SSARC-932 (09/20)

Louisiana State Archives-Records Management Page 1 of 98 R2024-146 MMM Louisiana Secretary of State Post Office Box 94125, Baton Rouge, LA 70804 recmgt@sos.la.gov Indicate Use of Form Agency / Division / Section Agency No _ORIGINAL SUBMISSION 066.000 University of Louisiana Monroe / Office of the President __RENEWAL State Records Center REPLACEMENT PAGE Item **Retention Period** Archival X ADDENDUM PAGE **Records Series Title** Security Number Total In Remarks Vital In Office Storage Retention 1 **Board of Supervisors** ACT + 8 FY 0 ACT + 8 FY Р S Ν Т ACT = until end of FY in which created or received. 2 **Board of Regents** Р ACT + 8 FY 0 ACT + 8 FY S ACT = until end of FY in which created or received. N Т 3 General Correspondence ACT + 5 FY Ρ U 0 ACT + 5 FY S Ν ACT = until end of FY in which created or received. 4 Legal ACT + 5 FY **PERM** PERM М R N V ACT = until end of FY in which matter closed. 5 President's Correspondence ACT + 5 FY PERM PERM М R Ν V ACT = until end of FY in which created or received. 6 **University Construction Files** Ρ R ٧ ACT + 4 FY PERM **PERM** N ACT = until end of FY in which project completed. **Permitted Retention Period Abbreviations Security Status Codes** State Records Center **Agency Abbreviations** Use ACT – Active Period (when used define term in remarks column) P - Public Record Y - Yes FY- Fiscal Year (July 1- June 30) M - May Contain Confidential Information N - No CY - Calendar Year (Jan 1 - Dec 31) C - Confidential Information AY - Academic Year (Aug 1 - July 31) **Archival Processing Codes** Vital Record **Identification Code** FFY - Federal Fiscal Year (Oct 1 - Sept 30) A - Transfer to State Archives V= Vital MO - Months WK - Week (Mon-Sun) DY - Day(s) R - Retain in Agency Archives I = Important PERM - Permanent (Life of State) LOA - Life of Agency S - Review by State Archives U= Useful NOTE: Please put an asterisk (*) in the Remarks section for any record O - Other (Specify in Remarks) series that contains born-digital or imaged records. Include brief description of the technology. (Ex. Scanned to OnBase).

Heather R. Pilcher

1/10/2024

Secretary of State, State Archives & Records Services

JAN 2 2 2024

Agency Approval

Date Signed

Louisiana State Archives—Records Management

SSARC-932 (09/20)

