

AGENDA
STATE RECORDS COMMITTEE
July 20, 2023

1. Call to Order
2. Minutes of Meeting on April 20, 2023
3. Public Comment
4. Application for Disposition / Records Control Schedules
 - A. Proposed New General Schedules
 1. Secretary of State
 - a. 6297 – Audit Files
 - b. 6298 – Legal Files
 - c. 6299 – Opinion Letters
 - B. Proposed amendments to existing agency schedules to follow approved general schedules.
 1. Accounting Records – G131 or G132, as applicable.
 - a. Human Services – no. 2749
 - b. Medicaid – no. 1629
 2. Bids and Contracts – G165, G166, or G167, as applicable.
 - a. Employment Security – no. 564
 - b. Finance & Administration – no. 4650
 - c. Human Services – nos. 1032, 3467, 3796
 - d. ITS – nos. 2468, 2470, 3302, 3386, 3600, 3603, 4397, 5889
 - e. Oil & Gas Board – no. 4628
 - f. University of Mississippi Medical Center – no. 3087
 - g. Wildlife, Fisheries and Parks – no. 1651
 3. Bids, Contract, and Grants – G158, G159, G160, G165, G166, G167, G127, G128, G129, as applicable.
 - a. Accountancy – no. 4233
 - b. Attorney General – no. 3561
 - c. Environmental Quality – no. 3223
 - d. Finance & Administration – no. 2952
 - e. ITS – nos. 4397, 5889
 - f. Library Commission – no. 4077
 - g. MS Business Finance Corporation – no. 4527
 - h. Military Department – no. 4728

- i. Secretary of State – no. 3309
 - 4. Healthcare Records – G150 or G151, as applicable.
 - a. Mental Health – no. 5724
 - 5. Photographs – G56
 - a. Dept. of Education – no. 2124
 - b. Health Department – no. 1110
 - c. Transportation – no. 1182
- C. Proposed amendments to agency schedules.
 - 1. ITS
 - a. 6301 – Consulting Project Files – amends no. 3922
 - 1. Amends from archival to 8 years total
 - 2. IHL - University Libraries
 - a. 6290 - Amend 6028
 - b. 6291 – Amend 6034
 - c. 6292 – Amend 6035
 - d. 6293 – Amend 6036
 - e. 6294 – Amend 5617
 - 3. DHS
 - a. 6300 – JOBS Automated Work System (JAWS) Files
 - 1. Amend 3467 from archival to 5 year retention
 - 4. Secretary of State
 - 1. 6296 – Registration Files. Amend 556, 761, 762, 763
 - 2. 6295 – Investigative Files. Amend 3086
- D. Proposed schedule to abolish
 - 1. Secretary of State – no. 6153. Duplicate schedule 6142
- 5. Off-Site Lease Applications: None at this time
- 6. 2023 Meeting Dates: Oct 19th
- 7. 2024 Meeting Dates: Jan 18th, Apr 18th, July 18th, Oct 24th
- 8. Other Business
- 9. Adjournment

MISSISSIPPI DEPARTMENT OF ARCHIVES AND HISTORY

MINUTES OF A MEETING OF THE STATE GOVERNMENT RECORDS COMMITTEE

Thursday, April 19, 2023

The State Records Committee held its regular quarterly meeting at 10:00 a.m., Thursday, April 19, 2023, in a virtual environment using Zoom. David Pilcher, Archives & Records Services director, Mississippi Department of Archives and History (MDAH), and chair of the Committee, presided. Bob Dent, head, Government Records Section, Archives and Records Services Division (A&RS), presented the agenda for the meeting.

The following members of the Committee were present:

Joette Pickle, representing the Honorable Michael Watson, Secretary of State;
Judy Moulder, director of Health Statistics and Vital Records, MS Department of Health.

