

Mississippi Department of Archives and History
P. O. Box 571
Jackson, Mississippi 39205-0571

SPECIAL COLLECTIONS
Graphic Records

Architectural Records Restriction Policy

It is the policy of this Department that a need to know must be established prior to access to material in the Architectural Records Collection of Special Collections. The procedure for determining this need requires an interview with the custodial curator and the Director of the Archives and Library Division in which the researcher submits his request. Approval or denial of access or copying is at the discretion of said Director and curator. A written statement documenting the request, interview, and decision is provided to the researcher and to the curator for inclusion in the respective collection Control Folder. A denial may be appealed to the Director of the Department of Archives and History who will serve as the final arbiter.

Adopted by the Board of Trustees, Department of Archives and History,
at its regular quarterly meeting on July 24, 1987.

DEPARTMENT OF ARCHIVES AND HISTORY
ARCHIVES AND LIBRARY DIVISION
Changes to Search Room Rules
Effective November 1, 1990, as Emergency Rules
Effective November 20, 1990, as Permanent Rule

1. The maximum number of patrons allowed in the Search Room at any given time is forty.
2. The hours of Search Room operation for Saturday will be 8:00 a.m. to 1:00 p.m.
3. No briefcases, tote bags, purses, raincoats, umbrellas, topcoats, personal research items other than notes, or food may be brought into the Search Room. Personal research items and other items carried inside the Search Room will be searched upon departure.
4. Smoking is not allowed in any Department of Archives and History building.
5. Cameras and other types of mechanical duplicating equipment belonging to patrons are not allowed in the Search Room. Exceptions for public relations purposes may be made by the Division director so long as the research activity of other patrons is not disturbed.

Changes to the rules of the Search Room are implemented as emergency rules under section 25-43-7, mca 1972, to provide improvements in the security and safety of the public utilizing the Search Room and for the archival materials used in the Search Room. The intent of these rules is to remove possibilities of theft, both personal and archival.

Mississippi Department of Archives and History
P. O. Box 571
Jackson, Mississippi 39205-0571

PAPER ARCHIVES
State Government Records

Architectural Records Restriction Policy

It is the policy of this Department that a need to know must be established prior to receiving access to architectural plans in the collections of state agency records. The procedure for determining this need requires the submission of a written request to the Director of the Archives and Library Division followed by an interview with the director. Approval or denial of access and/or copying is at the discretion of said Director. A written statement documenting the request, interview, and decision is provided to the researcher and to the curator for inclusion in the respective series Control Folder. A denial may be appealed to the Director of the Department of Archives and History who will serve as the final arbiter.

Mississippi Department of Archives and History
Photographs
Image Reproduction Policy

The Mississippi Department of Archives and History offers broad public access to Department collections as a contribution to education and scholarship. Some materials in these collections may be protected by the U.S. Copyright Law (Title 17, U.S.C.) and/or by the copyright or neighboring-rights laws of other nations (Berne Convention). Additionally, the reproduction of some materials may be restricted by terms of the Department's gift agreements, donor restrictions, privacy and publicity rights, licensing and trademarks.

The nature of historical archival collections means that copyright or other information about restrictions may be difficult or even impossible to determine. Whenever possible, the Department provides information about copyright owners and other restrictions. The Department provides this information as a service to aid the patron in determining the appropriate use of an item, but that determination ultimately rests with the patron. It is the patron's obligation to determine and satisfy copyright or other use restrictions when publishing or otherwise distributing materials found in the Department's collections.

A patron must submit a Public Order Form for the acquisition of photographic copies. Mississippi law (Mississippi Code 25-61-7) requires payment in advance for all services rendered. Production time is usually within fourteen (14) working days, subject to the size of the order and the number of orders received. Orders are processed in the order in which they are received. Depending upon circumstances, expedited orders may be accepted, however, no delivery date is guaranteed.

The Mississippi Department of Archives and History reserves the right to delay reproduction of fragile items until appropriate conservation measures can be completed. However, a patron may choose to pay the cost of conservation measures necessary to safely reformat an item.

Department policy is to print a negative "as is" without alterations.

The Department will select the vendor to provide duplication services. Normally, the vendor will be the Department itself. If another vendor is used, the patron will make direct arrangements for payment of vendor services. The Department will not be responsible for the quality of duplication work performed by another vendor. A vendor delivery fee will be charged for each order placed with a vendor. However, no vendor duplication work will be authorized by MDAH until the patron supplies the vendor with some form of payment. MDAH will be responsible for delivering material at the agreed-upon time.

Mississippi Department of Archives and History
Photographs
Rate Sheet

Black and White Photographs:

<u>5 x 7 print</u>	<u>\$10.00</u>
<u>8 x 10 print</u>	<u>\$12.00</u>
<u>11 x 14</u>	<u>\$20.00</u>
4 x 5 copy negative	\$22.00

Color photographs:

Color photographs are available in digital format only.

Set fee for oversize (11x14 or larger) photographs:

\$10.00 per item

A patron must submit a Public Order Form for the acquisition of photographic copies and make payment in advance. Mississippi law (Mississippi Code 25-61-7) requires payment in advance for all services rendered. Production time is usually within fourteen (14) working days, subject to the size of the order and the number of orders received. Orders are processed in the order in which they are received. Depending upon circumstances, rush orders may be accepted, however, no delivery date is guaranteed.

Video shoots:

\$25.00 for setup and one hour of production time (paid in advance, non-refundable)

\$15.00 for every hour after the first hour

Patrons are required to request materials and make selections for the video shoot in the Reading Room before the appointment for the video shoot. Appointments for video shoots are made two days in advance and only as facilities permit. Failure on the part of the patron to have materials selected and ready for copying at the appointed time will result in a cancellation of the appointment.

Expedited Service: Expedited service (within 5 working days) is available for orders of up to ten (10) images. Depending upon circumstances, it may not be possible for the Department to offer expedited service for all orders. For expedited service, add \$50.00 per item or 50% of total reproduction fees, whichever is greater.

Duplication fees are charged according to the fee schedule approved by the Mississippi Department of Archives and History Board of Trustees and are subject to change without prior notice.

Mississippi Department of Archives and History
Photographs
Broadcast/Publication/Internet Use

If publication or broadcast of the image is intended, the patron must receive written permission signed by the Division director. The written request must be submitted stating the specific use and time of use for the requested photographic copies. The Department provides information as a service to aid the patron in determining the appropriate use of an item, but that determination ultimately rests with the patron. It is the patron's obligation to determine and satisfy copyright or other use restrictions when publishing or otherwise distributing materials found in the Department's collections.

The Department must be assured that the proposed use will result in a suitable presentation of the photographic copy. The Department must approve superimposition of text, cropping, bleeding, addition of color, or other alterations at the time the request for photographic copies is approved. Permission for use is granted for a *one-time, non-exclusive use of the image(s) in one product distributed in one format/medium in one language.* Any subsequent use (including but not limited to reprints, subsequent editions, book club editions, paperback editions, different languages, documentaries, multimedia products, or videotapes) constitutes a reuse and must be approved by the Department following the procedures set forth in this policy.

Each user of material from MDAH's photograph collections will agree to indemnify the MDAH for any liabilities incurred by MDAH as a result of misuses by the user of the Department's photographic material.

It is the policy of the Mississippi Department of Archives and History to assess a use fee for use of photographic copies of images from the collections of the Archives and Library Division. The Department will determine the category of proposed use and whether a proposed use is commercial by the nature of the use, the user, and the intended audience. Use fees are for a *one-time, non-exclusive use of the image(s) in one product distributed in one format/medium in one language* and are in addition to any production, handling, and mailing costs. A current copy of the use fee schedule is maintained at the Department of Archives and History. Use fees are charged according to the fee schedule approved by the Mississippi Department of Archives and History Board of Trustees and are subject to change without prior notice.

Legal residents of Mississippi and organizations chartered in Mississippi will not be charged use fees. Mississippi's state, county, and municipal government agencies will not be charged use fees unless the agencies' intended use is related to a product that will be distributed for a price.

Mississippi Department of Archives and History
 Photographs
 Rate sheet /Use fees
 (per photograph/per use)

	<i>For-profit</i>	<i>Not for profit</i>
Advertising	<u>\$75.00</u>	<u>\$25.00</u>
Cover, book or magazine	<u>\$75.00</u>	<u>\$25.00</u>
Calendar, poster	<u>\$50.00</u>	<u>\$25.00</u>
Exhibition, display (permanent)	<u>\$50.00</u>	<u>\$25.00</u>
Exhibition, display (temporary)	<u>\$30.00</u>	<u>\$15.00</u>
<u>Internet/Web use</u>	<u>\$100.00</u>	<u>\$100.00</u>
Text illustration, Book, magazine, serial	<u>\$40.00</u>	<u>\$20.00</u>
Video, film, multimedia (other than Web use)	<u>\$40.00</u>	<u>\$20.00</u>

Use fees are charged according to the fee schedule approved by the Mississippi Department of Archives and History Board of Trustees and are subject to change without prior notice.

The Mississippi Department of Archives and History will determine the category of use. Proof of Internal Revenue Service filing category may be required.

The Eudora Welty Collection, Audio-Visual Records Collection, and the Digital Imaging Policy are exempt from this policy and are governed by separate, specific policies.

Mississippi Department of Archives and History
Film
Reproduction Policy

The Mississippi Department of Archives and History offers broad public access to Department collections as a contribution to education and scholarship. Some materials in these collections may be protected by the U.S. Copyright Law (Title 17, U.S.C.) and/or by the copyright or neighboring-rights laws of other nations (Berne Convention). Additionally, the reproduction of some materials may be restricted by terms of the Department's gift agreements, donor restrictions, privacy and publicity rights, licensing and trademarks.

The nature of historical archival collections means that copyright or other information about restrictions may be difficult or even impossible to determine. Whenever possible, the Department provides this information about copyright owners and other restrictions. The Department provides information as a service to aid the patron in determining the appropriate use of an item, **but that determination ultimately rests with the patron.** It is the patron's obligation to determine and satisfy copyright or other use restrictions when publishing or otherwise distributing materials found in the Department's collections.

A patron must submit a Public Order Form for the acquisition of film duplicates and make payment in advance. Mississippi law (Mississippi Code 25-61-7) requires payment in advance for all services rendered. Production time is usually within fourteen (14) working days, subject to the size of the order and the number of orders received. Orders are processed in the order in which they are received. Depending upon circumstances, expedited orders may be accepted, however, no delivery date is guaranteed.

The Mississippi Department of Archives and History reserves the right to delay reproduction of fragile items until appropriate conservation measures can be completed. However, a patron may choose to pay the cost of conservation measures necessary to safely reformat an item.

The Department will select the vendor to provide duplication services. Normally, the vendor will be the Department itself. If another vendor is used, the patron will make direct arrangements for payment of vendor services. The Department will not be responsible for the quality of duplication work performed by another vendor. A vendor delivery fee will be charged for each order placed with a vendor. However, no vendor duplication work will be authorized by MDAH until the patron supplies the vendor with some form of payment. MDAH will be responsible for delivering material at the agreed-upon time. The cost of transporting the film will be levied at the hourly rate of pay for the audio-visual curator and billed as production cost.

Mississippi Department of Archives and History
Film
Production Fees

Reference Tape/View Copy (VHS w/timecode)

\$15.00 / per hour service charge for each hour of MDAH production time

plus \$50.00 / fee for research copy for the first sixty (60) minutes of footage

plus \$100.00 / fee for research copy for each subsequent hour of footage

plus \$5.00 / per VHS tape materials charge

MDAH must receive the following before the reference tape is delivered:

-completed and signed public order form

-signed agreement

-express delivery billing number

-proof of payment

Broadcast tape: BetaSP or HI8

\$15.00 / per hour service charge for each hour of our production time

plus \$ 10.00/ per Beta tape materials charge

MDAH must receive the following before the broadcast tape is delivered:

-completed and signed public order form

-signed agreement

-express delivery billing number

-proof of payment

Expedited Service: Expedited service (within 5 working days) is available for orders of up to ten (10) segments. Depending upon circumstances, it may not be possible for the Department to offer expedited service for all orders. For expedited service, add \$50.00 per segment or 50% of total reproduction fees, whichever is greater.

Production fees are charged according to the fee schedule approved by the Mississippi Department of Archives and History Board of Trustees and are subject to change without prior notice.

Shipment:

Shipping and handling charges: \$2.00

All orders are shipped via standard U. S. Mail unless otherwise requested. The Department will ship express carriers with third-party billing.

Each user of material from MDAH's film collections will agree to indemnify MDAH for any liabilities incurred by MDAH as a result of misuses by the user of the Department's film or videotape material.

Each reference video is for research purposes only and will be returned at the end of the production.

Any film or video duplicates received by a patron and any subsequent authorized reproductions which are not used in the production will be returned to MDAH upon completion of the production. A late fee of \$50.00 per day will be charged for material returned after the agreed upon date.

The Mississippi Department of Archives and History reserves the right to discount for quantity use. Consideration will be given to orders in excess of 300 seconds of footage.

Film or videotape shall not be donated to other institutions.

Proof of payment for Department charges must be made prior to shipment of the order.

Broadcast fees are paid to the Department within thirty (30) days of receipt of material.

Legal residents of Mississippi and organizations chartered in Mississippi will not be charged use fees. Mississippi's state, county and municipal government agencies will not be charged use fees unless the agencies' intended use is related to a product that will be distributed for a price.

The MDAH director may, at his discretion, provide exemption to this policy on a case by case basis. Application for exemption should be submitted in writing to the director of the Mississippi Department of Archives and History.

In addition to any fees, the Department request one complete and unabridged copy of the final product.

Credit will be give as "Courtesy of Mississippi Department of Archives and History" unless otherwise stated.

The Eudora Welty Collection, the Photograph Collection, and the Digital Imaging Policy are separate exempt from this policy and are governed by separate, specific policies.

Commercials

- Worldwide TV	\$100.00
- National	\$ 50.00

Non-Broadcast Rights *(All charges are per second)*

Non-Profit Organization

- No Distribution	\$ 5.00
- Distribution	\$10.00

Corporate Internal

- No Distribution	\$10.00
- Distribution	\$15.00

Corporate Promotional

- No Distribution	\$15.00
- Distribution	\$20.00

Videocassettes

- Worldwide	\$25.00
- National	\$20.00

Theatrical

- Worldwide	\$25.00
- Worldwide plus Distribution	\$35.00
- National	\$20.00
- National plus Distribution	\$30.00

Public Display

- Local	\$2.00
- Local plus Distribution	\$7.00
- National	\$10.00
- National plus Distribution	\$15.00

Mississippi citizens and organizations chartered in Mississippi pay a deposit of \$100.00 for each videotape. This deposit is refundable upon return of the videotape to MDAH.

