off-site in secure location. The plans should be updated on a regular basis and all personnel should be trained in the procedure for implementation of the plans.
	Access Restrictions	None
	Contents	Disaster recovery manuals, Business continuity plans, inventories, procedure plans, contact lists.
	Retention and Disposition	Retain until three (3) years after superseded by revised plan and after audit requirement is met, then destroy. Note: Universities should store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
3. Computer Operation and Technical Support

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2115	**System Backup Files**	This series consists of copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. These backups are usually done on a regular basis and are not intended for recordkeeping purposes. Some backup media should be stored off-site in a secure location. Backups used to document transactions or retained for purposes other than system security should be scheduled separately by the responsible program unit. Note: It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.
	Access Restrictions	None
	Contents	Copies of master files or databases, application software, logs, directories, and other records
	Retention and Disposition	Retain for three (3) system backup cycles, then destroy.
U2116	**System Users Access Records**	This series consists of electronic or textual records created to control or monitor individual access to a system and its data. These records are primarily created for security purposes, although some records, particularly user account records, are needed for data processing or fiscal audits. These records may include user account records, security logs, and password files. Computer Usage Records (Series U2117) may also serve some security purposes. (Related records U2117, U2118, U2122, U2124, U2137, U2138, U2140, U2141)
	Access Restrictions	None
	Contents	May include user account records, security logs, and password files.
	Retention and Disposition	Retain until one (1) year after the individual no longer has access to the system or until audit requirements for the records modified by that individual have been met, whichever is longer, then destroy.
U2117	**Computer Usage Files**	Electronic files or automated logs created to monitor computer system usage. Records in this series may include log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage. These records may be needed for summary reports, charge-back billing, system audits, or may be related to other purposes such as system security or evaluation of overall system performance (Related records, U2116, U2118 - Network Usage; U2137, U2138 - Internet usage U2140, U2141).
	Access Restrictions	None
	Contents	Log-in files, system usage files, charge-back files, data entry logs, and records of individual computer program usage. Records Not Covered: Security logs and related records (see item U2116).
	Retention and Disposition	Retain until no longer useful, or until all audit or legal requirements for the record have been met, whichever is longer, then destroy.
U2118	**Summary Computer Usage Reports**	Summary reports and other paper records created to document computer usage for reporting or cost recovery purposes. These records may complement records needed for reporting, reference, charge-back billing, system audits, system security, or other purposes (Related records U2117, U2118, U2122, U2124 U2137, U2138, U2140, U2141)
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until no longer useful, or until all audit or legal requirements for the record have been met, whichever is longer, then destroy.

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State University Model
U. Electronic and Related Records
3. Computer Operation and Technical Support

Record Group Number
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Series	Records Title and Description	Function and Use
U2119	**Computer Run Scheduling Records**	This series is used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run. Scheduling records for the current fiscal year may be needed for audits. Information on runs may also be retained in internal system logs, which should be retained with system backup covered by Series U2115 and computer usage records covered by Series U2118.
	Access Restrictions	None
	Contents	Daily schedules, run reports, run requests and other records documenting the successful completion of a run.
	Retention and Disposition	Retain until after the fiscal year covered by the records, then destroy.
U2120	**Input/Source Documents**	This series consists of electronic and paper documents and/or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as needed for signatures) and not previously scheduled for retention in an approved agency records retention schedule. May also include electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. Input records retained for fiscal audit or legal purposes, or, containing information needed by a program unit, should be scheduled by the responsible program unit. Input records that document valid transactions are covered by Series U2122. Input records which serve a fiscal audit purpose may be covered by Series in the Fiscal Operations records section of this schedule.
	Access Restrictions	None
	Contents	Electronic or paper files or records that may contain uncalibrated and unvalidated data, documents to be reformatted into electronic media.
	Retention and Disposition	Retain until data have been entered into the master file database and verified; when no longer required to support reconstruction of, or serve as backup to master file or database; or until audit requirements are met, whichever is longest, then destroy.
U2121	**Work/Intermediate Files**	Records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, manipulate, or sort data within an automated system when all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail. Records Not Covered: Intermediate files retained to document valid transactions, to serve as an audit trail, or needed for system recovery backup.
	Access Restrictions	None
	Contents	Batch updates to a database that require user approval before data is altered.
	Retention and Disposition	Retain until after the transaction is completed, then destroy.
U2122	**Valid Transaction Files**	Records used to update and/or document a transaction in database or master file. Valid transaction records are retained to create an audit trail for a master file/database and can be used to recreate a database/master file or document changes in a master file/database for legal admissibility purposes. These records may include valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes. Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, should be separately scheduled by the responsible program unit. (Related record U2124)
	Access Restrictions	None
	Contents	Valid transaction files, DBMS log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes.
	Retention and Disposition	Retain for three (3) database/master file backup cycles, then destroy.