The following visitors were present:

Clancy Smith, USM
David Browning, Mississippi Insurance Department
Cpt. Rusty Clark, Dept. of Public Safety
Vonkeshia Hyatt, MSU

The following staff of MDAH were present:

Caroline Gray-Primer, Government Records, A&RS

- I. Mr. Pilcher recognized a quorum, called the meeting to order, and welcomed all present.
- II. Minutes of the January 19, 2023 meeting were presented to the Committee. Judy Moulder moved to approve, and Joette Pickle seconded. The Committee unanimously approved the minutes.
- III. Mr. Pilcher acknowledged an opportunity for public comment. Mr. Dent indicated that no public comments were received prior to the meeting.
- IV. Mr. Dent presented the remainder of the schedules for the Committee's consideration:
 - A. Proposed new general schedules
 - a. Contracts
 - i. Contracts – Federally or other Funded – no. G158
 - ii. Contracts – State Funded – no. G159
 - iii. Contracts – Healthcare Services – no. G160
 - iv. Affiliation Agreements – no. G161
 - v. Reciprocal Agreements – no. G162
 - vi. Lease, Real Property – no. G163
 - vii. Lease, Equipment – no. G164

Joette Pickle moved to approve, and Judy Moulder seconded. The Committee unanimously approved the schedules.

b. Procurement

- i. Competitive Bid – no. G165
- ii. State Contract, Federally and other Funded – no. G166
- iii. State Contract, State Funded – no. G167

Joette Pickle moved to approve, and Judy Moulder seconded. The Committee unanimously approved the schedules.

c. Law Enforcement

- i. Accident Reports – no. G168
- ii. Arrest Records, Reports, and Logs – Felonies – no. G169
- iii. Arrest Records, Reports, and Logs – Non-Felonies – no. G170
- iv. Dispatch Logs – no. G171
- v. Dispatch Recordings – no. G172
- vi. Expungements – no. G173
- vii. Capital Offense Reports – no. G174
- viii. Non-Capital Offense Reports – no. G175
- ix. Tickets – Violations of Law – no. G176
- x. Training Records, General – no. G177
- xi. Training Records, Individual – no. G178
- xii. Video/Audio Recordings – Mobile Units, Non-Evidentiary – no. G180
- xiii. Video/Audio Recordings – Stationary Cameras, Non-Evidentiary – no. G182

Judy Moulder moved to approve, and Joette Pickle seconded. The Committee unanimously approved the schedules.

B. Proposed agency specific schedules

- a. Charter School Authorizer Board
 - i. Foundational Records – no. 6286
 - ii. Support and Oversight – no. 6287

Joette Pickle moved to approve, and Judy Moulder seconded. The Committee unanimously approved the schedules.

C. Proposed Amendments to Agency Schedules to follow General Schedules regarding contracts and procurement.

- a. Contracts – Federally or other funded. G158
 - i. Development Authority – no. 1485
 - ii. Education – no. 2366, 2370
 - iii. Human Services – no. 383
 - iv. Military Department – no. 4043
 - v. Transportation – nos. 1184, 1187, 3342
 - vi. University of Mississippi Medical Center – no. 4310
- b. Contracts – State funded. G159
 - i. Archives & History – no. 4146
 - ii. Environmental Quality – nos. 1554, 3203

- iii. Finance & Administration – nos. 2232, 2234
 - iv. Health – no. 3329
 - v. Mental Health – nos. 1901, 1944, 2060
 - c. Contracts – Healthcare Services. G160
 - i. Health – no. 1743
 - ii. Medicaid – no. 1640
 - iii. Mental Health – nos. 1814, 1839, 1875, 1892, 1931
 - iv. University of Mississippi Medical Center – no. 2299
 - d. Affiliation Agreements. G161
 - i. Institutions of Higher Learning – no. 5700
 - ii. Mental Health – no. 1867
 - e. Reciprocal Agreements. G162
 - i. Insurance Department – no. 99
 - ii. Wildlife, Fisheries and Parks – no. 1658
 - f. Lease, Real Property. G163
 - i. Cosmetology – no. 3147
 - ii. Finance & Administration – no. 3708
 - iii. Employment Security Commission – no. 5646
 - iv. Human Services – no. 370
 - v. Institutions of Higher Learning – nos. 567, 5999
 - vi. Public Safety – no. 2707
 - vii. Rehabilitative Services – nos. 177, 1839
 - viii. Transportation – no. 1378
 - ix. University of Mississippi Medical Center – no. 3492
 - g. Lease, Equipment. G164
 - i. Public Service Commission – no. 2990
 - h. Procurement, Competitive Bid. G165
 - i. Education – no. 2366
 - ii. Mental Health – no. 1861
 - iii. Transportation – nos. 1186, 1187, 3342
 - i. Procurement, State Contract. Federally Funded. G166
 - i. Education – no. 3581
 - ii. Mental Health – no. 1856
 - iii. Rehabilitative Services – no. 176
 - j. Procurement, State Contract, State Funded. G167
 - i. Finance & Administration – no. 2235
 - k. Procurement. G165, G166, or G167, as applicable
 - i. Transportation – no. 3840

Judy Moulder moved to approve, and Joette Pickle seconded. The Committee unanimously approved the schedules.