Broadcast fees are paid to the Department within thirty (30) days of receipt of material.

Make checks payable to the Mississippi Department of Archives and History. Mail checks the Mississippi Department of Archives, Library Division, P.O. 571, Jackson, Mississippi 39205.

Mississippi Department of Archives and History
Audio
Reproduction Policy

The Mississippi Department of Archives and History offers broad public access to Department collections as a contribution to education and scholarship. Some materials in these collections may be protected by the U.S. Copyright Law (Title 17, U.S.C.) and/or by the copyright or neighboring-rights laws of other nations (Berne Convention). Additionally, the reproduction of some materials may be restricted by terms of the Department's gift agreements, donor restrictions, privacy and publicity rights, licensing and trademarks.

The nature of historical archival collections means that copyright or other information about restrictions may be difficult or even impossible to determine. Whenever possible, the Department provides this information about copyright owners and other restrictions. The Department provides information as a service to aid the patron in determining the appropriate use of an item, **but that determination ultimately rests with the patron.** It is the patron's obligation to determine and satisfy copyright or other use restrictions when publishing or otherwise distributing materials found in the Department's collections.

A patron must submit a Public Order Form for the acquisition of film duplicates and make payment in advance. Mississippi law (Mississippi Code 25-61-7) requires payment in advance for all services rendered. Production time is usually within fourteen (14) working days, subject to the size of the order and the number of orders received. Orders are processed in the order in which they are received. Depending upon circumstances, expedited orders may be accepted, however, no delivery date is guaranteed.

The Mississippi Department of Archives and History reserves the right to delay reproduction of fragile items until appropriate conservation measures can be completed. However, a patron may choose to pay the cost of conservation measures necessary to safely reformat an item.

The Department will select the vendor to provide duplication services. Normally, the vendor will be the Department itself. If another vendor is used, the patron will make direct arrangements for payment of vendor services. The Department will not be responsible for the quality of duplication work performed by another vendor. A vendor delivery fee will be charged for each order placed with a vendor. However, no vendor duplication work will be authorized by MDAH until the patron supplies the vendor with some form of payment. MDAH will be responsible for delivering material at the agreed-upon time. The cost of transporting the film will be levied at the hourly rate of pay for the audio-visual curator and billed as production cost.

Mississippi Department of Archives and History
Audio
Production

Audiotape (Cassette or Reel-to-reel)

\$25.00 / set up fee

\$15.00 / per hour service charge for each hour of production time

plus \$5.00/materials charge (tape, CD, etc.)

plus \$30.00 /fee for copy of the first 30 minutes of audiotape

plus \$50.00/ fee for copy of each subsequent 30 minutes of audiotape

Each user of material from the MDAH's film collections will agree to indemnify MDAH for any liabilities incurred by MDAH as a result of misuses by the user of Department's audio material.

Each audiotape will be returned at the end of the production.

Any audiotapes received by a patron and any subsequent authorized reproductions used in the production will be returned to the MDAH upon completion of the production. A late fee of \$50.00 per day will be charged for material returned after the agreed upon date.

The Mississippi Department of Archives and History reserves the right to discount for quantity use. Consideration will be given to orders in excess of sixty (60) minutes.

Audiotapes shall not be donated to other institutions.

Proof of payment for Department charges must be made prior to shipment of the order.

Final payment of production and use fees must be received before delivery of the material.

Legal residents of Mississippi and organizations chartered in Mississippi will not be charged use fees. Mississippi state, county, and municipal government agencies will not be charged use fees unless the agencies' intended use is related to a product that will be distributed for a price.

The MDAH director may, in his discretion, provide exemption to this policy on a case by case basis. Application for exemption should be submitted in writing to the Director of the Mississippi Department of Archives and History.

In addition to any fees, the Department may request one complete and unabridged copy of the final product.

Credit will be give as "Courtesy of Mississippi Department of Archives and History" unless otherwise stated.

The Eudora Welty Collection, the Photograph Collection, and the Digital Imaging Policy are exempt from this policy and are governed by separate, specific policies.

Free TV

- Local Station	\$1.60
- Public Access	\$1.60

Commercials

- Worldwide	\$20.00
- National	\$16.00

Non-Broadcast Rights *(All charges are per second)*

Non-Profit Organization

- No Distribution	\$ 4.00
- Distribution	\$ 8.00

Corporate Internal

- No Distribution	\$ 8.00
- Distribution	\$12.00

Corporate Promotional

- No Distribution	\$12.00
- Distribution	\$16.00

Videocassettes

- Worldwide	\$20.00
- National	\$16.00

Theatrical

- Worldwide	\$20.00
- Worldwide plus Distribution	\$18.00
- National	\$16.00
- National plus Distribution	\$24.00

Public Display

- Local	\$1.60
- Local plus Distribution	\$5.60
- National	\$8.00
- National plus Distribution	\$12.00

Mississippi citizens and organizations chartered in Mississippi pay a deposit of \$100.00 for any audiotape. This deposit is refundable upon return of the audiotape to MDAH.

Digital Imaging Policy

The digital imaging policy of the Mississippi Department of Archives and History is supplementary to and subject to all other image reproduction policies established for the various collections held by the Department. It is also subject to copyright law (Title 17, United States Code, and the Digital Millennium Copyright Act).

The Department will only produce digital images from items held in the public domain or from copyrighted items for which permission to digitize has been obtained from the copyright owner(s). It is the patron's responsibility to contact the copyright owner(s) to request that the copyright owner(s) send the Department written permission to digitize and distribute the copyrighted item. Each user of material from the Mississippi Department of Archives and History will agree to indemnify the Department for any liabilities incurred by the Department as a result of misuses by the user of the Department's material.

The Department will select the vendor to provide imaging services. Normally, the vendor will be the Department itself. If another vendor is used, the patron will make direct arrangements with the vendor for payment of vendor services. The Department will not be responsible for the quality of duplication work performed by another vendor. Patrons are not permitted to image items from any of the Department's collections with a personal scanner, digital camera, or other portable imaging device.

The patron must submit a Digital Imaging Public Order Form for the acquisition of digital copies. The Department standard for digital imaging is to scan from the original item "as is," with two exceptions: (1) negative images are converted to positives, and (2) 35mm slides and negatives are scanned proportional to their original dimensions to a roughly 5"x7" size. The Department does not retouch images. Custom images (resized, cropped, or saved as a different file type or on different storage medium) may be ordered, at the discretion of the copyright owner(s) and collection curator, with reimbursement of higher production costs. The patron must obtain specific permission from the copyright owner to crop an image before the Department will produce the cropped image.

Requests for imaging will be denied if, in the judgment of the Department, the item is too fragile, too brittle, or too large to be scanned with available hardware. The patron will assume all costs of conservation for an item if the Department performs unscheduled conservation so that the item can be imaged. The Department may limit the number of digital images in any one order and may apply additional charges involving material that is unusually difficult to scan.

Orders are processed in the order in which they are received, and production is usually completed within fourteen (14) working days. Depending upon staff and order volume limitations, accelerated production time for up to five (5) items may be requested with a non-refundable charge per image. Completion dates are not guaranteed.

**Mississippi Department of Archives and History
Archives and Library Division**

Policy on the Reproduction of Archival Materials

Adopted by the Board of Trustees, December 13, 2002

Effective January 1, 2003

Revised April 25, 2003; Revised May 20, 2005

Revised January 20, 2006; Effective tbd, 2006

I. General

The Mississippi Department of Archives and History (MDAH) offers various ways to obtain copies of items in MDAH collections as a contribution to education and scholarship. The purpose of this policy is to define MDAH policies regarding the acquisition and non-personal use of reproductions of items held by the Archives and Library Division of MDAH.

A. Copyright

Some materials in these collections may be protected by the U.S. Copyright Law (Title 17, U.S.C., in accordance with the Berne Convention for the Protection of Literary and Artistic Works), and the Digital Millennium Copyright Act.

Additionally, the reproduction of some materials may be restricted by terms of gift agreements, privacy and publicity rights, licensing and trademarks.

Copyright may be difficult or even impossible to determine for archival collections. Whenever possible, MDAH will provide information about copyright interests in and other restrictions on archival materials. MDAH provides this information as a service to aid the patron in determining the legality of the intended use of an item, but that determination ultimately rests with the patron. It is the patron's obligation to determine and satisfy copyright or other use restrictions when publishing or otherwise distributing materials found in MDAH collections.

B. Costs, Fees, and Payment

Reproduction costs and use fees are set by MDAH Board of Trustees and are subject to change without notice. Mississippi law requires payment in advance for all duplication services rendered (*MCA*, §25-61-7). Charges for services incurred and use fees cannot be waived and are not refundable. A current copy of the Cost and Fee Schedule is maintained at MDAH.

C. Limitations

MDAH may delay the reproduction of fragile items until appropriate conservation measures can be completed. Such measures are implemented as scheduling and

available funds allow. The patron may choose to expedite this process by paying the cost of conservation measures necessary to safely reproduce an item.

No copies of archival materials shall be donated to other institutions without the written consent of MDAH.

D. Self-Service Reproduction

Photocopies of books in the Public Reading Room as well as paper copies of microfilm and microfiche images and electronic images accessed in the Media Reading Room are produced by the patron.

E. Staff Reproduction

1. Standard

Paper copies of archival materials are produced by the Archival Reading Room reference staff. Some orders may be completed at the time of the request. Orders that are not completed at the time of request and large orders must be requested using an order form.

2. Order Form

A patron must submit an order form for the acquisition of copies not produced by the patron or completed and returned by the staff at the time of the request. Orders are processed on a first-come, first-served basis. Production time is usually within fifteen (15) working days, subject to the size of the order, format, and the number of orders received. MDAH may be able to offer expedited service within five (5) working days; however, no delivery date can be guaranteed.

F. Other Reproduction

1. Commercial Vendor

MDAH will select the vendor to provide duplication services. Normally, the vendor will be MDAH itself. If another vendor is used, the vendor must be approved by MDAH. The patron will make direct payment arrangements for vendor services. MDAH will not be responsible for the quality of duplication work performed by another vendor. A vendor delivery fee will be charged for each order placed with an outside vendor. However, no vendor duplication work will be authorized by MDAH until the patron and the vendor have agreed on payment terms, and the vendor has notified MDAH of the agreement. MDAH will be responsible for delivering the original material at the time agreed upon with the vendor and picking up both the original material and the reproductions.

2. Other Option

If MDAH or an approved vendor cannot provide the desired format, the patron may request to use personal equipment to produce the copy. All work must be done under the direct supervision of MDAH staff, and all archival materials will be handled only by MDAH staff. Such requests must be made in advance using an order form. If approval is granted, the patron must then contact the Order Clerk to set up an appointment to reproduce the materials. Failure on the part of the patron to appear at the appointed copying time will result in a cancellation of the appointment and of the order.

G. Shipping

All orders are shipped via standard U.S. mail unless otherwise requested. A standard postage and handling charge is assessed, but exceptionally large orders will be assessed the additional postage costs. MDAH will only ship through express carriers with third-party billing.

H. Broadcast/Publication/Exhibition/Internet Use of Copies

1. Written Permission Required

If publication or broadcast of the reproduction is intended, the patron must receive written permission from the Archives and Library Division director and any copyright holder(s), if applicable. Special restrictions are applied to certain items, based on format, and are detailed below. Use on the Internet or any web site is prohibited without prior written permission from MDAH director and copyright holder(s), if applicable.

Permission is granted for use for a period of no more than ten (10) years; rights are not granted in perpetuity. MDAH, and copyright holders, must approve superimposition of text, cropping, bleeding, addition of color, or other alterations at the time the request for duplication is approved.

2. Use Fee

MDAH assess a fee for the use of reproduced items from the collections of the Archives and Library Division. Use fees and use fee categories are set by MDAH Board of Trustees and are subject to change without notice.

a. MDAH to determine fee category of use

MDAH staff will determine the category of proposed use. Proof of Internal Revenue Service filing category is required to qualify for the not-for-profit fee rate. Profit/Not-for-profit status is determined by the status of the entity requesting the use, not by the status of the entity funding the project.

b. **One-time use only**

Use fees are for a one-time, non-exclusive use of the image(s) in one product distributed in one format/medium in one language and are in addition to any production, handling, and mailing costs. Any subsequent use constitutes a reuse and must be approved by MDAH following the procedures set forth in this policy. The reproduced material may not be used in other media or formats without the express, written permission of MDAH.

c. **Cost and Fee Schedule and use fee categories**

A current copy of the Cost and Fee Schedule and use fee categories is maintained at MDAH.

d. **Exemptions**

Legal residents of Mississippi and organizations chartered in Mississippi will not be charged use fees. Mississippi government agencies will not be charged use fees unless the intended use is related to a product that will be distributed for a price.

e. **Indemnification**

Each user of reproduced MDAH material will agree to indemnify MDAH for any liabilities incurred by MDAH as a result of misuse by the user.

f. **Product copies**

MDAH may request two complimentary copies of the final product.

II. Format-Specific Policies

A. **Photographs**

1. **Alterations**

MDAH prints and/or scans the image "as is" without alterations. If alterations or enhancements are desired, a request may be submitted for a copy negative or scan. The patron can then, with the permission of copyright holder(s), if applicable, have the image printed or scanned to specific requirements by a private vendor.

2. **Exceptions**

See section III for policies concerning the Eudora Welty Collection.