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U. Electronic and Related Records
3. Computer Operation and Technical Support

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Series	Records Title and Description	Function and Use
U2123	**Print Files (Not Used to Document a Transaction)**	Source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions. Print files needed for fiscal audits or retained to document transactions should be separately scheduled by the responsible program unit. For summarized or extracted data files, see U2125. For files used as a means by which data could be reformatted to another medium to meet storage requirements, see U2106.
	Access Restrictions	None
	Contents	Hard copy publications, printouts of tabulations, ledgers, registers, reports
	Retention and Disposition	Retain until after all print runs are completed, output verified (if required), and university has no need to reproduce the report, then destroy.
U2124	**Audit Trail Files**	Audit trail files consist of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle. Audit files are retained to create a management audit trail for and to ensure the quality of data (quality control). They can aid in recreating or documenting changes in a master file or database for legal admissibility or other purposes by validating the that the system is operating as it is designed to (authentication). Combined with Series U2122, audit trail files may also be used to document that a transaction has taken place, recording date, time, user, etc.. (business tracking/verification)
	Access Restrictions	None
	Contents	Examples of database fields that might be used as an audit trail include: Date Stamp, Time Stamp, User's ID, Account # accessed, Item that was changed (before and after)
	Retention and Disposition	Retain until no longer useful, or until all audit or legal requirements for the record have been met, whichever is longer, then destroy.
U2125	**Summary or Extracted Data Files**	This series consists of reports that contain summarized or aggregated information created by combining data elements or individual observations, or extracting files from a single master file or database that is disposable under a general records series or is authorized for deletion by a disposition job approved by KDLA after January 1, 1988, EXCLUDING data files that are: a) created as disclosure-free files to allow public access to the data; or b) created from a master file or database that is unscheduled, or was scheduled as permanent but no longer exists, or can no longer be accessed; c) created by an extraction process which changes the informational content of the source master file or database; which may not be destroyed before securing KDLA approval. (For print and technical reformat files see U2123)
	Access Restrictions	None
	Contents	Statistical reports, monthly reports, extracted reports.
	Retention and Disposition	Retain until no longer useful, then destroy.

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U. Electronic and Related Records
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Series	Records Title and Description	Function and Use
U2126	**Finding Aids (Indexes) or Tracking Systems**	This record consists of electronic indexes, lists, registers and other finding aids used only to provide access to records authorized for destruction by this general schedule or a KDLA-approved schedule, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. Finding aids and tracking systems of program units other than data processing units should be scheduled by the responsible program unit in conjunction with the related program records. Tracking systems used for audit purposes are scheduled under Series U2122, and U2124)
	Access Restrictions	None
	Contents	Electronic indexes, lists, registers, and other finding aids. Databases associated with imaging/document management systems.
	Retention and Disposition	Retain until the related hard copy or electronic records have been destroyed, then destroy. Note: In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the university). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
U2127	**Automated Tape Library System Files**	This series consists of automated records used to control the location, maintenance, and disposition of magnetic media in a tape library.
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until related records or media are destroyed or withdrawn from the tape library, then destroy.
U2128	**Tape Library Control Records**	This series consists of records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. These records may exist in paper or electronic form. (Related record U2124)
	Access Restrictions	None
	Contents	Reports on the destruction of files, list of holdings and control logs.
	Retention and Disposition	Retain until superseded, then destroy.
U2129	**Data/Database Dictionary Reports**	This series consists of periodic printouts from a data/database dictionary system. It includes data element attribute reports, database schema, and related records used for reference purposes. The official copy of essential data documentation is covered by Series U2106.
	Access Restrictions	None
	Contents	Includes data element attribute reports, database schema, and related records.
	Retention and Disposition	Retain until superseded or no longer used by university, or until audit requirements are met, whichever is longer, then destroy.