- D. Proposed amendments to existing agency schedules to follow approved general schedules regarding Law Enforcement Records.
 - a. Accident Reports – G168
 - i. Education – no. 3748
 - ii. Institutions of Higher Learning – no. 6200
 - iii. Marine Resources – no. 6013
 - iv. Transportation – no. 1354
 - v. Wildlife, Fisheries and Parks – no. 1497

- b. Arrest Records, Reports, and Logs (Felonies) – G169
 - i. Institutions of Higher Learning – no. 6201
 - ii. Wildlife, Fisheries and Parks – nos. 1504, 1506
- c. Arrest Records, Reports, and Logs (non-felonies) – G170
 - i. Institutions of Higher Learning – no. 6201
 - ii. Mental Health – no. 2032
 - iii. Wildlife, Fisheries and Parks – nos. 1504, 1506
- d. Dispatch Logs – G171
 - i. Institutions of Higher Learning – no. 6202
 - ii. Marine Resources – no. 6015
 - iii. University of Mississippi Medical Center – no. 2672
- e. Expungements – G173
 - i. Institutions of Higher Learning – no. 6206
 - ii. Marine Resources – no. 6010
- f. Capital Offense Reports – G174
 - i. Institutions of Higher Learning – no. 6204
- g. Non-Capital Offense Reports – G175
 - i. Institutions of Higher Learning – no. 6207
- h. Tickets – Violations of Law – G176
 - i. Institutions of Higher Learning – no. 6203
 - ii. Marine Resources – no. 6012
 - iii. Mental Health – 2040
 - iv. Public Safety – no. 2243
 - v. Public Service Commission – no. 2980
 - vi. Transportation – no. 5917
 - vii. University of Mississippi Medical Center – no. 2498
- i. Wildlife, Fisheries and Parks – no. 1508

Judy Moulder moved to approve, and Joette Pickle seconded. The Committee unanimously approved the schedules.

- E. Proposed amendments to agency schedules.
 - a. University of Mississippi Medical Center
 - i. 6283 – Investigational Drug Records – amends no. 3412
 - b. Department of Insurance
 - i. 6274 Company Record Charter Files – amends no. 5339
 - ii. 6275 Statutory Filings – amends nos. 90, 2554, 2557, 5336, 5341, 5443, 5775, 5779, 5780, and 5784
 - iii. 6276 Statutory Deposits – amends no. 5773
 - iv. 6277 Examination Files & Reports – amends nos. 5774, 5836
 - v. 6278 Rate Service/Advisory Organization Files – amends no. 5782
 - vi. 6279 Burial Association Files – amends no. 5337
 - vii. 6280 Automobile Clubs – amends nos. 5777, 5781
 - c. Education
 - i. 6285 Textbook Adoption Catalogues – amends no. 3582
 - ii. 6284 Braille Materials – amends no. 6284 to correct the office name
 - d. Public Safety
 - i. 6288 Accident Reports – amends no. 2620
 - ii. 6289 Arrest Cards – amends no. 5923

Joette Pickle moved to approve, and Judy Moulder seconded. The Committee unanimously approved the schedules.