B. Motion Pictures

1. Reproduction of Motion Picture Holdings in Film or Video Format

a. Written request required

Requests for reference and production copies must be made in writing and include subject content, project information, intended use(s), contact information, and express delivery number (if third party shipping is desired).

b. Additional charges

If delivery to an outside vendor is required, the cost of transporting the original material will be billed as a production cost. Such transportation costs include, but are not limited to, public transportation, car rental, food, lodging, insurance, and salary expenses.

c. Executed use agreement required

Prior to delivery of the copied product, a use agreement tendered by MDAH covering the product must be executed by the patron and MDAH.

d. Reference view tape includes time code

A reference viewing tape is provided in VHS format. Each reference tape will include time code. The reference tape (with time code) must be returned before a production tape can be provided.

e. Time-code citation required for production tape

Time-code citations must be provided as part of a request for a production tape.

f. Return of reproductions required

Any duplicates received by a patron and any subsequent authorized reproductions must be returned to MDAH upon or before a date specified by MDAH. A per-day late fee will be charged for material returned after the agreed-upon date.

i. Exemption

MDAH director may grant a written exemption to this provision to allow an individual to retain permanently a reference tape for personal home use.

ii. Deposit fee

MDAH may charge individuals and entities exempt from the payment of use fees a deposit for each audiotape and production videotape, unless permanent retention of the reproduction has been authorized in writing by MDAH director. This deposit is refundable upon the return of the duplicate to MDAH.

g. Use fees paid on all production tape footage

The use fee total is calculated on the footage ordered in the production tape, regardless of how much of the footage is used in the final product.

h. Discounts

Requests for motion picture production footage in excess of 300 seconds will be eligible to a 10% discount on any use fees charged.

C. Sound Recordings

1. Reproduction in Analog Tape Format

a. Written request required

Requests for reproductions must be made in writing. Include subject content, project information, intended use(s), contact information, and express delivery number (if third party shipping is desired).

b. Executed use agreement required

Prior to delivery of the reproduction, a use agreement tendered by MDAH must be executed by the patron and MDAH.

c. Return of reproductions required

Any duplicates received by a patron and any subsequent authorized reproductions must be returned to MDAH upon or before a date specified by MDAH. A per-day late fee will be charged for material returned after the agreed-upon date.

i. Exemption

MDAH director may grant a written exemption to this provision to allow an individual to retain permanently the reproduction for personal home use.

2. Reproduction in Other Formats

MDAH does not currently possess the ability to reproduce audio in all formats, and the use of an outside vendor may be required. Reproduction may require the creation of an archival master copy. The patron must assume the costs for the production of this master copy, which is retained by MDAH.

D. Digital Imaging

The digital imaging policy of MDAH is supplementary to and subject to all other image reproduction policies established for the various collections held by MDAH. It is also subject to U.S. Copyright Law (Title 17, U.S.C., in accordance with the Berne Convention for the Protection of Literary and Artistic Works), and the Digital Millennium Copyright Act.

1. Restrictions

MDAH will only produce digital images from items held in the public domain or from copyrighted items for which permission to digitize has been obtained from the copyright owner(s). It is the patron's responsibility to contact the copyright owner(s) to request that the copyright owner(s) send MDAH written permission to digitize and distribute the copyrighted item.

a. Limitations

MDAH may limit the number of digital images in any one order and may apply additional charges for material that is unusually difficult to scan. Requests for imaging will be denied if the item is too large or too fragile to be scanned with available hardware.

b. Self-service digital imaging not permitted

Patrons are not permitted to image items from any of MDAH collections with a personal scanner, digital camera, or other portable imaging device.

2. Alterations

MDAH standard for digital imaging is to scan from the original item "as is," with two exceptions: (1) negative images are converted to positives, and (2) 35mm slides and negatives are scanned proportional to their original dimensions to a roughly 5"x7" size. MDAH does not retouch images. Custom images (resized, cropped, or saved as a different file type or on different storage medium) may be ordered, at the discretion of the copyright owner(s) and collection curator, with reimbursement of higher production costs. The patron must obtain specific permission from the copyright owner to crop an image before MDAH will produce the cropped image.

III. Eudora Welty Collection

The Eudora Welty Collection consists of manuscripts, photographs, printed works, and other materials presented to MDAH by Eudora Welty during her lifetime and by her heirs, incorporated as Eudora Welty, LLC, after her death. Some materials in the Eudora Welty Collection were created by others; reproduction and copyright issues related to such materials are addressed above in Sections I and II. The following section addresses issues for only those materials created by Eudora Welty.

A. Copyright

All copyright interest is held and protected by Eudora Welty, LLC.

B. Reproduction

MDAH must receive permission from Eudora Welty, LLC, in order to provide copies of any item(s) for which it holds copyright.

1. Photocopies of Photographs and Papers

Eudora Welty, LLC, has authorized the Archives and Library Division to permit the production of photocopies of unrestricted photographs and papers for “fair use” in private study, scholarship, and research. MDAH staff will handle all photocopying. Copies may not be further reproduced.

2. Photographic Reproductions of Photographs and Papers

a. Written request required

The patron must submit a written request to obtain photographic and electronic copies from MDAH. Upon receipt, MDAH forwards the request to Eudora Welty, LLC, for approval. After approval is received from Eudora Welty, LLC, an order for reproduction may be placed with MDAH.

b. Alterations and limitations

MDAH standard for producing photographic copies is to print from the negative as is. Any extraordinary processing specifications must be included in the approval from Eudora Welty, LLC.

MDAH reserves the right to limit the number of photographic copies and to charge additional fees for material involving unusual difficulty in copying.

3. Credit

Credit will be given as determined by Eudora Welty, LLC.

STATE RECORDS CENTER

Records Management Handbook #1

State of Mississippi
Department of Archives and History
Division of Records Management

FOREWORD

The "Mississippi Archives and Records Management Act of 1981" established a records management program for state agencies and provided for the transfer of the Central Records Storage Facility from the Commission of Budget and Accounting to the Department of Archives and History. The law also specified that the storage facility's name would be changed to the State Records Center.

The Department of Archives and History assumed responsibility for the State Records Center on July 1, 1981, and has taken steps to improve the services that are offered by the Center to State government. The Mississippi Department of Archives and History is proud to offer these services.

The Records Center is designed to provide safe and secure storage for noncurrent records at the lowest possible cost to the State. It is estimated that half the records of the State, which have to be retained because of administrative, legal, or fiscal requirements, fall into the noncurrent category and should be stored in the Records Center. Although space in the Records Center is limited, agencies are encouraged to transfer their noncurrent records to the Center as soon as possible so that valuable floor space and equipment can be released for more important uses.

This handbook has been prepared to assist agencies in using the Center facilities. The handbook provides information about transferring records to the Center, using them while stored in the Center, and disposing of them when they are no longer needed. The "Mississippi Archives and Records Management Act of 1981" provides the State with an effective management tool to use in combating waste and inefficiency in paperwork, and the Department of Archives and History pledges wholehearted cooperation with State agencies in bringing efficiency and economy to the State's records activities.

Elbert R. Hilliard, Director
Department of Archives and History

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I. WHY MISSISSIPPI HAS A RECORDS CENTER

1. Problem of Noncurrent Records

Noncurrent records are those which have little or no current administrative use but which, because of legal, fiscal, or other requirements, cannot be disposed of until some future date. Reference to these records is occasional or is minimal.

Even though these records have served their administrative needs, agencies are required to retain them. Some are placed in storage space that the agency may have, but many are retained in high-cost office space because no alternative exists. Some are removed from file cabinets and placed in transfer files or other boxes, but many remain in expensive filing equipment.

Keeping noncurrent records in office or prime storage space is a costly practice. For example, a four-drawer legal size cabinet holds about eight cubic feet of records when full; the same cabinet requires nearly eight square feet of space (including aisle and access space) to house it; therefore it takes about one square foot of floor space to support one cubic foot of records in filing equipment.

With office space costing between \$6.00 and \$7.00 per square foot annually, it follows that keeping a cubic foot of noncurrent records in office space costs a like amount.

The use of filing equipment for the keeping of noncurrent records is also wasteful. Minimum costs of file cabinets today is \$200 for letter size and \$300 for legal size. Often equipment costs more. When noncurrent records are kept in filing equipment, additional equipment must be purchased to house the current records that are being created.

2. The Records Center Concept

Shortly after World War II, both government and industry became painfully aware of the growing pressure of paper records in the office. Concerted efforts were directed toward controlling and reducing the paper accumulation. Records were appraised for retention value; useless outdated records were destroyed; but the question of what to do with noncurrent records with some use potential still remained.

The logical answer was to take noncurrent records out of office space and keep them in low-cost storage. However, when an agency or organizational element procured and serviced its own storage area, potential savings became slight, or even vanished. Thus the pooling concept emerged, under which all agencies of a government used a common storage facility and a single group of employees to store and service the records. The economic advantages of this arrangement were quickly evident.

Thus, the records center has become an extension of the individual agency's record-keeping system. Records placed in the center remain in agency custody and are subject to any stipulations set by the agency. The records may be obtained on loan or permanently withdrawn at any time. If required, center personnel perform reference service for stored records. The center, therefore, has become the most efficient and economical device that a government or business has found for solving the problem of noncurrent records.

3. Legal Authority for Mississippi State Records Center

In 1981 the Mississippi State Legislature passed the "Mississippi Archives and Records Management Act" (Chapter No. 501, Senate Bill No. 2240). The Act, which established the State's Records Management Program, empowered the Division of Records Management of the Mississippi Department of Archives

and History to operate the State Records Center. The Center as envisioned by the Legislature is an integral part of the program to bring efficiency and economy to the management of public records in the State of Mississippi.

4. The Mississippi State Records Center

The State Records Center is ideally suited for the storage and servicing of noncurrent records. Maximum utilization of storage space is achieved through shelving height and layout. The storage area holds more than five cubic feet of records for each square foot of floor space.

The building is protected against the threat of fire through modern smoke detection equipment. The system is connected with the Jackson Fire Department for immediate response.

Maximum records security is obtained through controlled access to the storage area and the use of a burglar alarm system which is connected directly to the Jackson Police Department. This controlled access, including the locking of the storage area after hours, eliminates the possibility of unauthorized use of records. The level of security provided for stored records will be equal to, and in many cases better than, that which agencies can offer.

5. Services Available

Noncurrent records storage is available at no cost to state government agencies. The Center furnishes cartons for storing paper records and provides a pickup service for records from agencies in the Jackson area.

Reference service is also provided without cost for noncurrent records accepted for storage. Daily delivery service is provided to agencies in the Jackson area.

The combined service package of storage and reference which is offered at no cost to the agency, provides each agency with basic resources for controlling the noncurrent records problem.

The State Records Center also offers a central microfilm service. It can provide nearly every type of microfilm product. The service, which is available at cost, will be particularly useful to agencies having one-time, intermittent, peakload, or less than full-time requirements.

A Computer Output Microfilm service is provided. Agencies with COM programs can get the work done at the Center at cost.

The Center has equipment for shredding records. Agencies having records which must be destroyed at the time of disposal can have them shredded at the Center at no cost.

6. Agency Responsibilities

The Mississippi Archives and Records Management Act (Chapter 501, Senate Bill No. 2240), which authorizes the Records Center, also places with the agencies certain responsibilities. Section 8 requires that each agency and each appointed or elected official "cooperate with the department (Archives and History) in complying with the provisions of this act;" "establish and maintain an active and continuing program for the economical and efficient management of records;" and "submit to the department for review by the State Records Committee . . . a recommended retention schedule for records in its custody." As authorized by the basic legislation, the Department of Archives and History will from time to time issue regulations pertaining to records management in accordance with the Mississippi Administrative Procedures Law (Section 25-43-1 et. seq., Mississippi Code of 1972). Each agency should designate a Records Management Liaison Officer (or officers) to be responsible for the development of the agency's records management program. In larger agencies, Records Management Liaison Officers are also appointed at the Division Level. These officers will provide the essential communication and control needed to insure the optimum use of the facilities and services of the State Records Center. The Records Management Liaison Officer should establish internal procedures for the orderly transfer of records to the Center and for the central clearance of reference requests.

II. SELECTING RECORDS FOR TRANSFER TO THE STATE RECORDS CENTER

1. The Records Control Schedule

When the records of an agency are completely covered by records control schedules, there is no problem in deciding which records should be transferred to the State Records Center. These schedules, which establish the official life span for records, specify which records are to be transferred to the Center and when to transfer them. (See publication RM-81-1 "Records Scheduling and Disposition Handbook.")

The determination as to whether records are to be transferred to the Center, is based on three factors:

- Frequency of reference
- Period to be retained before destruction, and
- Cost of transfer (such as shipping charges from a remote office.)

These factors should be weighed carefully at the time the records control schedule is developed. Once the schedule is prepared and approved, the flow of records from an agency to the State Records Center becomes a matter of routine procedure.

2. Guidelines for Selecting Records

The guidelines which follow should be used in preparing records control schedules and in determining retention requirements for records. Normally, only scheduled records should be transferred to the Records Center. However, since state agencies are in the developmental stages of establishing a state records management program, this rule will not become effective until an adequate number of agencies have been acquainted with scheduling and disposition requirements and have begun developing schedules for records at their respective agencies.

As a general rule, noncurrent records should be transferred to the State Records Center just as soon as the reference activity drops to the level which qualifies them for "noncurrent" status, not more than one reference per file drawer per month. When this level has been reached, the Records Center staff can assume the reference work.

There will be special instances when records with a higher reference rate will be accepted by the Center for storage. Sometimes the transfer of "semi-active" records is economically worthwhile, particularly if the release of high priced office space and equipment results. Each proposed transfer is considered on its own merits.

There is also a general rule relating to the minimum time records should be stored. In most instances, it is not economical to transfer records if they are to be stored for less than two years before being destroyed. There may be exceptions to this rule, also, but each exception must be judged separately.

In the Jackson area the cost of transporting records to the Center is not a factor in determining the feasibility of storing records. The State Records Center provides pickup service at no cost to the agencies.

For offices beyond the limits of metropolitan Jackson, transportation of records to the State Records Center is an agency responsibility. For those offices, long-term storage is generally economically advantageous even when shipping costs are considered. However, agencies should evaluate carefully the economics of short-term storage where transportation costs are involved. It is possible that the cost of getting the records to the Center may offset any savings achieved by freeing space and equipment.

Small quantities of records (less than one cubic foot) should not be transferred to the Center. They should be retained by the agency until

at least one cubic foot accumulates or until the retention period expires and the records can be destroyed.

3. Reference Requests and Records Security

Noncurrent records should not be retained in agency offices or storage space because of concern about urgent handling of infrequent reference requests or the security of the records.

The Records Center is designed to provide rapid handling of either written or telephone requests (See Section V. "Obtaining Reference Service.") As for records security, the Center observes and enforces any security or use restrictions placed on the records by the transferring agency.