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State University Model
U. Electronic and Related Records
4. User/Office Automation Support

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2130	**Site/Equipment Support Files**	This series consists of records documenting support services provided to specific data processing equipment or installations. These include site visit reports, program and equipment service reports, service histories, and correspondence and memoranda that document the day-to-day maintenance of the system equipment. These records may exist in paper or electronic form. (Related record U0137, U2134, U2135, U2136)
	Access Restrictions	None
	Contents	Site visit reports, program and equipment service reports, service histories, maintenance logs, and correspondence and memoranda.
	Retention and Disposition	Retain site visit reports, problem and equipment service reports, and routine correspondence and memoranda until three (3) years after creation, then destroy. Retain service histories and other summary records until after the related equipment is no longer in use, then destroy.
U2131	**Help Desk Telephone Logs and Reports**	This series consists of records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes. These records are needed to monitor user problems and equipment use, to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes. These records may exist in paper or electronic form. (Related record U2131)
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) year, then destroy.
U2133	**Software Review Files**	This series consists of records related to the review and recommendations for software for agency use. These records include vendor information, manuals, software reviews, and related material.
	Access Restrictions	None
	Contents	Includes vendor information, manuals, software reviews, and related material.
	Retention and Disposition	Retain until software is no longer used by university, or until audit requirements are met, then destoy..

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
U. Electronic and Related Records
5. Network/Data Communication Services

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2134	**Network Site/Equipment Support Files**	This series consists of records documenting support services provided to specific sites and computer to computer interfaces on a network. They may include site visit reports, trouble reports, service histories, and correspondence and memoranda. (Related record U2130, U2135, U2136)
	Access Restrictions	None
	Contents	Includes site visit reports, trouble reports, service histories, and correspondence and memoranda.
	Retention and Disposition	Retain site visit reports, trouble reports, and routine correspondence for three (3) years, then destroy. Retain service histories and other summary records until after the related equipment or site is no longer in use, then destroy. Note: Routine records that do not contain substantial information on the maintenance history or site can be weeded and destroyed on an annual basis.
U2135	**Inventories of Circuits, Network Connections (Hubs)**	This series consists of automated or paper records containing information on network circuits used by the agency. They may include Series such as circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit. (Related record U2130, U2135, U2136)
	Access Restrictions	None
	Contents	Includes circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.
	Retention and Disposition	Retain until after the circuit is no longer used by the University, then destroy.
U2136	**Network or Circuit Installation and Service Files**	This series consists of copies of requests by agencies to GOT or service provider for data communication service, installation, or repair and response to the request. They may include Series such as work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents. (Related records U2130, U2135)
	Access Restrictions	None
	Contents	Includes work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents.
	Retention and Disposition	Retain until one (1) year after request is filled or repairs are made, whichever is longer, then destroy. Note: Before disposing of these records, universities must ensure that no legal actions have been initiated which might require access to them.
U2137	**Network Usage Files**	This series consists of electronic files or automated logs created to monitor network usage. These records may be needed for summary reports, system audits, system security, or other purposes. (Related records U2116, U2117, U2118, U2122, U2124, U2138, U2140, U2141)
	Access Restrictions	None
	Contents	May include log-in files and system usage files.
	Retention and Disposition	Retain until no longer useful, or until any appropriate review and verification, whichever is longer, then destroy.

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State University Model
U. Electronic and Related Records
5. Network/Data Communication Services

Record Group Number
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Series	Records Title and Description	Function and Use
U2138	**Network Usage Reports**	This series consists of summary reports and other records created to document computer usage for reporting or other purposes. These records may be needed for reporting, reference, charge-back billing, system audits, system security, evaluation of system performance, or other purposes. These records may exist in paper or electronic form. (Related records U2116, U2117, U2118, U2122, U2124, U2138, U2140, U2141)
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until one (1) fiscal year after creation, or until audit requirements are met, whichever is longer, then destroy.
U2139	**Network Implementation Project Files**	This series consists of an agencies' records used to plan and implement a network and may include reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.
	Access Restrictions	None
	Contents	Includes reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.
	Retention and Disposition	Retain until superseded, or until audit requirements are met, whichever is longer, then destroy.