| Agency No | Box 94125, Baton Rouge, LA 70804 Agency / Division / Section | | | | | | | V | Indicate Use of Form | |
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| 066.000 | niversity of Louisiana Monroe / Office of the President / Athletic Director & Athletic compliance | | | | | | မှ | | ORIGINAL SUBMISSION X_RENEWAL REPLACEMENT PAGE | |
| ltem Number | Records Series Title | R | | <u>.</u> | Recor | | ADDENDUM PAGE | | | |
| Number | Records Series Title | In Office | In Storage | Total Retentio | Security | Archival | State Records Center | Vital | Remarks | |
| 1 | Athletic Grant-in-Aid Award Letters | ACT + 6 AY | 0 | ACT + 6 A | AY C | s | N | V | ACT = until end of FY in which grant is closed. | |
| 2 | NCAA Squad Lists & Eligibility Declarations | ACT + 6 AY | 0 | ACT+6A | AY M | s | N | V | ACT = until end of AY in which created or received. | |
| 3 | NCAA Initial Eligibility Student – Athlete Reports | ACT + 6 AY | 0 | ACT + 6 A | AY C | s | N | v | ACT = until end of AY in which created or received. | |
| 4 | NCAA Sports & Demographic Reports | ACT + 6 AY | 0 | ACT + 6 A | AY M | s | N | v | ACT = until end of AY in which created or received. | |
| 5 | NCAA Certification of Compliance Forms | ACT + 6 AY | 0 | ACT + 6 A | AY M | s | N | v | ACT = until end of AY in which created or received. | |
| 6 | Sport Participation Reports | ACT + 6 AY | 0 | ACT + 6 A | AY M | s | N | v | ACT = until end of AY in which created or received, | |
| 7 | NCAA Declaration of Outside Income | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | v | ACT = until end of AY in which created or received. | |
| 8 | Declaration of Sport Playing Season | ACT + 6 AY | 0 | ACT + 6 A | AY M | s | N | ٧ | ACT = until end of AY in which created or received. | |
| 9 | Student – Athlete Transfer Information Forms | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | ٧ | ACT = until end of AY in which created or received. | |
| 10 | Waivers for NCAA Legislation | ACT + 6 AY | 0 | ACT+6A | AY M | s | N | ٧ | ACT = until end of AY in which created or received. | |
| ermitted Ret | tention Period Abbreviations | Security Status Codes S | | | | ecords | Center | | Agency Abbreviations | |
| CT – Active F | Period (when used define term in remarks column) | P – Public Reco | rd | | Use | | | | | |
| Y- Fiscal Yea | ar (July 1- June 30) | M - May Contain Confidential Information | | | Y - Yes | | | | NCAA – National Collegiate Athletic Association | |
| Y – Calendar | r Year (Jan 1 – Dec 31) | C - Confidential | Information | | N - No | | | | | |
| Y – Academi | c Year (Aug 1 – July 31) | Archival Proce | ssing Codes | | Vital Re | | | | | |
| FFY - Federal Fiscal Year (Oct 1 - Sept 30) | | A – Transfer to State Archives | | | Identifi | | Code | | | |
| MO – Months WK – Week (Mon-Sun) DY - Day(s) | | R – Retain in Agency Archives | | | | | | | | |
| ERM - Perma | anent (Life of State) LOA—Life of Agency | S – Review by State Archives | | | | ortant | | | | |
| eries that con | put an asterisk (*) in the Remarks section for any record tains born-digital or imaged records. Include brief the technology. (Ex. Scanned to OnBase). | O – Other (Spec | cify in Remarks | 5) | U= Use | ul | | | | |

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| 066.000 | University of Louisiana Monroe / Office of the President / Athletic Director & Athletic Compliance | | | | | | <u>w</u> | | ORIGINAL SUBMISSION X_RENEWALREPLACEMENT PAGE |
| Item Number | Records Series Title | R | | e e | Records | | ADDENDUM PAGE | | |
| | | In Office | In Storage | Total Retentio | Security | Archival | State F Center | Vital | Remarks |
| 11 | NCAA Student – Athlete Statement | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | V | ACT = until end of AY in which student no longer enrolled. |
| 12 | NCAA Drug Testing Statement | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | V | ACT = until end of AY in which created or received |
| 13 | Student – Athlete Compliance Paperwork | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | V | ACT = until end of AY in which student no longer enrolled. |
| 14 | NCAA Secondary Infraction Reports | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | ٧ | ACT = until end of AY in which matter is resolved. |
| 15 | NCAA Student-Athlete Opportunity Fund Request | ACT + 6 AY | 0 | ACT + 6 AY | | s | N | ٧ | ACT = until end of AY in which created or received |
| 16 | NCAA Academic Performance Program Report | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | V | ACT = until end of AY in which created or received |
| 17 | Prospective Student-Athlete Official Visit Records | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | V | ACT = until end of AY in which created or received |
| 18 | Coaching Staff Recruiting Logs | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | V | ACT = until end of AY in which created or received |
| 19 | NCAA Rules Education Documents | ACT + 6 AY | 0 | ACT + 6 A | Y C | s | N | ٧ | ACT = until end of AY in which created or received |
| | ention Period Abbreviations | Security Status | | | State R | ecords | Center | | Agency Abbreviations |
| ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31) | | M – May Contain Confidential Information | | | | Y – Yes N - No | | | NCAA – National Collegiate Athletic Associatio |
| AY – Academic Year (Aug 1 – July 31) FFY – Federal Fiscal Year (Oct 1 – Sept 30) | | 1 1 | | | Vital Re Identific | | Code | | |
| MO – Months WK – Week (Mon-Sun) DY - Day(s) PERM – Permanent (Life of State) LOA – Life of Agency | | R - Retain in Agency Archives | | | | V= Vital I = Important | | | |
| eries that con | put an asterisk (*) in the Remarks section for any record tains born-digital or imaged records. Include brief he technology. (Ex. Scanned to OnBase). | O – Other (Specify in Remarks) | | | | ul | | | |