4. File Breaks

Files should be terminated or cut off periodically to facilitate their transfer to storage and ultimate disposal in uniform chronological blocks. This technique is called "breaking" files, and simply means that on a given date a new set of files is established for a subsequent period. Files can be "broken" annually, biennially, or for even longer periods, depending on the rate at which they accumulate. Different colored labels may be used on folder tabs for records which accumulate in large annual blocks to distinguish one time period from another.

5. Completed Case Files

Case files constitute approximately 80 percent of the records in government. Experience shows that closed case files are seldom referred to more often than the maximum rate established for reference service (once a month per file drawer). Case files are generally closed when a given event occurs, e.g., a claim is settled, a purchase order is paid, etc. Closed case files should be transferred to achieve optimum savings in

space and equipment.

6. Record Types

Although the storage facilities in the Center are geared primarily to conventional files or documents in standard records center storage cartons, the Center provides storage for other types of paper records, such as punch cards, ledgers, maps, engineering drawings, etc. Facilities are not presently available for storing microfilm or magnetic tapes.

7. Advice and Assistance on Transfers

Each agency has a Records Management Liaison Officer responsible for developing the agency's records management program. These officers, or staff members designated by them, provide internal agency guidance and direction on transfers.

Forms required to transmit records to the Center should be approved by the Liaison Officers. If any employee other than the Records Management Liaison Officer is designated for transfer approval purposes, the name and telephone number of the employee should be given to the Center.

Advice and assistance may also be obtained from the State Records Center.

III. GETTING RECORDS READY FOR SHIPMENT

I. Records Storage Cartons

Standard cardboard containers are to be used to transfer records to the State Records Center. The efficient use of storage space in the Center depends on optimum use of available shelf space. The standard records center carton is designed to achieve this. Unless an agency urgently requires immediate removal of its records, it should ship them in prescribed containers rather than in non-standard boxes. The records center carton has inside dimensions of 10 inches by 12 inches 15 inches and holds one cubic foot of either letter or legal size records. A carton is needed for each cubic foot of files being transferred. A good rule for estimating the total number of cubic feet being transferred is this: count each full letter size drawer as 1½ cubic feet of records; and count each full legal size drawer as 2 cubic feet of records.

2. Obtaining Cartons

Standard records center cartons may be obtained without cost to the agency from the State Records Center. Requests for cartons should be made in advance of a records transfer to insure they will be on hand when packing begins. The cartons will be shipped or delivered unassembled. To order cartons use Form SRC-103.

3. Assembling Cartons

The bottom of cartons should be secured by gummed tape at least two inches wide (available from the State Records Center). The tape should be placed lengthwise on the outside, after the flaps on both ends of the carton have been folded inside. The tape should extend at least two inches up the ends of the carton for extra strength.

4. Screening Record Material

Before putting records into cartons, it is advisable to screen-out any

records which have met retention period requirements and are ready for destruction. Generally, such screening will result in storage cost savings. However, the cost of screening should be computed to ascertain that it does not exceed projected savings. In the long run, the best approach is to segregate records with different retention periods at the time of filing so that screening is not necessary.

5. Packing Records

Without disturbing the existing filing arrangement, pack records firmly in the box. Do not, however, force them. To make future reference easier, they should not be packed so tight as to hinder withdrawal. Do not place folders on top of file folders within the box. Place the file folders in an upright position with letter size folders across the 12 inch way, facing the front of the container (where the label is placed) or with legal size folders across the 15 inch way, facing the left side of the container. Space should be allowed within the carton for subsequent inter-files if such additions are contemplated. Do not place records with different retention periods in the same carton. Neither should records from more than one agency be packed together.

6. Closing Cartons

To close the tops of the cartons, simply tuck the flaps alternatively over and under each other. If the records are highly confidential, you may tape the top of the container in a manner similar to the way the bottom was secured. When shipping commercially the tops must be securely taped.

7. Labeling Cartons

Container labels as shown in Figure 1, are required. Fill in as follows:

Agency - Enter the name of the agency. Also indicate the organizational element to which the records belong.

Acc. No - Leave blank. The space is used by the Records Center to indicate accession number, assigned at time of transfer.

Carton No. - Enter the number assigned to the carton by the transferring agency. (See 8 below)

Series - Enter the official records series title, as shown on the approved schedule, Form SRC - 101.

Incl. Dates - Enter the period of time (inclusive dates) covered by the records in the records series. Example July 1, 1963 - June 30, 1967.

From-To - Show the range of records in the carton, such as the beginning and ending case file numbers, or alphabetical designation for the first and last files.

Description - Enter here any additional information needed to identify the contents of the carton.

The label is to be affixed to the front of the carton (the 12 inch side which the letter size file folders are facing). Labels should be requested from the State Records Center when cartons are obtained.

8. Numbering Cartons

Cartons are to be numbered consecutively starting with "1", for each transfer. When the cartons reach the Records Center, the staff will assign an accession number to each transfer and a Records Center box number to each box in the transfer. This information will be entered on the copy of the records transmittal and receipt form (SRC-102) returned to the agency after records are received at the Records Center.

9. Finding Aids.

The records should be accompanied, where possible, by any relevant finding aids, such as indexes, which will assist the Records Center in performing reference service. However, if files are quite active, indexes may be retained by the agency. The Records Center should be notified of any finding aids retained by the agency.

AGENCY Commission of Budget and Accounting Purchase Division	ACC. NO. 75-001	CARTON NO. 9
SERIES 873's	INCL. DATES 1973-1974	FROM - TO ABC Division, State Tax Commission - Highway Safety Patrol
DESCRIPTION Request for Authority to Dispose of Personal Property (Form 873) Filed by Agency		

Destruction Date December, 1976

State of Mississippi
Department of
Archives & History
Division of Records
Management
Form SRC-105

Storage Carton Label

Figure 1. Carton Label

10. Packing Oddsized Records

Records smaller than conventional letter or legal size files should be placed in standard records center cartons, using the most practical packaging arrangement. Punch cards should be packed and transferred in the boxes in which the blank cards were received from the manufacturer.

Oversized records, such as bound ledgers and similar volumes, should be tied in bundles with sturdy cord. Identification tags should be attached. Each bundle should be handled as another box in the numbering sequence. The number should be written on the tag, along with any other necessary descriptive data. The regular carton label should be completed and affixed to the records center carton. Large drawings may be rolled in brown paper, taped and labeled.

Consult the State Records Center concerning packing arrangements and ask the Center for assistance on any problem relative to packaging oddsized records.

11. Filing Cabinets

Records should not be transferred to the Records Center in filing cabinets or other types of filing equipment. The Center is designed for maximum storage capacity by using cardboard containers on metal shelving. All records should be removed from file cabinets and boxed before leaving the agency.

12. Shipping the Records

Records in the Jackson area will be picked up by the Records Center truck. Agencies outside the Jackson metropolitan area must make their own arrangements for transportation and bear the cost of shipping. When the Center truck is not used, shipments are ordinarily made by U. S. Mail or by commercial motor or rail freight with costs borne by the transferring agency. The following

facts about estimating weight and volume of records should be helpful: one records center carton holds 1 cubic foot of paper records weighing about 30 pounds average, however, tabulating punch cards weigh in excess of 50 pounds per cubic foot; one ton of records averages 70 cubic feet; one cubic foot of records approximates 3,000 sheets of paper; one cubic foot of records approximates 10,000 tabulating punch cards; a letter size file drawer holds $1\frac{1}{2}$ cubic feet of records, while a legal size drawer holds 2 cubic feet.

When the records are picked up in the Jackson area, the Records Center will furnish hand trucks for loading the records at the agencies.

Shipments of records by commercial carriers should be loaded into the vehicle in numerical sequence so that when the shipment reaches the Records Center the first carton to be taken off will be the last number and the others will follow in reverse numerical sequence. By doing this, records can be moved more quickly to the shelves without unnecessary handling.

IV. DOCUMENTING THE TRANSFER

1. Initiating the Request

The agency making the transfer is responsible for alerting the State Records Center and for preparing the necessary transfer forms. All transfers should be initiated by the appropriate Records Management Liaison Officer or by staff members who have been designated for this purpose.

Since the Center must plan for the pickup (Jackson area) and storage of the records, as much advance notice as possible is needed. A telephone call or a letter indicating the proposed date of transfer and the approximate volume of records involved will suffice; however, agencies are encouraged to prepare and submit the official transfer forms (See Figures 2 and 3) well in advance of the shipment. Normally, the transfer forms are to be sent to the Center 24 to 48 hours in advance of the shipment pickup.

2. Forms Used

An agency desiring to transfer records to the State Records Center will prepare Form SRC-102, "Records Transmittal and Receipt." If additional space is needed, Form SRC-102A, "Records Transmittal and Receipt (Continuation)," is also used. These forms (Figures 2 and 3) serve to:

- Record the transfer of records to the Records Center, subject to any legal or other restrictions on their use which an agency may impose and,
- Provide an inventory sufficiently detailed to aid the Center in providing future reference service required by the transmitting agency.

Copies of Forms SRC-102 and SRC-102A may be obtained from the State Records Center.

3. Forms Distribution

Prepare an original and two copies of the transfer form(s) for each shipment of records. Submit the form(s) to the Records Center at least 24

State of Mississippi
State Records Center

Form SRC-102

**RECORDS
TRANSMITTAL AND RECEIPT**

Page 1
of 2 Pages

Send original and two copies to: DEPARTMENT OF ARCHIVES AND HISTORY DIVISION OF RECORDS MANAGEMENT 929 HIGH STREET JACKSON, MISSISSIPPI 39202	Items 1-4 to be completed by Records Center		
	1. Accession No. 75-001	2. RG No./Schedule No. 34/	3. Date Rec'd. 10-7-75
	4. Received by (signature)		
	5. From (name and address of transmitting agency) Commission of Budget and Accounting, Purchase Div 301 Sillers Building		
	6. Agency Contact Sandra Bennett	7. Location 301 Sillers Building	8. Phone 354-6079
9. Approving Official (signature)	10. Title Assistant Supervisor	11. Date 10-6-75	
12. Restrictions on use of records, if any, other special handling and/or need to witness destruction of records		13. Total No. of cubic feet 16	
14. List of records series transferred (item 14a to be completed by Records Center)			

a. SRC Box No.	b. Agency Box No.	c. Description of Records Series (with inclusive dates)	d. Destruction Action and Date
		Request for Authority to Purchase (Form P-1)	Sell as waste-paper.
00001	1	Nos. 22945-23603 (Sept., 1973-Nov., 1973)	Dec., 1975
00002	2	Nos. 23631-24416 (Nov., 1973-Dec., 1973)	Dec., 1975
00003	3	Nos. 24443-25009 (Jan., 1974-Feb., 1974)	Dec., 1976
00004	4	Nos. 25092-25764 (Feb., 1974-Mar., 1974)	Dec., 1976
00005	5	Nos. 25765-26456 (Mar., 1974-Apr., 1974)	Dec., 1976
00006	6	Nos. 26457-27163 (Apr., 1974-May, 1974)	Dec., 1976
00007	7	Nos. 27164-27486 (May, 1974-May, 1974)	Dec., 1976
00008	8	Nos. 27489-28001 (May, 1974-June, 1974)	Dec., 1976
		Request for Authority to Dispose of Personal Property (Form 873)	Sell as waste-paper.
00009	9	1973-1974: ABC Division, State Tax Commission - Highway Safety Patrol (filed by agencies)	Dec., 1976
00010	10	1973-1974: Commission on Hospitals - MS State Sanatorium)	Dec., 1976
00011	11	1974-1975: University Medical Center - MS Fair Commission	Dec., 1977
00012	12	1974-1975: Aeronautics Commission - State Treasurer	Dec., 1977

Figure 2. Records Transmittal and Receipt

State of Mississippi
State Records Center

**RECORDS
TRANSMITTAL AND RECEIPT**
(Continued)

From (Agency)
Commission of Budget and
Accounting
Purchase Division

Page 2 of 2
Pages

Date 10-6-75

14. List of records series transferred (item 14a to be completed by Records Center)

a. SRC Box No.	b. Agency Box No.	c. Description of Records Series (with inclusive dates)	d. Destruction Action and Date
00013	13	Request for Authority to Dispose of Personal Property (Form 873) 1973-1974: Secretary of State - Workmen's Compensation Commission Returns (filed by agencies)	Sell as wastepaper. Dec., 1976
00014	14	1972-1973	Dec., 1975
00015	15	1973-1974	Dec., 1976
00016	16	1974-1975	Dec., 1977

Figure 3. Records Transmittal and Receipt (Continued)

hours in advance of shipment. When the records have been received and checked in by the Center, one copy of the form(s) signed by an official of the Records Center will be returned to the transferring agency. This copy, the agency's receipt, provides the agency with the accession number and the records center box numbers which must be cited when making future reference of the records.

4. Preparation in Agency

Items 1-4. Accession Number, Record Group Number/Schedule Number, Date Received, and Received by.

The accession (a unique number identifying this transfer), the record group number (which distinguishes the records of one agency from all others) and the schedule number (which indicates the authorization for this transfer), as well as the date of receipt and the signature of the Records Center official receiving the shipment are filled in at the State Records Center.

Item 5. From.

Enter the complete name of the agency, as well as the full mailing address. If entering the subdivision or office would clarify the transmittal, list the information here.

Items 6-8. Agency Contact, Location, Phone Number.

Enter the name of the person immediately responsible for the transfer of records. This is the person the Center will contact to make arrangements for the pickup. Show also the building and room number for the agency contact, as well as his/her telephone number.

Items 9-11. Approving Official, Title, Date.

The approving official signs here. This will be the Records Management Liaison Officer or a designated staff member. Show his/her title and the date the transmittal form is signed.

Item 12. Restrictions on use of records, if any, other special handling and/or need to witness destruction of records.

Particular attention should be given to this item. The specific restrictions which an agency imposes on records which have been transferred should rest on either legal considerations or considerations of the public interest. If the records are restricted to official use by the transferring agency only, this item should so indicate. All restrictions dealing with access to the records will be rigidly enforced. Special handling refers to the physical sealing of records and the method of disposal. Normal disposal methods include the sale of obsolete records to a paper recycling establishment or the burying of destructable records in a municipal landfill. If this particular records series needs to be shredded, the Records Center can provide this service, but an indication of this special requirement should be included in Item 12. Particularly confidential or highrisk records may need to be shredded in the presence of a witness from the transferring agency. Such a requirement as well as other extraordinary handling procedures, should be noted in this item.

Item 13. Cubic Feet Transferred.