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State University Model
U. Electronic and Related Records
6. Internet Services

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2140	**Agency Internet Services Logs**	This series consists of electronic files or automated logs created to monitor access and use of agency services provided via the Internet. These records may include services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web site, or via agency Telnet services. This series may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, system audits, system security, or other purposes. (Related records U2116, U2117, U2118, U2122, U2124, U2137, U2138, U2141)
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until no longer useful, or until audit or legal requirements for the record have been met, whichever is longer, then destroy.
U2141	**Employee Internet Use Logs**	This series consists of electronic files or automated logs created to monitor and control use of the Internet by agency employees. These records may include services provided via an agency gopher site, FTP (file transfer protocol), or World Wide Web site, or via agency Telnet services. This series may be needed to document services provided by the agency and access/use of these services by its customers. Records may be used for summary reports, system audits, system security, or other purposes. (Related records U2116, U2117, U2118, U2122, U2124, U2137, U2138, U2140)
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until no longer useful, or until any appropriate review and verification, whichever is longer, then destroy.
U2142	**Website Content Records**	This series represents any content on an agency's website that meets the statutory definition of a record [KRS 171.410 (1)], or records that may be generated when a user interacts with the website. Agency websites provide access to records that document an agency's duties and activities. In some cases agencies may be conducting business transactions or providing services to the public through its website. For a growing number of agencies, the website may be the primary point of access to agency records for the general public and agency personnel. Websites may be static with content added and removed on a regular schedule or they may interactive and dynamic where content is pulled together at the user's request from data in agency databases. Some agency websites are relatively simple collections of the work of the entire agency, or they may be complex with each divisional unit in the agency maintaining a unique collection of pages. Agencies should analyze their websites and determine if the records found on the site are scheduled or a schedule needs to be created for the records. Some websites could contain vital records, especially those sites providing services through the site. Some websites may contain restricted information that is password protected or requires some form of registration to access the site. Agencies need to conduct a risk assessment to determine the level of recordkeeping and security required for website
	Access Restrictions	See function and use
	Contents	May contain a variety of records in several formats (text, data, digital image, audio, or video files). Records commonly found on agency websites include: publications (U0109), meeting minutes (U0104), annual reports (U0112), photographs (U0107), press releases (U0108), maps (U0131), organizational charts, policies and procedures (U0124), and mission statements. Websites may also serve as access points for data in agency databases (U2100, Master Files). Agencies need to analyze the content of their websites and inventory the records that are found on the site.
	Retention and Disposition	Retain duplicate copies of records until no longer useful, then destroy. Retain official copies until the retention period on a State-Archives-and-Records-Commission-approved records retention schedule has been met, then destroy. Universities that maintain permanent records on their sites should contact KDLA if the records are taken offline.

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State University Model
U. Electronic and Related Records
6. Internet Services

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2143	**Website Format and Control Records**	This series represents the applications automated files, commands and scripts that assist in the creation, design, and operation of a website. Agencies may use a state approved Content Management System (CMS) to control placement of content on a site, update frequency, track version control of individual pages, and manage removal of content. Agencies commonly use a standard template or style sheets to provide background layout and information that ensure uniformity of the "look and feel" of all of the pages on a site. Some websites serve as the main access point to data in agency databases and therefore use specialized applications and commands to pull and arrange that data on command. This series also includes the records that assist in controlling and tracking access to websites and the corresponding content on the site.
	Access Restrictions	None
	Contents	This series may include: style sheets; templates; XML schema or DTD's; dynamically rendered content such as Cold Fusion (.cfm) files, Hypertext Preprocessor (.php) files, Server Side Inclusions (.shtml), and Active Server Page (.asp) files; specialized scripts embedded in HTML pages (such as javascript); Common Gateway Interface (CGI); Structured Query Language (SQL).
	Retention and Disposition	Maintain until related website content file, database, or application is no longer in use or has been superseded, or until any administrative, legal, or audit requirements have been met, whichever is longer, then destroy. Note: In some cases universities will retain data for extended periods, sometimes offline. It is essential that they retain related applications and code in an accessible format. This is particularly crucial when the related website content records are judged to be archival. When web related records are transferred to the State Archives Center, it is essential that they be accompanied by the appropriate applications, templates, and controls that allow for an accurate rendering of the content. See the appropriate transfer requirements for more instructions.