Heather R. Pilcher

1/10/2024

Date Signed

Secretary & State, State Archives & Records Services

Date Approved

Agency Approval

Louisiana State Archives---Records Management Louisiana Secretary of State

Agency / Division / Section

Agency No

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Item

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University of Louisiana Monroe / Office of the President / Internal Audit

SSARC-932 (09/20) Page 4 of 98 recmgt@sos.la.gov Indicate Use of Form __ORIGINAL SUBMISSION X_RENEWAL State Records Center __REPLACEMENT PAGE __ADDENDUM PAGE Remarks Vital

| ltem Number | Records Series Title | Retention Period | | | | - | ; Se | | ADDENDUM PAGE |
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| 1 | Internal Audit Working Papers | ACT + 3 FY | PERM | PERM | М | R | N | V | ACT = until end of FY in which created or received. |
| 2 | Legislative Auditor/Internal Audit | ACT + 10 FY | PERM | PERM | М | R | N | ٧ | ACT = Until end of FY in which matter is closed |
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| MO – Months WK – Week (Mon-Sun) DY - Day(s) PERM – Permanent (Life of State) NOTE: Please put an asterisk (*) in the Remarks section for any record series that contains born-digital or imaged records. Include brief description of the technology. (Ex. Scanned to OnBase). | | R – Retain in Agency Archives S – Review by State Archives O – Other (Specify in Remarks) | | | V= Vital I = Impor | | | | |
| | | | | | U= Useful | | | | |

Heather R. Pilcher Agency Approval

1/10/2024 Date Signed

Secretary of State, State Archives & Records Services

JAN 2 2 2024

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| 066.000 | University of Louisiana Monroe / Office of the P | resident / Office | e of Institution | onal Legal, | | | | | X RENEWAL |
| | Equity & Title IX Compliance | | | | | | 8 | | REPLACEMENT PAGE |
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| 1 | Case Files | PERM | 0 | PERM | М | R | N | v | |
| 2 | University Policies | PERM | 0 | PERM | М | R | N | V | |
| 3 | University Training Records | PERM | 0 | PERM | М | R | N | v | |
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Louisiana State Archives—Records Management Louisiana Secretary of State