- F. Proposed amendments of agency schedules to follow existing general schedules G89 or G90, (Subject Files & Desk Reference Files) as applicable.
 - a. Archives & History – nos. 4781, 4906, 4876
- G. Proposed amendment to an agency schedule to follow general schedule G62 (Transitory Correspondence).
 - a. Education – no. 3578
- H. Proposed amendment to an agency schedule to follow general schedule G128 (Grants).
 - a. Human Services – no. 4323
- I. Proposed amendment to an agency schedule to follow general schedules G4, G5, or G6, (Budget) as applicable.
 - a. Education – no. 2364
- J. Proposed amendment of an agency schedule to follow general schedules G116 or G132, (Property & Budget) as applicable.
 - a. Institutions of Higher Learning, USM – no. 5848
- K. Proposed amendment to an agency schedule to follow general schedule G145 or G146, (Licensure, Permits & Certifications) as applicable.
 - a. Real Estate Commission – no. 1411
- L. Proposed amendment to an agency schedule to follow general schedule G136 (Payroll).
 - a. Human Services – no. 3105
- M. Proposed amendment to an agency schedule to follow general schedule G87. (Worker's Compensation Files).
 - a. Transportation – no. 1154
- N. Proposed amendments of agency schedules to follow existing general schedule G116 (Property, Fixed Assets).
 - a. Education – nos. 841, 873, 885, 1236, 1295, 3735
 - b. Ethics Commission – no. 1396
 - c. Rehabilitation Services – no. 1550
 - d. Wildlife, Fisheries and Parks – no. 1678
 - e. Contractor's Licensing Board – no. 2088
 - f. Finance & Administration – no. 2267
 - g. University of Mississippi Medical Center – nos. 2286, 3503
 - h. Pharmacy Board – no. 3252
 - i. Veterinary Diagnostic Laboratory – no. 4222
 - j. Archives & History – no. 5003
 - k. Mental Health – no. 5266
 - l. Institutions of Higher Learning – no. 5937
- O. Proposed amendment to an agency schedule to follow general schedules G92, G93, G94 (Vehicles) as applicable.

- a. Transportation – nos. 1352, 1353

Judy Moulder moved to approve, and Joette Pickle seconded. The Committee unanimously approved the schedules.

P. Proposed agency schedules to abolish – no longer accumulating.

- a. Archives & History, Local Government Records Office
 - i. 4861 – Project Database
 - ii. 4862 – Project Working File
 - iii. 4956 – Monthly Reports, Hurricane Katrina
- b. Department of Education
 - i. 2372 – Defective Textbook Files
 - ii. 2362 – Field Representatives' Daily reports
 - iii. 2369 – Surplus Textbook Inventory
 - iv. 2368 – Textbook Inventory

Judy Moulder moved to approve, and Joette Pickle seconded. The Committee unanimously approved the schedules.

5. Off-Site Lease Applications – None at this time.

6. In other business, Mr. Dent announced that the 2023 committee meetings will be held July 20th, and October 26th.

7. Adjournment

There being no further business before the Committee, Mr. Pilcher thanked all present for their attention and dedication and adjourned the meeting.

Katie Blount, Chair

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

SCHEDULE #: 6297

AGENCY: Secretary of State

DIVISION: Securities

OFFICE/SECTION:

RECORDS SERIES TITLE: Audit Files

DATES: 2016 - 2022

Does this series continue to accumulate? y

ARRANGEMENT: Chronologically

DESCRIPTION:

This series consists of files for Broker-Dealer and Investment Adviser firms and branches. Files may include forms; documents such as statements, agreements, and contracts; and related material used to review the entities.

DISPOSITION INSTRUCTIONS:

Image and verify paper files, then dispose of paper. Hold imaged and born-digital files seven (7) years after close of audit, then dispose.

RIGHTS MANAGEMENT:

no

REMARKS:

STATE RECORDS COMMITTEE STATUS: Pending

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

SCHEDULE #: 6298

AGENCY: Secretary of State

DIVISION: Securities

OFFICE/SECTION:

RECORDS SERIES TITLE: Legal Files

DATES: 1973 - 2022

Does this series continue to accumulate? y

ARRANGEMENT: Chronologically

DESCRIPTION:

This series consists of legal action files for entities and individuals. Files may include notifications, correspondence, consent orders, hearing enforcement letters, denial or revocation of licensure, copies of forms, agreements, contracts, and related material.

DISPOSITION INSTRUCTIONS:

Image and verify paper files, then dispose of paper. Hold imaged and born-digital files fifty (50) years, then dispose.

RIGHTS MANAGEMENT:

REMARKS:

STATE RECORDS COMMITTEE STATUS: Pending



200 North Street
Jackson, Mississippi 39201

Records Control Schedule

SCHEDULE #: 6299

AGENCY: Secretary of State

DIVISION: Securities

OFFICE/SECTION:

RECORDS SERIES TITLE: Opinion Letters

DATES: 1948 - 2022

Does this series continue to accumulate? y

ARRANGEMENT: Chronologically

DESCRIPTION:

This series consists of the written communication of inquiries concerning no-action determinations and interpretations of the Mississippi Securities Act or the Rules promulgated thereunder.

DISPOSITION INSTRUCTIONS:

Image and verify paper files, then dispose of paper. Hold imaged and born-digital files fifty (50) years, then dispose.