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State University Model
V. Administrative Services Records
Development Office

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2200	**Donor/Endowment Records**	These records document gifts to the university by organizations, trusts, or private citizens. These gifts are generally monetary, but may also be land or other in-kind contributions. Endowment records document money given to the university to support a position, scholarship, professorship, chair, etc. Universities keep an electronic database with donor-related information. Hard copy records (sometimes referred to as donor batch files) are used to create and maintain the master database of gifts, pledges, and bequests. This series also includes batch proof reports, which are reports generated from the main database; and batch status sheets, a form of checklist together with supporting documentation to track entry of gifts into the main database.
	Access Restrictions	KRS 61.878(1)(a) - Personal information only
	Contents	The main database may contain donor names, personal/academic/professional information, and contact information, amounts, dates, payment methods, other contacts with the donor, and other related records. Donor batch files may include: Gift or pledge/payment forms, including donor name and contact information; agreement; amount of the gift, pledge, or payment; date; photocopies of checks, envelopes, gift solicitation forms, or other correspondence from the donor received along with the gift, pledge, or payment; copies of receipts; and related notes. Batch proof reports include donor names, dates, amounts, transaction types, payment method (including check numbers), school/year of donor, and any restrictions on the gift. Batch status sheets: total amount of a gift, pledge, or payment; when it was entered into the database; when receipts and/or letters of acknowledgment to the donor were written, proofed, & mailed; if the gift was for a specific fund; and related notes and comments. Series also includes screenshots from the production database as data was entered, cash register tapes, and other related records.
	Retention and Disposition	Purge database when no longer useful. Retain letters and agreements of gift, copies of bequest instruments and wills from individuals or estates permanently. Retain related documentation and correspondence from major donors permanently. Retain all other records for ten (10) years or until funds are exhausted, then destroy.

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State University Model
W. Animal Diagnostic Laboratories

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2300	**Diagnostic Files**	This series documents diagnostic testing performed by laboratory staff at the Center. Cases are generally referred to the Center from veterinarians. Veterinarians submit the specimen with the Accession Report and the specimen is sent to the appropriate section of the laboratory. Testing results are reviewed by pathologists who make a determination and issue a final report. The report is released to the veterinarian. When certain diseases are detected, the report must also be sent to the State Veterinarian's Office in the Kentucky Department of Agriculture. Information from the accession form and the test results is entered into the Laboratory Information Management System (LIMS). This data can be extracted in summary formats for reporting and research purposes. An initiative is underway to provide a real time connection from the State Veterinarian's Office to the LIMS database. This data sharing is to be a part of the Kentucky Herds Identification project to provide constant monitoring and rapid detection of disease outbreaks. The diagnostic labs are a service provider and not the final custodian of the diagnostic reports.
	Access Restrictions	KRS 61.878(1)[c]
	Contents	Accession Report; test results from samples; final report; correspondence; may contain notes specific to the particular lab running the tests.
	Retention and Disposition	Retain until five (5) years after the final case report is produced, then destroy.
U2301	**Quality Control Files**	This series documents the quality of day-to-day operations at the Center. These materials are used to report to the American Association of Veterinary Laboratory Diagnosticians (AAVLD), which is the accreditation agency. The file documents such issues as continuing education on the part of the employees, the status of equipment and the implementation of records management within the Centers. The basic organizational components of the AAVLD "Quality System" are drawn from ISO 9000 standards. There are also performance standards drawn from ISO 15189 (medical organizations) and ISO 17025 (environmental organizations). The operations quality monitoring process is also used for internal agency management reviews. Upon determination of any performance lags, this series will also document corrective actions taken by the Center. Accreditation audits are conducted every five (5) years.
	Access Restrictions	None
	Contents	This series may contain forms, logs and worksheets documenting quality measurements, equipment maintenance and calibration. Also included could be periodic activity reports, customer complaints, photos or other documentary evidence, correspondence and accreditation certificates.
	Retention and Disposition	Retain for five (5) years, then destroy.
U2302	**Test Validation Records**	This series documents that new or updated diagnostic test procedures give as good or better results than the standard tests currently in use. Tests must be "normed" against established national standards so that there is a very high probability that the results of a test will be consistent. The validation of a test procedure is done when there is a new test created by researchers and scientists, or an upgraded version of a test is made available by a vendor. Parallel studies are done with the established test procedure and the new procedure using known values that should produce exactly the same results. If a statistical analysis of multiple tests shows that there is no significant variation in the results gained by the two testing methods, the newer test is considered to be validated for that particular use. An existing test may be modified in some aspect of its procedure and this must also be validated against an established standard to determine if the results are consistent. Each laboratory section is responsible for validating the new or modified tests it uses. This is not a common occurrence, but it is important to stay current with the research and testing being done in the diagnostic field and to take advantage of new developments. An example of a new test method that has been validated in some situations is using biochemical reactions in a test environment to determine the presence of bacteria rather than growing a sample on a culture plate for visual or microscopic identification.
	Access Restrictions	None
	Contents	This series contains the actual data used in the test validation and summary reports generated from the data. The types of data and formats will vary based on the nature of the test procedure.
	Retention and Disposition	Retain test results for seven (7) years after the validated test has been phased out and is no longer used, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
W. Animal Diagnostic Laboratories