Page 6 of 98 Post Office Box 94125, Baton Rouge, LA 70804 Indicate Use of Form recmgt@sos.la.gov Agency No Agency / Division / Section ORIGINAL SUBMISSION 066.000 University of Louisiana Monroe / Chief Innovation & Research Officer / Sponsored X RENEWAL Programs & Research State Records Center __REPLACEMENT PAGE Item **Retention Period** ADDENDUM PAGE Security Archival **Records Series Title** Number Total In Remarks Vital In Office Storage Retention 1 Inventory ACT + 2 AY 0 ACT + 2 AY Р S N ACT = until end of AY in which created or received. 2 Policies and Procedures **PERM** 0 P V PERM R Ν 3 Annual Reports PERM 0 **PERM** М R Ν V 4 Unit Budget PERM 0 V PERM P R Ν 5 ACT = until end CY in which employee separates from Supervisor Files ACT + 5 CY 0 ACT + 5 CY М S Ν agency. 6 Purchase Orders ACT + 3 FY Р 0 ACT + 3 FY S V Ν ACT = until end FY in which audited. 7 Requisitions ACT + 3 FY 0 ACT + 3 FY Р U ACT = until end FY in which created or received. S Ν 8 **Proposal Checklists** ACT + 7 FY 0 ACT + 7 FY M V Ş Ν ACT = until end FY in which grant closes. 9 Cost Share Documents ACT + 7 FY 0 ACT + 7 FY М S Ν V ACT = until end FY in which grant closes. 10 Consortium Agreements ACT + 7 FY 0 М V ACT + 7 FY S ACT = until end FY in which grant closes. **Permitted Retention Period Abbreviations Security Status Codes State Records Center** Agency Abbreviations Use ACT - Active Period (when used define term in remarks column) P - Public Record Y - Yes FY- Fiscal Year (July 1- June 30) M - May Contain Confidential Information N - No CY - Calendar Year (Jan 1 - Dec 31) C - Confidential Information AY - Academic Year (Aug 1 - July 31) Archival Processing Codes Vital Record **Identification Code** FFY - Federal Fiscal Year (Oct 1 - Sept 30) A - Transfer to State Archives V= Vital MO - Months WK - Week (Mon-Sun) DY - Day(s) R - Retain in Agency Archives 1 = Important PERM - Permanent (Life of State) LOA - Life of Agency S - Review by State Archives U= Useful NOTE: Please put an asterisk (*) in the Remarks section for any record O - Other (Specify in Remarks) series that contains born-digital or imaged records. Include brief description of the technology, (Ex. Scanned to OnBase).

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| Agency No | Agency / Division / Section | | | | | _ORIGINAL SUBMISSION | | | |
| 066.000 | University of Louisiana Monroe / Chief Innovation & Research Officer / Sponsored Programs & Research | | | | | | s. | | X_RENEWAL REPLACEMENT PAGE |
| Item Number | Records Series Title | R | | /al | Records | | ADDENDUM PAGE | | |
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| 11 | Unfunded Grants | ACT + 1 FY | 0 | ACT + 1 F | Y M | s | N | U | ACT = until end FY in which grant closes. |
| 12 | Funded Grants | ACT + 7 FY | 0 | ACT + 7 F | Y M | s | N | v | ACT = until end FY in which grant closes. |
| 13 | Conflict of Interest Forms | ACT + 7 FY | 0 | ACT + 7 F | Y M | s | N | V | ACT = until end FY in which grant closes. |
| 14 | CITI Ethics Training | ACT + 3 FY | 0 | ACT + 3 F | Y M | s | N | U | ACT = until end FY in which created or received. |
| 15 | Compensation Forms | ACT + 7 FY | 0 | ACT + 7 F | Y M | s | N | v | ACT = until end FY in which grant closes. |
| 16 | Research Personnel Forms (Departmental Copy) | ACT + 7 FY | 0 | ACT + 7 F | Y M | s | N | ٧ | ACT = until end FY in which grant closes. |
| 17 | Computing Center Forms | ACT + 7 FY | 0 | ACT + 7 F | Y P | s | N | U | ACT = until end FY in which grant closes. |
| 18 | Deadline Variance Forms | ACT + 7 FY | 0 | ACT + 7 F | Y M | s | N | ī | ACT = until end FY in which grant closes. |
| 19 | Course Reduction Forms | ACT + 1 FY | 0 | ACT + 1 F | Y M | s | N | ı | ACT = until end FY in which grant closes. |
| 20 | Contract Master Budget Documents | ACT + 7 FY | 0 | ACT + 7 F | Y M | s | N | ī | ACT = until end FY in which grant closes. |
| Permitted Ret | ention Period Abbreviations | Security Status Codes St | | | | cords | Center | | Agency Abbreviations |
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| | r (July 1- June 30) | M – May Contail | n Confidential | Information | Y – Yes | | | | CITI – Collaborative Institutional Training Initiative |
| CY - Calendar Year (Jan 1 - Dec 31) | | C – Confidential Information | | | N - No | | | | |
| | C Year (Aug 1 – July 31) | Archival Proces | _ | | Vital Rec | | `odo | | |
| FFY – Federal Fiscal Year (Oct 1 – Sept 30) | | A - Hansier to State Archives | | | V= Vital | auon C | oue | | |
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Heather R. Pilcher