RIGHTS MANAGEMENT:

REMARKS:

STATE RECORDS COMMITTEE STATUS: Pending

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

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SCHEDULE #: 6301

SCHEDULE NUMBERS TO BE AMENDED: 3922

AGENCY: Information Technology Services
DIVISION: Information Technology Services
OFFICE/SECTION:

RECORDS SERIES TITLE: Consulting Project Files

DATES: 1986 - 2022

Does this series continue to accumulate? y

ARRANGEMENT: Chronologically

DESCRIPTION:

This series consists of files related to information systems consulting projects performed by the Department of Information Technology Services for state agencies and institutions. ITS is responsible for planning, purchasing, and implementing information systems for state agencies and institutions. Included are work plans, status reports, contracts and user manual.

DISPOSITION INSTRUCTIONS:

Hold in the current files area two (2) years; transfer to SRC; hold six (6) years, then dispose.

RIGHTS MANAGEMENT:

REMARKS:

MDAH has determined these records do not have historical value and seek to amend the retention schedule at the July 2023 State Records Committee Meeting.

STATE RECORDS COMMITTEE STATUS: Pending

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

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SCHEDULE #: 6290

AGENCY: Institutions of Higher Learning

DIVISION:

OFFICE/SECTION: University Libraries

RECORDS SERIES TITLE: Archives and Special Collections Case Files

DATES: 1976 - 2022

DOES THIS SERIES CONTINUE TO ACCUMULATE? yes

ARRANGEMENT: numerically

DESCRIPTION:

This series consists of case files containing essential information on special collections (SPCOL) materials. Included are correspondence, accession files, deeds of gifts, restricted item files, clippings relating to publicity of completed processing or promotion events, transmittals and transfer information files, completed finding aids, collection surveys, conservation and processing notes, and related files.

DISPOSITION INSTRUCTIONS:

Hold permanently.

RIGHTS MANAGEMENT:

Mississippi Code Section 27-3-77 (Donor Tax Information)

REMARKS: This schedule amends 6028 for use by all public university libraries

STATE RECORDS COMMITTEE STATUS:

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

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SCHEDULE #: 6291

AGENCY: Institutions of Higher Learning

DIVISION:

OFFICE/SECTION: University Libraries

RECORDS SERIES TITLE: Archives and Special Collections Photocopy Request Forms

DATES: 2006 - 2022

DOES THIS SERIES CONTINUE TO ACCUMULATE? yes

ARRANGEMENT: chronologically

DESCRIPTION:

This series consists of photocopy request forms which indicates items of interest in the archives and special collections and indicates if attempts are being made at copying an entire collection. Documentation includes patron name, the collection being used, the box number, folder number, item description, and number of pages to be copied.

DISPOSITION INSTRUCTIONS:

Hold ten (10) years, then dispose.

RIGHTS MANAGEMENT:

Mississippi Code Section 39-3-365 (Library User Confidentiality)

REMARKS: This schedule amends 6034 for use by all public university libraries

STATE RECORDS COMMITTEE STATUS:

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

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SCHEDULE #: 6292

AGENCY: Institutions of Higher Learning

DIVISION:

OFFICE/SECTION: University Libraries

RECORDS SERIES TITLE: Archives and Special Collections Researcher Forms

DATES: 2004 - 2022

DOES THIS SERIES CONTINUE TO ACCUMULATE? yes

ARRANGEMENT: chronologically

DESCRIPTION:

This series consists of researcher forms which assist in tracking collection usage on-site. Documentation may include patron name, local and permanent address, school affiliation, telephone number, intentions with regard to research, date, collection(s) used and boxes used, and staff initial of box checked back in.

DISPOSITION INSTRUCTIONS:

Hold ten (10) years, then dispose.

RIGHTS MANAGEMENT:

Mississippi Code Section 39-3-365 (Library User Confidentiality)

REMARKS: This schedule amends 6035 for use by all public university libraries

STATE RECORDS COMMITTEE STATUS:

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

[Click to Print This Page](#)

SCHEDULE #: 6293

AGENCY: Institutions of Higher Learning

DIVISION:

OFFICE/SECTION: University Libraries

RECORDS SERIES TITLE: Archives and Special Collections Usage Statistics

DATES: 1996 - 2022

DOES THIS SERIES CONTINUE TO ACCUMULATE? yes

ARRANGEMENT: chronologically

DESCRIPTION:

This series consists of usage statistics, which allow employees to numerically review which collections are being utilized and track collection processing and patron transactions. Documentation includes reference inquiries, researchers, tours, special events, instruction sessions, items used, accessions, processing, finding aids and fees collected for reproductions/shipping/donations.