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2304	**Proficiency Testing Reports**	This series documents how accurately an unknown sample is identified by a laboratory. Testing is carried out by a Diagnostic Center laboratory on a sample or specimen provided by a national source as part of quality assurance measuring for accreditation. A number of laboratories receive exactly the same type of specimen and are to perform exactly the same test, without knowing in advance what values are to be expected. Actual test results are compared across the different labs and any significant deviation in results can prompt further review of a labs' procedures by Center management or the American Association of Veterinary Laboratory Diagnosticians which accredits the Centers. Proficiency testing of this type for quality assurance is done for many different laboratory settings, including hospitals.
	Access Restrictions	None
	Contents	This series contains the reports of various external professional organizations that provide the samples for testing and prepare comparisons of the results obtained by the laboratories. The organizations include the Veterinary Laboratory Association, the National Veterinary Services Laboratory, the Animal and Plant Health Inspection Service, the American Association of Bioanalysts and the College of American Pathologists.
	Retention and Disposition	Retain until after accreditation in most current cycle is received, then destroy.
U2305	**Regulatory Testing Report Forms**	This series documents that a horse is free from specific diseases monitored by the Department of Agriculture. To sell a horse by consignment in Kentucky, or to transport a horse into or out of Kentucky, laboratory tests are required to determine if infectious diseases are present. The test(s) required depend on the type of horse (mare, racing, etc.). The report form in this series serves as a certificate that the animal does not have a reportable infectious disease and is in effect for one year. The form is four parts with the original going to the owner and a copy being retained by the testing laboratory for a short period of time in the event the owner, the referring veterinarian, or a state agency would need a replacement. A perforated seal is part of the certification to prevent altering and copying of forms when presented to sales agents, transporters or owners. Specimens and samples associated with a test are held for 30 days. This is a high volume series of tests, with over 5,000 being done in a sales season for Keeneland. Standards related to disease reporting and control in animals are promulgated by the Organization of Epizootic Infectious Diseases (OEI). This organization serves a similar function in the animal field as the United Nations World Health Organization (WHO).
	Access Restrictions	KRS 61.878(1)(c)1.
	Contents	This series is carbonated copies of the test reports for Equine Infectious Anemia (EIA), Equine Viral Arteritis (EVA), Contagious Equine Metritis (CEM), the "Coggins" test (which is a screening for Brucellosis) and other reports required by regulation.
	Retention and Disposition	Retain until two (2) years after report is produced, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

State University Model
X. Plant Disease Diagnostic Laboratory

Record Group Number
7050

Series	Records Title and Description	Function and Use
U2400	**Diagnostic Files (V)**	This series documents diagnostic testing performed by laboratory staff at the Plant Disease Diagnostic Laboratory (PDDL). Cases are generally referred to the PDDL from county extension agents. Agents submit the specimen along with the Plant Disease Identification Form. Testing results are reviewed by diagnosticians who make a determination and issue a final report. Upon release, the original copy of the report is sent to the grower and a copy is maintained by the laboratory and the agent. When certain diseases are detected, the report must also be sent to the State Plant Health Director and the State Plant Health Regulatory Official. They may report this information to the United States Department of Agriculture Animal and Plant Health Inspection Service. Information from the Plant Disease Identification Form and the test results are entered into the laboratory database. These data can be extracted in summary formats for reporting and research purposes. Periodically, data are uploaded to the National Plant Diagnostic Network database.
	Access Restrictions	None
	Contents	Plant Disease Identification Form; other information submitted by County Extension Agent or outside laboratory; correspondence
	Retention and Disposition	Retain for five (5) years, then destroy.