1/10/2024

Date Signed

Secretary of State, State Archives & Records Services

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Post Office Box 94125, Baton Rouge, LA 70804 recmgt@sos.la.gov Indicate Use of Form Agency No Agency / Division / Section ORIGINAL SUBMISSION 066,000 University of Louisiana Monroe / Chief Innovation & Research Officer / Sponsored X RENEWAL **Programs & Research** State Records Center __REPLACEMENT PAGE ltem **Retention Period** ADDENDUM PAGE Archival Security **Records Series Title** Number Total ln Vital Remarks In Office Storage Retention 21 Cost Share Transfer Forms ACT + 7 FY 0 ACT + 7 FY М S Ν ACT = until end FY in which grant closes. 22 Grant Closeout Forms ACT + 3 FY 0 ACT + 3 FY Р S V Ν ACT = until end FY in which grant closes. 23 No Cost Extension Forms ACT + 1 FY 0 ACT + 1 FY Р S N U ACT = until end FY in which grant closes. 24 Human Subject Request to Review Forms 0 S ACT + 3 FY ACT + 3 FY М 1 Ν ACT = until end FY in which created or received. 25 IACUC Forms PERM С 0 PERM R Ν V 26 **Human Subject Approval Forms** ACT + 3 FY 0 ACT + 3 FY Р S Ν ACT = until end FY in which created or received. 27 **IBC Forms** PERM 0 PERM Р R N V 28 Invention Disclosure Forms **PERM** 0 PERM С R Ν V 29 **UBMT Agreement Forms** PERM 0 **PERM** М R V Ν Made public after student notified. 30 ACT = until end of FY in which record created or U Reviewed Purchase Orders ACT + 1 FY 0 ACT + 1 FY Р S N received. **Permitted Retention Period Abbreviations Security Status Codes** State Records Center **Agency Abbreviations** Use ACT - Active Period (when used define term in remarks column) P - Public Record IACUC - Institutional Animal Care and Use Y - Yes FY- Fiscal Year (July 1- June 30) M - May Contain Confidential Information Committee N - No CY - Calendar Year (Jan 1 - Dec 31) C - Confidential Information IBC - Institutional Biosafety Committee AY - Academic Year (Aug 1 - July 31) **Archival Processing Codes** Vital Record **UBMT – Uniform Biological Material Transfer Identification Code** FFY - Federal Fiscal Year (Oct 1 - Sept 30) A - Transfer to State Archives V= Vital MO - Months WK - Week (Mon-Sun) DY - Day(s) R - Retain in Agency Archives I = Important PERM - Permanent (Life of State) LOA - Life of Agency S - Review by State Archives U= Useful NOTE: Please put an asterisk (*) in the Remarks section for any record O - Other (Specify in Remarks) series that contains born-digital or imaged records. Include brief description of the technology, (Ex. Scanned to OnBase), OnBase),

Heather R. Pilcher

Louisiana State Archives—Records Management

Louisiana Secretary of State

1/10/2024

Secretary of State, State Archives & Records Services

JAN 2 2 2024

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Louisiana State Archives—Records Management