DISPOSITION INSTRUCTIONS:

Hold permanently.

RIGHTS MANAGEMENT:

REMARKS: This schedule amends 6036 for use by all public university libraries

STATE RECORDS COMMITTEE STATUS:

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

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SCHEDULE #: 6294

AGENCY: Institutions of Higher Learning

DIVISION:

OFFICE/SECTION: University Libraries

RECORDS SERIES TITLE: Deeds of Gift

DATES: 1985 - 2022

DOES THIS SERIES CONTINUE TO ACCUMULATE? yes

ARRANGEMENT: chronological and alphabetical

DESCRIPTION:

Records documenting the donation of an item or collection to the Libraries.

DISPOSITION INSTRUCTIONS:

Retain permanently at University Archives.

RIGHTS MANAGEMENT:

REMARKS: This schedule amends 5617 for use by all public university libraries

STATE RECORDS COMMITTEE STATUS:

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

[Click to Print This Page](#)

SCHEDULE #: 6300

AGENCY: Human Services, Department of
DIVISION: Office of Jobs
OFFICE/SECTION:

RECORDS SERIES TITLE: JOBS Automated Work System (JAWS) Files
DATES: 1991 - 1994
DOES THIS SERIES CONTINUE TO ACCUMULATE? no

ARRANGEMENT: alphabetically by manual chapter title

DESCRIPTION:

JAWS is an integrated computer system linking DHS field offices. Included are technical proposals from bidders, general/detailed design documentation, recommendations on code/system programming language, JAWS capacity planning documents, correspondence, memos, working papers, task force/committee minutes, policy reporting items, status reports, cost/benefit analyses, and other files. It is cut off at the end of the year.

DISPOSITION INSTRUCTIONS:

Hold in the current files area five (5) years; then dispose.

RIGHTS MANAGEMENT:

REMARKS: This schedule amends 3467 to reduce retention from archival to 5 years.

STATE RECORDS COMMITTEE STATUS: Approved on 10/19/1995

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

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SCHEDULE #: 6295

SCHEDULE NUMBERS TO BE AMENDED: 3086

AGENCY: Secretary of State

DIVISION: Securities

OFFICE/SECTION:

RECORDS SERIES TITLE: Investigative Files

DATES: 2003 - 2023

Does this series continue to accumulate? y

ARRANGEMENT: Chronologically

DESCRIPTION:

This series consists of files developed in investigation and litigation of securities fraud cases. Files may include copies of investigatory interviews, accounting records, depositions, transcribed notes, questionnaires, and related material. Information in this series is non-public and confidential.

DISPOSITION INSTRUCTIONS:

Image and verify paper files; dispose of paper. Hold imaged and born-digital files twenty (20) years after completion of investigation or appeal, then dispose.

RIGHTS MANAGEMENT:

no

REMARKS:

This schedule amend schedule 3086 by imaging paper files instead of transferring to SRC for five (5) years. This series has been determined of having no historical value and will disposed instead of transferred to State Archives.

STATE RECORDS COMMITTEE STATUS: Pending

[Back](#)

200 North Street
Jackson, Mississippi 39201

Records Control Schedule

[Click to Print This Page](#)

SCHEDULE #: 6296

SCHEDULE NUMBERS TO BE AMENDED: 556, 761, 762, & 763

AGENCY: Secretary of State

DIVISION: Securities

OFFICE/SECTION:

RECORDS SERIES TITLE: Registration Files

DATES: 2016 - 2023

Does this series continue to accumulate? y

ARRANGEMENT: Chronologically

DESCRIPTION:

This series consists of registration files for offerings and licensing files for entities and individuals related to the selling of securities products. Included are applications, renewals, amendments, terminations, communications, and related materials.

DISPOSITION INSTRUCTIONS:

Image and verify paper files, then dispose of paper. Hold imaged and born digital files seven (7) years after close of offering or approval or renewal of application, then dispose.

RIGHTS MANAGEMENT:

REMARKS:

This schedule amend schedules 556, 761, 762, and 763 by imaging paper records instead of microfilming series and transferring paper records to SRC.

STATE RECORDS COMMITTEE STATUS: Pending