Enter the total number of cubic feet being transferred; use the equivalent given below:

Letter size drawer or box	1.5 cu. ft.
Legal size drawer or box	2.0 cu. ft.
Letter-36" long shelf	2.0 cu. ft.
Legal-36" long shelf	2.5 cu. ft.
3"x5" Card, ten 12" rows	1.0 cu. ft.
3"x5" Card, five 24" rows	1.0 cu. ft.
4"x6" Card, six 12" rows	1.0 cu. ft.
4"x6" Card, three 24" rows	1.0 cu. ft.
5"x8" Card, four 12" rows	1.0 cu. ft.
Tab Card, five 14" boxes	1.0 cu. ft.
Tab Card, three 24" boxes	1.0 cu. ft.

Each records center box holds one cubic foot of records when full.

Item 14. List of records series transferred.

This item has four columns:

Column a - SRC Box No. This column is reserved for State Records Center use. The information will be filled in when the boxes are received at the Records Center. The copy of Form SRC-102 returned to the agency will show the SRC box numbers. These box numbers and the accession number entered in Item 1 are to be used by the agency when requesting future reference service.

Column b - Agency Box No. As indicated before, boxes should be numbered consecutively to maintain the original file arrangement of the records. Enter these box numbers as shown in Figures 2 and 3. If a series description applies to the records in a number of boxes and there is no further box-by-box breakdown, inclusive box numbers should be entered. For example, "25-43." In such instances where the contents of each box are not indicated on the transfer form, reference service will be facilitated if the transferring agency will enter in the "description" block of the carton label a brief description of the contents of the carton. It is essential that the box numbers shown on the transfer forms correspond exactly with the numbers entered on the carton labels.

Column c - Description of Records Series. The description of records transferred should be specific enough to identify them clearly and to enable the Records Center to provide prompt and efficient reference service. Identify each series of records being transferred by the same records series title as shown on the "Records Control Schedule," Form SRC-101. Following the records series title provide a brief statement concerning the file organization and arrangement. Also, show the inclusive dates of the records being transferred. All of this descriptive information can be found on the approved Records Control Schedule.

Each records series needs to be listed only once. If a series fills several cartons, a breakdown of the chronological, numerical, or alphabetical

coverage of each carton should be given to facilitate reference service. In such breakdowns the file designations (filing symbols, name, or date) of the first and last folders of the documents within each carton are usually sufficient.

A folder by folder or file by file coverage of each box is seldom necessary and should not be made unless it would facilitate reference. Any evident gaps in the records series should be clearly indicated.

When the records being transferred are other than conventional paper files, the type of recording medium should be indicated.

Column d - Destruction Action and Date. According to the instructions on the approved Records Control Schedules, enter the means of destruction (sale of wastepaper, burying in landfill, shredding, etc.) and the specific date of final disposal (month and year).

V. OBTAINING REFERENCE SERVICE

1. Service Available

Upon request, the State Records Center will provide information from records, reproduction of records (including authenticated copies), or the loan or return of records themselves. No reference inquiry will be processed, however, if it is in conflict with restrictions established on the use of the records by the transferring agency or by law.

2. Obtaining Service

Agencies may obtain prompt and reliable reference service on records transferred to the Records Center by submitting Form SRC-103, "Request for SRC Service" (See Figure 4), to the State Records Center. Only urgent or priority requests should be made by a personal visit or by telephone. Inquiries will be answered as quickly as possible; usually within 24 hours after receipt. Form SRC-103 is a multi-purpose form and may be used to request other services of the State Records Center such as delivery of empty records center cartons, the pickup of boxes of records for transfer, etc.

3. Delivery Service

For agencies located in the Jackson area, the Center provides free delivery service. Center delivery personnel will also pick up any mail destined for the Center.

When records or information are to be transmitted to agencies beyond the Jackson area, the requesting agency should make arrangements with the Center for desired method of delivery. Normally, it is more economical for the Center to send small quantities of records by U.S. Mail to out-of-town customers. This is especially true when time is not essential and when special precautions are not needed.

SRC-103
Send original and two copies to:
Department of Archives and History
Division of Records Management
929 High Street
Jackson, MS 39202
Phone 354-7688

SRC CONTROL

Request for SRC Service

1. Agency Name <u>Commission of Budget & Accounting Purchase Division</u>	4. Agency Contact <u>Sandra Bennett</u>
2. Agency Location <u>301 Sillers Building</u>	5. Telephone Number <u>354-6079</u>
3. Signature of Authorized Requester	6. Date Completed <u>10-17-76</u>
	7. Remarks

8. TYPE OF SERVICE REQUESTED

Boxes Delivered SRC I <input type="checkbox"/>	Boxes Picked Up SRC II <input type="checkbox"/>	Records Requested SRC III <input checked="" type="checkbox"/>	Records Delivered SRC IV <input type="checkbox"/>
Film Delivered SRC V <input type="checkbox"/>	Films Picked Up SRC VI <input type="checkbox"/>	Tape Picked Up SRC VII <input type="checkbox"/>	Tape Delivered SRC VIII <input type="checkbox"/>

9. REFERENCE REQUEST

a. Temporary Loan b. Copy of Records c. Information from Records d. Permanent Withdrawal

a. Item No.	b. Description	c. Accession No.	d. SRC Box No.	e. SRC CODE
1	873 (1974-1975) Council on Aging	75001	00012	
2	873 (1974-1975) Board of Animal Health	75001	00012	
3	873 (1973-1974) State Tax Commission	75001	00013	
4	873 (1973-1974) Department of Public Welfare	75001	00013	

10. Receipt for records service
Signature _____
Date _____

WHITE COPY — ORIGINAL

YELLOW COPY — AGENCY

PINK COPY — SRC

Figure 4. Request for SRC Service

4. Channeling Requests

It is desirable for an agency to have all requests for reference service channeled through a specific individual (or individuals). The Records Management Liaison Officer or a designated staff member should provide necessary clearance. If an employee other than the Records Management Liaison Officer is designated for clearance purposes, the name and telephone number of the employee should be given to the Center.

5. Access to the Center

Messengers sent to the Center to pick up the requested records (or information), or agency officials who make personal visits to the Center for reference service, must always provide:

- Identification as an agency representative, and
- Agency authorization to refer to the records if their use is restricted.

6. Information vs. Records

As indicated above, an agency may request the return of a record or information from the record. Usually the request for information involves less expense and effort on the part of the Center and the requesting agency. When requesting information, the agency should clearly define what information is needed and where this information may be found in the records.

When requesting information it should be remembered that the State Records Center can only report on the facts that appear in the records and cannot interpret these facts. If an interpretation is needed, the agency requiring it should either ask for the return of the record or should arrange to consult the record at the Records Center.

7. Reproductions

Reproductions of records can be furnished by the Center, if such reproduction is not contrary to agency or statutory restrictions. Reproductions

in limited quantities will be made at no cost to the agency. However, charges will be made for reproductions involving excessive expenditure of Center resources or unusual technical problems. A request involving more than 10 pages of reproduction may be considered excessive, particularly if the agency concerned has its own reproduction facilities.

8. Telephone Requests

When requesting urgent reference service by telephone, the agency must provide the same type of information as though the request were being submitted on Form SRC-103. The accession number and the SRC box number are particularly important, as well as any other information which will help the Center employee receiving the telephone call prepare the necessary reference request.

9. Records Research

The State Records Center is not staffed to handle research projects in agency records. However, work space will be provided for agency personnel performing research, and the Center staff will assist in obtaining the needed records.

VI. DOCUMENTING REFERENCE REQUESTS

1. Forms Used

Form SRC-103, "Request for SRC Service," is to be used when requesting records or information from records stored in the State Records Center. This form, when properly filled out, provides the essential information needed by Center personnel to locate the desired records stored in the Center. (See Figure 4.)

The service request form provides space for requesting up to 11 records or information items. The form is designed so that items requested do not have the same accession number.

Copies of Form SRC-103 may be obtained from the State Records Center.

2. Forms Distribution

Prepare an original and two copies of each form submitted. One copy will be retained by the Records Center, the other two will be returned to the agency with the records or information requested. When records are loaned or withdrawn from storage, one of the copies returned to the agency (the pink copy) is to be signed, to indicate receipt, and sent to the Records Center as official record of the loan or withdrawal.

3. Explanation of Items

Item 1. Agency Name. Indicate the name of the agency or office making the request. Include the division or branch if this would better identify the requester.

Item 2. Agency Location. Show here the agency street address if the records or other items are to be delivered to the agency by the Records Center. Indicate the mailing address if the records or information are to be mailed to the agency.

Item 3. Signature of Authorized Requester. The Records Management Liaison Officer or another designated staff member should sign here to indicate agency clearance for the request.

Item 4. Agency Contact. Give the name of the requesting agency staff member whom the Records Center should contact if there are questions concerning the reference request.

Item 5. Telephone Number. Indicate the telephone number of the agency contact.

Item 6. Date Completed. Show here the date the request was prepared and sent to the State Records Center.

Item 7. Remarks. In this space give any special remarks or clarification which will help the Records Center service the request.

Item 8. Type of Service Requested. Check the type(s) of service requested.

Item 9. Reference Request. Check the type of reference service requested and identify the records or information items requested by filling in the five columns:

Column a - Item No. Indicate the number of each records or information item requested, beginning with "1".

Column b - Description. Identify clearly the records wanted or the information desired. Remember that the only information that the Records Center has to use in processing this request is that provided in this column.

Column c - Accession No. Enter the accession number for this record or information item. This is the same number as shown in Item 1 of the Form SRC-102 covering the transmittal of records to the Center.

Column d - SRC Box No. Show the appropriate box number as entered in Item 14a of the transmittal, Form SRC-102.

Column e - SRC Code. This column is reserved for use by the State Records Center.

Item 10. Receipt for Records Service. When the reference or other service is received by the agency, the agency official receiving the service should sign here and date the receipt. The signed copy (pink copy) is returned to the State Records Center. The yellow copy is kept by the requesting agency.

**RECORDS DESTRUCTION
CERTIFICATE**

Form SRC-104

<p>1. Agency Commission of Budget and Accounting</p>	<p>2. Division Purchase Division</p>
<p>3. Address 301 Sillers Building</p>	<p>4. Contact (name and telephone number) Sandra Bennett</p>
<p>Send original and two copies to:</p> <p>DEPARTMENT OF ARCHIVES AND HISTORY DIVISION OF RECORDS MANAGEMENT 929 HIGH STREET JACKSON, MISSISSIPPI 39202</p>	<p>5. Notice of Intention: The scheduled records listed in Item 7 are to be disposed of in the manner checked below:</p> <p><input checked="" type="checkbox"/> a. Destruction <input type="checkbox"/> c. Other _____</p> <p><input type="checkbox"/> b. Microfilm and Destruction _____</p>
<p>6. Agency Disposal Authorization Disposal of the records listed below is authorized by the agency of title.</p> <p style="text-align: right;">_____ Agency Representative and Title Date</p>	

7. Records Series Data					
a. Schedule No.	b. Date Scheduled for Destruction	c. Description of Records Series	d. Inclusive Dates	e. Volume	f. Destruction Action and Date
		Request for Authority to Dispose of Personal Property			
	Dec., 1977	873's: University Medical Center - MS Fair Commission (SRC Box No. 00011)	1974-1975	1	Sell as wastepaper
	Dec., 1977	873's: Aeronautics Commission - State Treasurer (SRC Box No. 00012)	1974-1975	1	Sell as wastepaper
	Dec., 1977	Returns (filed by agencies) (SRC Box No. 00016)	1974-1975	1	Sell as wastepaper

<p>8. Archives Disposal Authorization Disposal for the above listed records is authorized by the Department of Archives and History. Any deletions or modifications are indicated in red.</p> <p style="text-align: right;">_____ Director, MDAH Date</p>	<p>9. Disposal Certificate The above listed records have been disposed of in the manner and on the date shown in Column F.</p> <p style="text-align: right;">_____ Signature and Title Date Witness</p>
--	---

Figure 5. Records Destruction Certificate

VII. DISPOSAL OF RECORDS IN THE CENTER

1. Storage vs. Disposal

The transfer of records to inexpensive storage at the State Records Center is not a substitute for disposal. Rather it goes hand in hand with disposal. All records transferred to the Center should be scheduled and have a definite disposal date. Records to be retained less than two years should not be sent to the Center but should be retained by the agency and destroyed from agency space.

2. Disposal Objectives

Most records transferred to the State Records Center have a predetermined destruction date. Some, however, are to be retained because they have permanent or archival values. Disposition activities at the Center have three major objectives:

- To assist the State Archives in identifying the records of State Government agencies which have enduring value,
- To assist State agencies in establishing realistic retention periods for records that do not have enduring value,
- To remove promptly from the Center all records which have reached their disposal date.

3. Agency Concurrence in Disposal

Records of an agency will not be destroyed by the Center without the concurrence of the agency concerned.

4. Concurrence Procedure

Before destroying any records, the Center will prepare and send to the agency a completed Form SRC-104, "Records Destruction Certificate" (See Figure 5). This will be done just before the records concerned are eligible for scheduled destruction.

If the agency agrees that the records should be destroyed as scheduled, the agency will sign all copies of Form SRC-104 in Item 6 and return them to

the Center for processing.

Agencies should approve the Records Destruction Certificate unless there is an imperative reason for keeping the records beyond the scheduled destruction date. Since the maintenance of noncurrent records is costly (even in Center-type space), and since the value of records beyond the scheduled retention period is generally limited, agencies should not keep records beyond the disposal date unless there is a justifiable need for their further retention.

When an agency approves the Form SRC-104, the form will be processed as though it had been initiated by the agency. When the disposal is approved by the Director of the Department of Archives and History, the Center will dispose of the records, execute the Records Destruction Certificate in Item 9, and return a signed copy of the form to the agency for its records.

5. Method of Disposal

Unless an agency specifies that records are to be shredded at time of disposal, the Center will either sell the obsolete records as wastepaper or have them buried in a sanitary landfill.

Upon agency request, records of a confidential or classified nature will be shredded prior to disposal as wastepaper or burial in the sanitary landfill. The agency may supply a witness for the disposal if this is necessary due to the nature of the records.

CHECKLIST

Read each question below and check your answer, "YES" or "NO."
A checkmark in the "NO" column indicates the need for corrective action.