| Louisiana Se | ate Archives—Records Management ecretary of State | | Page 9 of 98 | | | | | | |
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| 066.000 | University of Louisiana Monroe / Chief Innovati- Programs & Research | | | | | X_RENEWAL | | | |
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| 31 | Communications with Grants Agency | ACT + 3 FY | 0 | ACT + 3 F | Y M | s | N | ٧ | ACT = until end of FY in which grant closes. |
| 32 | Research Council Minutes | PERM | PERM | PERM | С | R | N | V | |
| 33 | Preliminary Misconduct Inquiry Notes | ACT + 3 FY | 0 | ACT + 3 F | Y C | s | N | v | ACT = until end of FY in which created or received. |
| 34 | Misconduct Inquiry Data and Notes | ACT + 3 FY | 0 | ACT + 3 F | Y C | s | N | ٧ | ACT = until end of FY in which created or received. |
| 35 | Misconduct Investigation Notes and Data | ACT + 3 FY | 0 | ACT + 3 F | Y C | s | N | v | ACT = until end of FY in which created or received. |
| 36 | Correspondence to Office of Treatment Integrity | ACT + 3 FY | 0 | ACT + 3 F | Y C | s | N | v | ACT = until end of FY in which created or received. |
| 37 | Submitted Research Data | PERM | PERM | PERM | С | R | N | ٧ | |
| 38 | Record of Staff Training | ACT + 1 FY | 0 | ACT + 1 F | YP | s | N | 1 | ACT = until end of FY in which created or received. |
| 39 | Staff Confidentiality Agreement | ACT + 1 FY | 0 | ACT + 1 F | ΥP | s | N | U | ACT = until end of FY in which employee separates from program. |
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| Permitted Ret | ention Period Abbreviations | Security Status Codes S | | | | cords | Center | | Agency Abbreviations |
| ACT Active F | Period (when used define term in remarks column) | P - Public Reco | ord | | Use | | | | |
| | r (July 1- June 30) | M – May Contai | | Information | Y – Yes N - No | | | | |
| | Year (Jan 1 – Dec 31) | C – Confidential Information | | | | | | | |
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SSARC-932 (09/20)

Records Retention So

Page 10 of 98 Louisiana Secretary of State Post Office Box 94125, Baton Rouge, LA 70804 recmqt@sos.la.gov Indicate Use of Form Agency No Agency / Division / Section ORIGINAL SUBMISSION 066,000 University of Louisiana Monroe / Chief Innovation & Research Officer / TRIO Program X RENEWAL State Records Center REPLACEMENT PAGE Item **Retention Period** __ADDENDUM PAGE Security **Records Series Title** Number Total In Remarks Vital In Office Storage Retention 1 Student Records - ETS + UB ACT + 14 FY 0 **ACT + 14 FY** С S Ν ACT = until end of FY in which created or received. 2 Procedural and Policy Manual PERM 0 PERM Р V R Ν 3 Grant Award Letter(s) PERM 0 **PERM** Ρ R Ν U.S. Department of Education 4 **ETS Supervisor Records** PERM 0 V PERM М S Ν 5 **UB Supervisor Records** PERM 0 PERM М S V 6 Copies of ETS Grant n PERM PERM Р R Ν Grant funded under 84.044A 7 Copies of UB Grant PERM 0 PERM Р R V Ν Grant funded under 84.044A 8 Compansol (BLUMEN) Data System 0 V PERM С PERM R Ν **Permitted Retention Period Abbreviations Security Status Codes** State Records Center **Agency Abbreviations** Use ACT - Active Period (when used define term in remarks column) P - Public Record Y - Yes ETS - Educational Talent Search FY- Fiscal Year (July 1- June 30) M - May Contain Confidential Information UB - Upward Bound N - No CY - Calendar Year (Jan 1 - Dec 31) C - Confidential Information AY - Academic Year (Aug 1 - July 31) **Archival Processing Codes** Vital Record **Identification Code** FFY - Federal Fiscal Year (Oct 1 - Sept 30) A - Transfer to State Archives V= Vital MO - Months WK - Week (Mon-Sun) DY - Day(s) R - Retain in Agency Archives I = Important PERM - Permanent (Life of State) LOA - Life of Agency S - Review by State Archives U= Useful NOTE: Please put an asterisk (*) in the Remarks section for any record O - Other (Specify in Remarks) series that contains born-digital or imaged records. Include brief description of the technology. (Ex. Scanned to OnBase).

Heather R. Pilcher

Agency Approval

Louisiana State Archives-Records Management

1/10/2024

Date Signed

Secretary of State, State Archives & Records Services

JAN 2 2 2024

Date Approved

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