- | | YES | NO |
|---|--------------------------|--------------------------|
| 1. Has your agency designated a Records Management Liaison Officer in accordance with records management regulations adopted by the Department of Archives and History and published according to the provisions of the Administrative Procedures Act, Section 25-43-1 et seq., Mississippi Code of 1972? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Are all records of your agency covered by records control schedules? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Do the records control schedules of your agency indicate what records should be transferred to the State Records Center, and when? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Are "desk drawer files" or "personal files" scrutinized for record material to be incorporated in official files before the files are transferred to the State Records Center? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Does your agency utilize the knowledge and expertise of staff members of the State Records Center in making transfers of records to the Center? | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Does your agency include finding aids in transfers of records? | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Does your agency transfer to the Center those noncurrent records which must be retained for two or more years? | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Does your agency screen records before packing them for shipment? | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. When your agency requests reference service, does it cite the State Records Center accession number and box number? | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. Are telephone and "in-person" requests for reference service made only when urgent? | <input type="checkbox"/> | <input type="checkbox"/> |

11

RECORDS SCHEDULING AND DISPOSITION

Records Management Handbook #2

State of Mississippi
Department of Archives and History
Division of Records Management

RECORDS SCHEDULING AND DISPOSITION

Records Management Handbook #2

State of Mississippi
Department of Archives and History
Division of Records Management

FOREWORD

The systematic disposition of records is an established part of records management and a key to a successful state records management program. This second records management handbook issued by the Department of Archives and History's Division of Records Management discusses the nature of an effective records disposition program. It tells how to set up the program and how to operate it. It discusses how a program can be kept current in the face of constantly evolving agency programs and records systems and the ever increasing volume of records created by state agencies.

We urge all agencies, board, commissions, and state officials, both elected and appointed, to follow the procedures outlined in this handbook. The information contained herein should enable all agencies and offices to begin thinking realistically about how they will implement an efficient and cost-effective records disposition program. We invite agencies which need assistance to contact our Division of Records Management at the State Records Center, 929 High Street, Jackson, MS 39202, phone 354-7688. Our staff will be happy to help any agency with their current records problems and to assist them in identifying archival records.

From time to time the Division of Records Management conducts workshops on records disposition. Other subjects will be covered at future workshops. Announcements will be sent out prior to each session. Individuals with questions about these programs should call the State Records Center.

Elbert R. Hilliard
Director
Department of Archives and History

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I. THE RECORDS DISPOSITION PROGRAM

Managing the disposition of State records is an important responsibility of each State agency. Records are one of the basic administrative tools by which the work of the Government is accomplished. Every action, decision, and policy result in some kind of documentation in the form of records.

WHAT ARE RECORDS?

As defined in the Mississippi Archives and Records Management Act of 1981 public records are:

. . .all documents, papers, letters, maps, books, tapes, photographs, films, sound recordings or other materials regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any agency or by any appointed or elected official. . .

This broad definition shows that records are made or received either in pursuance of State law or in connection with the transaction of public business.

Records belong to the Government rather than to individuals. They are in no sense personal property. Records can be legally destroyed only through the procedures of a disposition program.

PHYSICAL CHARACTERISTICS OF RECORDS

In the definition of records cited above, the phrase "regardless of physical form or characteristics" means that records are not comprised only of paper materials.

Records consist of many other materials, such as machine-readable output, still pictures, motion pictures, sound recordings, charts, plots, plans, maps, architectural drawings, and video recordings - all of which can fall within the meaning of records as defined by law. A records disposition program should cover all of them.

MACHINE-READABLE RECORDS

Special attention must be given to machine-readable records. They may comprise magnetic tapes as well as videofiles, disks, drums, and microfiche. Machine-readable records are produced by devices that change frequently because of rapidly expanding technologies.

Unquestionably, those media are slowly replacing paper records. While they probably will never completely replace paper records, their increased use makes it imperative that records disposition programs address this type of media.

however, generally are not all records. One copy of a document, for example, may be designated as the record copy. A single set of publications may be called the record copy, as distinguished from stray copies elsewhere or stock copies of the same publications.

When it is difficult to decide whether files are record or non-record materials, the records officer should treat them as records. Although such decisions are an agency prerogative, the informal opinion of staff from the Department of Archives and History may be obtained.

Only records officers should determine the record or nonrecord status of files. No other individuals should be given the authority to do so. Such authority weakens the disposition program by indiscriminate use of the nonrecord label and can result in the loss of valuable records.

Nonrecord materials are disposable by agency authority alone.

A Government official may accumulate for reference extra copies of papers and other materials that he has drafted, reviewed, or otherwise acted upon. When deposited in a research institution, extra copies can serve the needs of historical scholarship. Government officials may be permitted to retain these extra copies, provided that such retention would not (1) diminish the official records of the agency; (2) violate confidentiality required by law; or (3) exceed normal administrative economics.

IMPORTANCE OF THE RECORDS DISPOSITION PROGRAM

Records are the memory of every State agency. In addition to providing the channels through which the business of the Government is transacted, they may

- Contain evidence of financial and legal commitments that must be preserved to protect the Government.
- Contain information necessary to protect the civil, legal, and property rights of private citizens.
- Provide the basis for continuity of policies, actions, and the organizational and procedural patterns for sound administration.
- Contain a wealth of data and source materials basic to scholarly and technical research in almost every conceivable field.

Effective records disposition requires a system that will control the life span of records. Installation and operation of such a system is vital to the economical management of an agency. Without it the agency soon would be cluttered with records, at great cost in space and filing equipment. This congestion of records would interfere with efficient administration.

Managing the disposition of records is difficult because records are voluminous and they accumulate rapidly. In fact, they increase more rapidly than they can be legally destroyed. This results in a gradual but steady growth in total records holdings.

The central aim of an agency disposition program is to narrow the gap between creation and disposal. It is an uphill job because of (1) the general size and complexity of State government programs, (2) the application of machine-readable systems to records-creating processes, and (3) the widespread and often uncontrolled use of copy machines.

THE PROGRAM DIRECTIVE AND ITS CONTENT

Issuance of an agency directive is the first step in establishing a disposition program. Such a document, properly worded and distributed to agency personnel, makes the program official. It signifies that the orderly retirement and disposition of records is an agency concern. Without the directives no real program can be initiated and no effective steps can be taken to examine and solve records disposition problems.

The directive should relate solely to the records disposition program. It is needed even if another agency directive exists authorizing a total records management program.

MANAGERIAL SUPPORT

Success in the program depends on the support it receives from top management. If a directive has already been issued concerning a broad records management program, some support for records disposition probably exists. If there is no such directive, it is essential that the agency head or his/her aides and other high officials be informed of the statutory requirements for a records disposition program. To assure compliance, a records disposition directive should be signed at the highest possible level.

ORGANIZATIONAL POSITION

The organizational placement of the program will influence its effectiveness. Position should be determined by two factors:

- Its close relationship to other records management programs.
- Its recognition as a true management function instead of a housekeeping operation.

PROGRAM RESPONSIBILITY

Responsibility for the program should be vested in the records management liaison officer. The directive should permit delegation of authority so that all parts of an agency can be involved in the program.

STATEMENT OF OBJECTIVES

The most important part of the directive is a statement of the following program aims and duties:

- To secure necessary approvals for the destruction of records.
- To act as liaison with the State Records Center for program direction.
- To insure timely removal from office space and equipment of noncurrent records.
- To encourage use of the State Records Center as storage facility for records with reduced reference activity.
- To insure that records of archival value are identified properly for eventual transfer to the Mississippi State Archives.
- To provide adequate staff to carry out program responsibilities.
- To provide adequate training for program staff.

The following actions are required to construct a schedule:

- a. Inventory of each type of file material. This provides information on the volume and location of current and noncurrent records and the character and use of the records at all organizational levels.
- b. Analysis of the values in each type of record.
- c. Identification of permanent records.
- d. Identification of temporary records.
- e. Assembly of the draft schedule.
- f. Approval by the necessary clearances - internal agency approval, approval by the Department of Archives and History, and final authorization by the State Records Committee.
- g. Issuance of the completed and authorized schedule as a mandatory agency directive.

- *TRANSFERS OF RECORDS TO THE STATE RECORDS CENTER.* The State Records Center, operated by the Department of Archives and History, receives records that must be held for varying periods beyond their day-to-day usefulness in the office.
- *USE OF AGENCY HOLDING AREAS.* Many agencies maintain record holding areas in their own space for types of records whose retention periods are not long enough to warrant transfer to the State Records Center but whose immediate usefulness to the creating office is over. Agency holding areas should never be used for permanent records which should have been transferred to the Mississippi State Archives.
- *THE FILE BREAK.* Records custodians in the office are encouraged to create file breaks, or cutoffs, at regular periods for records that accumulate voluminously. Such actions can simplify the application of retention periods.
- *PROGRAM EVALUATION.* Periodic examinations should be made of the effectiveness and economy of the agency disposition program and should be followed by corrective actions to improve performance.

II. RECORDS INVENTORY

LINK BETWEEN INVENTORY AND SCHEDULE

The schedule is the key to a records disposition program. A records inventory, in turn, is the heart of the schedule. An inventory that is haphazard or incomplete makes the schedule ineffective.

Creation of a schedule requires finding out what records exist, appraising the records to determine their retention periods, securing necessary clearance and approval for disposition of the record, and issuing the schedule for mandatory use.

Regardless of agency size, the inventory and the schedule have the following overriding qualities:

- They must cover all records.
- They must cover the entire agency or organization.
- They must be clear with respect to both records descriptions and disposition instructions.

Nonrecord materials must be

- Covered in the inventory.
- Located, described, and evaluated in the same manner as record materials.
- Assigned retention periods.

Simply defined, the records inventory is a list of each type of records or series, together with an indication of where it is located and other pertinent data.

The inventory is not

- A document by document listing.
- A folder by folder listing.

Before the inventory begins, agency structure, the levels of authority, and program responsibilities need to be understood. They can serve as clues to the existence and location of records within the agency.

The following matters should be considered:

- Which are the key line and staff offices?
- What programs does the agency have?
- What units are responsible for developing policies?
- What units are charged with carrying out policies?
- What is the nature of staff support activities?
Legal? Fiscal and budgetary? Inspection? General management? Administrative services?

Equally important is a prior knowledge of the agency filing system. The following questions need to be answered:

- Is there a prescribed agency wide filing system?
If so, how widely is it used?
- Is there a prescribed file classification system?
If so, what is its nature? Numeric, subject numeric, or other system?
- Is there a central file? Does it operate as planned?
At what levels?
- Where is essential documentation likely to be?

6. *Location of the Series.* The location(s) of the series should be precisely stated. (Example: Room 223, Building B, Annex 1.)
7. *Contact Name and Telephone No.* The contact for this records series is the person responsible for or most knowledgeable about the function and use of the records series.
8. *Description of the Series.* A clear description of the series is basic to the success of the inventory and the schedule. It is necessary for the later appraisal of the records by the agency and by the Department of Archives and History. Examples of language which may be used to describe the records series being inventoried are:
 - "Correspondence file pertaining to agency inspections, including reports, questionnaires, and related papers."
 - "Subject files relating to the operation and administration of the office, containing copies of requisitions, space reports, and personnel data."
 - "Photographic file, comprising still pictures and motion picture film negatives."
 - "Housing tapes, containing raw demographic data."
 - "Requests from the public for forms and publications."
 - "Record set of directives and manuals."
 - "Work plans and quarterly reports received from state offices, summarizing activities and accomplishments under all Division programs."
 - "Copies of correspondence on Division matters prepared for the Director's signature, and related papers."

Each series description must contain a sufficient profile of the records to show function, purpose, use, and content. Terms that add nothing to the description should be avoided. Examples are "miscellaneous" or "various." Neither term describes or clarifies.
9. *Record Series Type.* Files fall into five basic types: subject, case, working papers, reference, or index. Check the appropriate file type which describes this series.
10. *Cut-Off of Record Series.* Files which are broken or cut-off are easier to dispose of when they become noncurrent. Check the type of file break maintained for this records series under the item entitled cut-off.
11. *How Filed.* Records are usually in file folders, but they may be loose, or bound. Under this item check the response which best describes how the records series is filed.
12. *Authorization for Series.* Check the authorized reason for the creation of the series. Include the citation for the statute or regulation.

For inventories, the contents of file containers must be converted to cubic feet. Following is a conversion table:

- a. One letter-size file drawer holds $1\frac{1}{2}$ cubic feet of records.
- b. One legal-size file drawer holds 2 cubic feet of records.
- c. Ten thousand tabulating punch cards equal 1 cubic foot.
- d. Seven reels of standard digital computer tape (2400 long, $\frac{1}{2}$ inch wide) are to be computed as the equivalent of 1 cubic foot.
- e. One standard records center carton holds 1 cubic foot.
- f. Fifty 100-foot 35mm microfilm reels can be stored in one standard records center carton.
- g. One hundred 100-foot 16mm microfilm reels can be stored in one standard records center carton.

Although volume data are important, the figure for each series need not be measured with extreme accuracy. If the total agency-wide volume figure is low or high by a small margin, there is no problem. Fractional series volume figures, such as $\frac{1}{2}$ inch or $\frac{7}{16}$ inches, are unnecessary. The better practice is to drop all measurements of less than one-half of a cubic foot.

Precise accuracy is not needed in gauging the volume of any series that is obviously large. In those cases, sampling should determine whether or not, on the average, the file drawers are relatively full. Then the total number of file drawers can be multiplied by the pertinent conversion ratio to obtain the cubic feet figure.

The volume of series not housed in filing equipment can be judged by estimating the number of file drawers the records would occupy if in fact they were so contained. The conversion ratio can then be applied. That procedure will need to be used if records are found in basements, attics, lofts, hallways, or other such areas.

The inventory worksheet asks for holdings for the current year, one to three years prior, and all years preceding this period. There is room on the form for two storage areas. If there are more storage areas for a given records series the information should be included on the back of the form. Breaking down the holdings in this manner gives a good idea of the rate of annual accumulation, a factor which is important in the disposition decisions for the series when the records control schedule is written.

24. *Reference Rate.* Data on the nature and frequency of use of each records series, however inexact, is important. It will be a major appraisal factor in determining whether or not voluminous records, normally transferred to the State Records Center, are too active and must be held in agency space. It will influence changes in filing practices if only one segment of a series is active. It will even reveal some important information on whether some searches are unnecessary. In short, usage data are central to the series profile.

are available from the State Records Center, 929 High Street, Jackson, MS 39202, Telephone 354-7688.

VERIFYING THE INVENTORY

When the inventory is completed, a review should verify its quality. This can be done by answering the following questions:

- Have all organizational elements been visited, including top executive levels?
- Have nonrecord materials in or out of filing equipment been included?
- Have all records been included, regardless of their physical form?
- Has a series inventory worksheet been filled out for each record and nonrecord series?
- Have all series not in filing equipment been located and covered?
- Have reference usage data been noted?
- Are series descriptions concise and informative?

BENEFITS FOR OTHER RECORDS MANAGEMENT PROGRAMS

The inventory can provide additional records management information to the agency. It can uncover problems or suggest avenues for investigation. Following are some examples:

- Poor use of filing equipment.
- Unnecessary duplication of documents.
- Poor records security practices.
- Insufficient identification of vital records.
- Inadequate documentation of official actions.

III. RECORDS VALUES AND THE APPRAISAL PROCESS

APPRAISAL OBJECTIVES

After the inventory has been completed, the value of each series for the agency must be determined. This process is called appraisal. Appraisal places all series into one of the following categories:

- Records of permanent value to be preserved by the Department of Archives and History.
- Records that are temporary and therefore disposable, immediately or later.

The records management liaison officer or other agency disposition specialists play an important role in the appraisal process. Although the State Records Committee has final responsibility for appraisal judgements, agency specialists should be familiar with appraisal objectives and standards. Agency specialists use those standards in drafting records control schedules.

The determination of records values is basic to records disposition and archival management. Techniques cannot be devised that will reduce to a mechanical operation the work of deciding on values. Success depends on

- Understanding how agency activities are documented.
- Appreciating the function of archives and the importance of preserving evidence of the past.

Above all, appraisers must realize that some record values go beyond the immediate interests of the agency. Agency needs are important. Equally important are the data available in records long after they have ceased to have any value to the agency.

INVENTORY ANALYSIS

As a first step in the appraisal process, series inventory forms should be examined to get a broad view of how well agency functions are documented. The appraiser should always be aware of three characteristics of state records common to all agencies:

- The ratio between the volume of program records and non-program, or housekeeping records. (Generally, 65% program and 35% non-program).
- The ratio between expected volumes of permanent and temporary records. (Generally, 95% temporary and 5% permanent).
- The ratio of transaction files to all other records (Generally, 65% transaction and 35% other).

The appraiser must ask:

- Which records seem to reflect policymaking?
- Are there summary records? Where?
- Does the inventory distinguish between records produced by
 - a. Housekeeping, or routine administrative, activities?
 - b. Program, or important agency, activities?

Most housekeeping documents have short-term administrative value because they document routine transactions quickly completed. They may consist of requisitions, purchase orders, stock control records, personnel records, and the like.

LEGAL VALUE

Records have this value if they contain evidence of legally enforceable rights or obligations of State Government. Among records having legal values are

- Legal decisions and opinions.
- Documents involving legal agreements, such as leases, titles, and contracts.
- Evidence of actions in particular cases, such as claims papers and legal dockets.

The duration of legal values varies with the matter at hand. For example, legal values to State Government of contracts and claims records diminish rapidly after final settlement of the contract or claim. It may cease upon expiration of any pertinent statute of limitations.

FISCAL VALUE

Records having fiscal value relate to all financial transactions. They may be budget records, which show how expenditures were planned. They may be voucher or expenditure files of several kinds, which document the purposes for which agency funds were spent, or they may be accounting records. The form and content of many fiscal records are prescribed by various State Agencies: Commission of Budget and Accounting, Department of Public Accounts, State Treasurer's Office, and others. In most instances, only the data on the forms differ from agency to agency. Records relating to the development of fiscal policy should not be confused with those of fiscal transactions. Fiscal policy files may have permanent value.

SCIENTIFIC AND TECHNOLOGICAL VALUE

Records having scientific and technological value consist of large quantities of technical data gathered as a result of pure and applied research. If the data are not used immediately or if the research results remain unpublished, the records may then require a lengthy retention period.

The nature of scientific inquiry may make appraisal difficult. Series long dormant may suddenly become a link in a chain resulting in a new discovery. While these circumstances are not easy to predict, agency scientists can provide some guidance.

ASPECTS OF SECONDARY VALUES

Secondary values, which go beyond agency needs and interests, are of two types:

- c. *Narrative and statistical reports* on accomplishments at divisional or higher organizational levels are important. Often there exist summary narrative accounts of the direction and execution of agency programs, which have been prepared for annual reports or for other purposes. Narrative accounts of the history of an agency, produced by official historians, may have an even greater value than annual or other periodic reports of accomplishments and should be retained.
- d. *Blank forms* may be associated with program or procedural directives. A record set, so designated, needs to be preserved. However, only those forms relating to substantive, or program, activities deserve retention, since the key forms used in housekeeping functions, such as purchasing, personnel, and fiscal record keeping, are designated for Government-wide use.
- e. *Master sets of publications* that show how the agency functioned and what it accomplished.
- f. *Publicity material*, in the form of press releases, official speeches, charts, and posters, showing the actual administration of programs.

Other policy records are not easily found or identified. Digging them out of agency records requires careful analysis. Records of top management, whether located in offices or central files, should be retained. The records of key officials may include their correspondence files, minutes of conferences and staff meetings, memorandums, directives, and other evidence of official action. In general, the records of offices decrease in value as the administrative ladder goes down. The extent to which an appraiser goes down that ladder to get important policy documentation varies with each agency. It depends on organization, delegations of authority within the agency, the reporting system, the filing system, and the documentation system. The appraiser must find and identify the policy records and, if possible, fill in gaps from records at lower operating levels. In the process, the appraiser will find that most records at operating, or non-executive levels, do not reflect policy, but instead:

- a. Concern housekeeping matters.
- b. Are temporary aids to make program operations run more smoothly.
- c. Are transaction case files.

Records relating to housekeeping matters and the aforementioned temporary aids are usually given short retention periods. Although transaction files as a whole rarely have permanent value, selected samples may be retained.

INFORMATIONAL VALUES

Informational values relate to the information that is created as a result of agency programs. Evidentiary values, discussed earlier in this chapter, deal with the agencies themselves. In looking for informational values, the appraiser is not concerned with the agency that created the records or what programs they involved. The concern, instead, is with the information in them. The information relates to persons, things, places, and phenomena.

locality or the relationship of cultural and physical landscape features. Records that reveal information about places include maps, charts, aerial photography, still and motion pictures, field survey notebooks, place name decision files, and site location reports. Correspondence, reports, publications, and other written materials may also contain information about the topological, geological, and geographic features of an area as well as its history.

- *Phenomena*. Records relating to phenomena contain data about what happens to persons or things. They describe conditions, activities, events, episodes, and circumstances. The appraiser has little problem when records deal with a specific event, such as a battle, an election, or a natural catastrophe. Records on phenomena largely concern the masses of statistical data on social and economic matters, such as industrial production, population, prices, income, living costs, and the like. Appraisers need to move slowly and deliberately in evaluating statistical records. They will certainly need to consult with Archives specialists, who will know the interests of social scientists and others in assessing potential research.

What should be done with the raw data on which statistical records are based? For data not machine-readable, four principles should be followed:

- a. Raw data do not need to be kept if all possible studies have been made.
- b. If the data have not been used promptly, they will probably not be used at all.
- c. Once it is determined that data are not useable because of their physical form or because they are statistically faulty, they should be destroyed.
- d. Scientific data should be kept if they are essential for further research.

APPRAISAL OF MACHINE-READABLE RECORDS

The appraisal of machine-readable records is especially important because they record much of the statistical data affecting phenomena. Appraisal of a machine-readable file is based on

- Subject matter.
- Its potential for statistical analysis.
- Validity of the recorded data.
- Physical condition of the records.

The appraiser must know the techniques of manipulating computerized data. If only limited manipulation is possible, the appraiser must weigh that factor against the nature of the subject matter to determine whether the file has archival value. In addition, the appraiser must be enough of a technician to be able to examine the physical aspects of the file in determining its readability, such as data density, the number of tracks, and the nature of the data groups.

IV. APPLYING APPRAISAL STANDARDS

LABELING ARCHIVAL RECORDS

The word "permanent," as applied to records series, means archival. Alternate words such as "indefinite" or "retain," should not be used because they represent no fixed decision on retention and imply that series have not been appraised. Lengthy retention periods are not equivalent to permanent.

Except in rare instances, records cannot be scheduled for permanent retention on the basis of agency needs alone. The label "permanent" can be used only when the records have been so designated by the State Records Committee.

SCHEDULING TEMPORARY RECORDS

Retention periods for temporary records present the risk that destroyed records may be called for in the future. However, long experience shows that if retention periods are based on realistic and informed assessments, few if any problems arise after destruction.

REFERENCE FACTORS

The frequency of reference is a major determinant of retention periods. Series can be retained at least during their anticipated activity. Following are examples of retention periods for some common records, based on normal reference experience:

- Office correspondence files on administrative matters
At bureau and division levels: 3 years.
At other levels: 2 years.
- Office correspondence files on program matters
At bureau and division levels: 4-5 years.
At all other levels: 3 years.
- Reports data
At summarizing levels: 4-5 years.
At submitting levels: 2-3 years.
- Records of routine transactions: 6 months - 1 year after completion of transaction.
- Inspection and audit reports: 5 years.
- Work papers for publications: 2 years after publication.
- Transaction files: Maximum of 6 years after close of file or termination of transaction unless there are special legal factors requiring a longer period.

LEGAL FACTORS

Legal factors may influence the determination of retention periods. Federal statutes of limitations require that some records be retained for as long as legal actions are possible. Some Federal statutes affect single agencies, such as the State Tax Commission and the Employment Security Commission. State laws also relate to selected records series in some agencies. These statutes, be they Federal or State, must be included in any retention decisions.

This standard is based on the recognition that most series in state agencies are scheduled for less than six years and that reference needs generally do not warrant longer periods. Justification for a period beyond five years must include statements of

- Administrative needs requiring a longer period.
- Pertinent statutory provisions, if any.
- Needs pertaining to rights and benefits of individuals.
- Government-wide needs.

The records officer should then be in a position to approve the recommended longer period or to reject it. If a difference of opinion exists, a decision should be made by higher authority in the agency. The five-year standard should be applied also to existing scheduled series.

WORDING OF THE RETENTION PERIOD

Schedule instructions should be absolutely clear. Timing of destruction, whether it is to take place at the agency or at the State Records Center, must not be left to chance or subject to possible misinterpretation.

The term "destroy" should be used instead of "dispose of" or "dispose" in the instructions. "Dispose" can mean moving records out of an office and does not necessarily imply physical destruction. The word "retention period," unless clearly defined in agency instructions, also does not specify destruction. Moreover, the word "destroy" signifies without question that records can be destroyed because the Government has no further need for them.

Retention periods for temporary records can be expressed in two ways:

- A *fixed period after the creation of the records*. For example, the phrase "destroy when two years old" provides continuing authority to destroy records in a given series two years following their creation. Such a period applies until it is superseded or canceled.
- A *fixed period after a predictable event*. The wording depends on the kind of action involved. Note the following examples:
 - a. "After completion" (as of a study, project, audit).
 - b. "After sale or transfer" (as of personal or real property).
 - c. "After publication" (as of annual report).
 - d. "After supersession" (as of a directive).
 - e. "After revision or cancellation" (as of a report or directive).
 - f. "After expiration" (as of a program).
 - g. "After acceptance or rejection" (as of an application).
 - h. "After audit" (as of accounts).
 - i. "After settlement" (as of accounts or a claim).
 - j. "After acceptance" (as of a bid or a recommendation).
 - k. "After close of fiscal year" (as of some fiscal records).
 - l. "After termination" (as of a contract).
 - m. "After transfer" (as of an employee).
 - n. "After cutoff of files" (as of general correspondence).

Other specific wording depends on the nature of the action involved. Some retention periods provide a disposal period based on the likelihood that two different events in the future may affect a series of records. In those cases, one event governs disposal if it occurs sooner or if it occurs later than the other event. An event may sometimes be associated with a fixed

APPLYING THE SCHEDULES TO AGENCY RECORDS

Records officers must be adept in applying the generally worded schedule items to the records of individual agencies. The ability to do so requires a knowledge of terminology and procedures. Without that knowledge, use of the schedules may be diluted and incomplete, and the scheduling program may suffer a result.

In an emergency or for reasons of economy, the head of a State agency may lengthen the authorized retention period but must notify the State Records Center of his action and then destroy the records as soon as practicable. Under normal circumstances, if the agency desires shorter retention periods, it must follow the procedures for requesting appropriate authorization.

Application of some schedules is limited by a date floor. The limit exists because records created before that date need to be appraised separately, as they may have archival value. For example, a general records schedule may require that any records created before 1895 must be first offered to the Mississippi State Archives for possible retention. If any of the early records are rejected by the State Archives, the records may be destroyed.

ISSUING THE SCHEDULES

The general records schedules should be issued in the form in which they are received from the State Records Committee, with suitable changes to fit agency records practices and administrative procedures. However, the distribution of specific schedules should be limited to offices that hold the types of records covered.

V. SCHEDULE ASSEMBLING, CLEARING, AND ISSUING

ASSEMBLING

Form SRC-101

Form SRC-101, Application for Disposition/Records Control Schedule, is required for all requests to the State Records Committee for approval of schedules. Several kinds of approval may be sought:

- Continuing authority to dispose of records at the expiration of time periods.
- Authority to dispose of records no longer being created.
- Designation of series as permanent.
- Authority to substitute microfilm copies in lieu of paper copies.
- Request to amend a previously approved records control schedule.

Form SRC-101 is obtainable from the State Records Center. If records are covered by general records schedules, then there is no need for an agency initiated SRC-101. However, proposals for retention periods that differ from those indicated on the general records schedules must be submitted on Form SRC-101.

Form SRC-101 has three copies. The agency submits all copies to the State Records Center. After approval by the State Records Committee, one signed copy is returned to the agency as the formal notification of approval.

Appendix C shows the format of Form SRC-101. Following is a list of the numbered items on the form, with comments on each item:

- 1. *Agency Address* - Enter the application date, the record group number, and the consecutive application number. The record group number for a specific agency may be obtained from the State Records Center if it is not known. List the name of the agency, division, subdivision, and/or office in their order of descending authority. Also list the street address and room number.
- 2. *Person to Contact* - Enter the name of the person who has the broadest knowledge of the records series and its use, content, and importance. Include working title and telephone number of individual.
- 3. *Action Requested* - Check item 3a for those records series which continue to accumulate year after year. Item 3b is checked for those series in which no further accumulation is anticipated. Check item 3c for microfilming of the records series. Additional comments should be made in paragraph 13 under "Other" regarding retention of hard copy and technical standards of film. Item 3d is checked to amend a previously approved schedule.

the State Records Center to give prompt service when reference requests are received.

- 8. *Monthly Reference Rate* - Check the appropriate reference activity of the records series (Frequent—once per week or more; Occasional—twice per month or more; Infrequent—once per month or less) for records in the age spans indicated. The most accurate method of determining the average monthly rate is to keep a record of how often a file is referenced during the period.
- 9. *Volume of Records on Hand* - Enter the total volume of the records series (both in agency space and in off-site storage space such as the State Records Center) in cubic feet. Also enter the number of drawers, shelves, or other filing equipment units (including boxes) that the records series occupies.
- 10. *Annual Rate of Accumulation of Records* - The annual rate of accumulation is the total volume of records expected to be accumulated during the current year.
- 11. *Questionnaire* -
 - a. Is this the official/record copy of the series? If not, where is it? The original of in-coming material and the office of record copy of out-going material should be designated the record copy. Normally the disposition instructions apply to this record copy and not to convenience or reference copies of the document in other offices. It is possible, however, to have more than one official or record copy, depending on how the copy is used by the office storing it.
 - b. Does the series contain confidential information requiring security handling or special disposal methods? If yes, please explain and cite law or regulation. If the records series contains confidential or privileged information protected by law or regulation, the answer is yes and the law or regulation should be cited. Records such as tax records, medical records, adoption records, student records, and investigatory records are confidential. The disposal method is affected by this confidential status because such records would not be sold as waste paper for recycling as we do normally. Confidential records would require shredding and burial in the land fill or simply burial in the land fill. Items in the land fill are also burned.

has several forms (such as COM, computer printouts, microfilm, etc.), the different media may have different retention periods and if this is the case the periods should be noted under section 12 below.

- i. Does the records series result in a computer print-out? If the records series is automated, the machine-readable records should also be scheduled, in most cases with the textual part of the series. If there is no paper involved with the series, this should be indicated in the series title.
- 12. *Retention Requirements* - Enter the number of years necessary to satisfy each requirement placed on the series. Fill in all the blanks. If no retention is required enter "0". Cite and attach a copy of the laws and regulations that require retention for the number of years indicated. Briefly explain the retention requirement necessary as an administrative need.
 - 13. *Approved Disposition Instructions* - Enter the agency's recommendations for the cut off or how long the file should be retained in the office (current file area), and when the records series will be transferred to the local holding area, State Records Center, Mississippi State Archives, or destroyed. These recommendations should fulfill the need of the creating agency, notwithstanding requirements placed upon the records by other agencies. If there is a conflict with other agency requirements, it should be noted on the schedule. In addition to the primary records series, a disposition must also be furnished for auxiliary files of the same series, such as computer printouts or COM and microfilm. *To achieve maximum savings, records should be transferred to low-cost storage at the State Records Center as soon as is practical.*

Under "Other" include any special restoration or micrographic treatment of records. If the records series is microfilmed, list the various retention periods and transferrals for both the hard copy and the film copy. If the record is archival, certain technical aspects must be included in any filming done. These technical aspects are designed to insure the quality of the film for long-term storage and can be obtained from the State Records Center. Put simply, the disposition instructions should trace the life cycle of all records media from current files to final disposition (Archives or destruction).

- 14. *Approvals* - The agency head or his/her designee should sign the application in the space provided and date that signing. Completed applications should be sent to the director of the State Records Center. After checking the application for correctness and completeness, and working with the applying agency if necessary, the director or a records analyst for the Division of Records Management will sign and date the form making it ready for submission to the State Records Committee for approval at its next meeting. The State Records Committee meets quarterly.

The schedule must contain the following information for each permanent series:

- a. Estimates of the volume on hand and the volume accumulated annually.
- b. Arrangement of records.
- c. New restrictions that are expected to be placed on the records but that did not apply to comparable records previously accessioned.

AUTHORITY TO REPRODUCE RECORDS BY MICROFILMING

The following special requirements govern the use of Form SRC-101 in requesting authority to dispose of paper records after filming:

- *For the filming of permanent records.* Form SRC-101 should contain in paragraph 13 under "Other" an indication, required by Section 25-59-25, Mississippi Code of 1972, as amended (Mississippi Archives and Records Management Law of 1981), that certain technical standards set by the Division of Records Management for filming archival records will be followed. If the proposed agency filming system does not meet those quality standards, the nature of the agency system must be described. If the agency proposes to keep the silver original film copy after the paper records are destroyed, the SRC-101 must include certification that storage facilities meet the standards set by the Department of Archives and History for storing archival film. If not, the silver original and a positive copy must be forwarded to the State Records Center or the Mississippi State Archives.
- *For the filming of temporary records.* In filming projects involving temporary records that are scheduled for ten years or more, no certification of filming standards is required. Agencies, however, are urged to use standards specified by the Department of Archives and History for filming and storage. If records to be filmed are scheduled for less than ten years, filming may be in accordance with agency standards and requirements, including the use of any film, processing system, or storage containers.

DESCRIBING OTHER NONTEXTUAL RECORDS

Description of other nontextual records must be accurate, especially the records labeled "permanent" on SRC-101.

- *Photographic records*
 - a. Identify the production, project, collection, part of a collection, or other unit by description, title, or number, as appropriate.
 - b. Show the physical form of the records, such as motion pictures, still pictures other than photographs, aerial mapping film, paper prints, photographs, sound recordings, video recordings.
 - c. Show the kind of copy. For motion pictures, indicate nitrate or acetate film, the millimeter size, and whether the copies are negatives, master positives, or projection prints. If they are still photographs, indicate whether glass plates or film, and whether or not both negative and positive prints are

- a. Functions of the organizational unit creating the records.
- b. How it discharges the functions.
- c. How files proposed for permanent retention relate to other records or to the total information system.
- d. Recommendations for permanent retention.

COMPLETING SCHEDULE INSTRUCTIONS

Scheduling items for voluminous series should include instructions for file breaks and for transfers to agency holding areas and/or the State Records Center and the Mississippi State Archives.

FILE BREAKS

Some series should be broken (cut off) periodically to simplify disposal and transfer. This involves starting new segments of files at regular intervals. Breaks can be required at fixed periods (every year or two, for example) or after an event (after completion of a project or study, for example). The file break should be used only when justified. The interval between breaks depends on the size of the series and its rate of growth. A subject file that grows at the rate of several cubic feet per year should not be broken. Annual or biennial breaks might be needed for a series that grows at the rate of ten or more cubic feet per year.

Regular disposal of an unbroken correspondence file is difficult because it must be on a folder-by-folder or paper-by-paper basis. File segments resulting from periodic breaks can be destroyed as a unit after a prescribed retention period.

TRANSFERS

Schedule items should contain requirements for periodic records center transfers of records that meet transfer criteria. The Division of Records Management's Records Management Handbook #1: State Records Center contains information on standards for selecting records for transfer.

DISPOSAL OF NONACCUMULATING RECORDS

Under paragraph 3 (Action Requested) of Form SRC-101, line b. requests disposal of the present accumulation of records because no further accumulation is anticipated. The records may be those of a special commission or other temporary body, which has completed its job, or of a discontinued program. The request is for one-time disposal instead of continuing disposal authority requested in a schedule.

The disposition instruction in paragraph 13 of SRC-101, should show the exact time of destruction, such as

"Immediately," or

"At the close of fiscal year 19__," or

"Six months after close of program."

The inclusive dates of the series proposed for destruction should be shown on the form.

- b. All offices use the prescribed filing system. Those not using the system will find application of the schedules difficult.
- c. Identical retention periods apply to small groups of records whenever possible. Otherwise, the disposition process can become too costly.
- *By exception.* In an organization where most series are disposable after the same period, scheduling by exception is a technique useful to the scheduling process. Concentration can then be easily directed toward those series disposable after other periods.

ORGANIZATIONAL COVERAGE

The records of the entire agency should be scheduled. However, if staff and time make this difficult, it should be possible to complete scheduling in one of the following at a time:

- Central office records only.
- Field records only.
- Records of one organizational unit only.

USE OF FORM SRC-101

Schedules must be submitted on the Form SRC-101, Application for Disposition/Records Control Schedule, one series to a form. The form's three copies should be sent to the State Records Center, 929 High Street, Jackson, MS 39202, for processing prior to formal submission to the State Records Committee at its quarterly meeting.

CLEARING

Internal Approvals

After a schedule has been assembled, it must be approved by agency officials. Requests for approval should be sent to the records management liaison officer, who will obtain clearance from the agency's fiscal and legal officers and the agency head. Final agency approval for schedules is in the hands of the agency head or his/her designee.

Agency officials should be asked if:

- All records in the offices involved are scheduled.
- Nonrecord materials are covered on the records inventory.
- Retention periods are adequate to meet statutory, audit and administrative requirements.
- Descriptions are clear.

After comments are received from agency officials, any differences should be resolved by the officials and the records officer or the files custodians.

External Approval: Division of Records Management

Agency officials can often avoid delays by first discussing problems with a records analyst from the State Records Center before submitting Form SRC-101. When the SRC receives the Form SRC-101, it assigns a schedule number and acknowledges receipt. In the process a records analyst examines the form to ensure that

- The requesting agency and its major and minor subdivisions are correctly identified in the heading of the form (item 1).

If there is any disagreement on the part of the archivist, the records analyst and the agency, the problem will be worked out before the schedule is submitted to the State Records Committee for approval. When the State Records Committee approves a schedule, it sends a copy of Form SRC-101, signed by at least three of the five Committee members, to the agency. Once approved, these schedules have the force and effect of law and are the agency's authorization to follow the disposition instructions until the schedule is amended.

ISSUING

Coordination With Directives System

The approved records control schedule should be issued as an agency directive to at least the following:

- All staff officials.
- All office, bureau, division, and branch heads.
- All custodians of major records collections such as central files.
- All records management liaison officers.

Including Related Program Information

The schedule directive should include detailed information about the records disposition program. It should

- Incorporate any necessary information from laws and regulations governing records disposition, including citations.
- Define terms in the schedule (using the glossary found in appendix A of this publication).
- Authorize application of the schedule on a continuing basis.
- Describe the role of the State Records Center.
- Discuss the role of any agency holding areas.
- Give instructions in how to break (cut off) files.
- Provide for keeping the schedule current.
- Require review of file equipment requisitions.
- Emphasize the need for a reporting system to keep the agency head and records management liaison officer, and the Division of Records Management aware of changes in retention requirements for a scheduled series of records.

VI. APPLICATION OF THE SCHEDULE

EARMARKING PERMANENT RECORDS

Schedules should provide that permanent records are offered for transfer to the Mississippi State Archives as soon as the agency no longer needs them for day-to-day operations. The records should receive special attention as soon as the schedule is issued. Series must be kept in good order and not mixed with other records.

There should be a control file for permanent series. The file should identify permanent series by schedule number and show locations, custodians, and any transfer schedules. Precautions are necessary because records may be lost or destroyed inadvertently in the rush of daily business.

SEGREGATING PERMANENT RECORDS

Agencies should set aside a special place to accumulate permanent series between the end of their administrative usefulness and the time of their transfer. If that is not possible, the records should be housed separately in the office away from temporary records. They also may be temporarily transferred to the State Records Center. Agencies should provide proper storage conditions for audiovisual, machine-readable, and microfilm records while they remain in agency custody. Information on proper storage conditions for these media may be obtained from the Department of Archives and History's Division of Records Management.

TRANSFERRING PERMANENT RECORDS

Legal title to permanent records transferred to the Mississippi State Archives passes from the agency to the Department of Archives and History. Temporary records transferred to the State Records Center continue to be agency property.

The transfer of permanent records to the Mississippi State Archives is appropriately documented on forms provided to the agency.

DIRECT OFFERS OF PERMANENT RECORDS

Some records can be offered directly to the Mississippi State Archives for appraisal as permanent records without being described on Form SRC-101. Direct offers, often consisting of older records or of possibly valuable records no longer being created, can bypass the scheduling process.

Direct offers must be made in writing and must include the following information:

- Identification of the subject matter.
- Dates of the records.
- Statement of how the records were used.
- If they are not textual records, their physical characteristics (film, sound recordings, cartographic records, computer tapes, and the like).

Necessary schedule revisions should be made without delay, in accordance with the procedures in Chapter V.

NONRECORD MATERIALS

While nonrecord materials need not be scheduled, they should be included in the inventory. Based on information gathered during this inventory, efforts should be made to reduce extra copies that find their way into files. Agencies should discourage the accumulation of nonrecord materials in filing equipment. These campaigns can be successful if

- Strict controls are placed on the use of copy equipment.
- Obsolete directives and copies of unneeded publications are destroyed.
- Correspondence practices are reviewed to reduce the number of copies.
- Copies of purchase orders, contracts, personnel records, and the like are created sparingly.

SCHEDULE CLARITY

Schedule items that seem clear to the person who prepared them may not be clear to others. The wording may be cloudy and imprecise. Files custodians may not be able to match schedule items to their records.

Retention periods may also be imprecise. They may be based on a period following an event that normally does not occur. In addition, the period may be based upon a calendar year, although the series itself is broken on a fiscal year basis. Documents normally filed together in transaction files may be shown on the schedule with different retention periods, and the files may not be identifiable. Where a series is referred to by a form number, the number may have changed or may have been merged with other forms.

Many problems of clarity arise from deficiencies of the inventory. Regardless of the source of the problem, the records liaison officer should act promptly to amend and correct the schedule properly. In doing so, submit a Form SRC-101 whenever exchanging an item's description to cover additional types of records or changing an item's retention period.

SHORTENING RETENTION PERIODS

Frequent review of all retention periods is important, especially so in the case of series carrying at least five year retention periods and accumulating more than five cubic feet per year. Analysis of agency experience with the records can demonstrate that retention periods may be reduced without harming the interests of the agency or of the State Government as a whole. The original series appraisal may have been too conservative. Reference rates may have been based on poor data.

Voluminous files relating to individuals should receive special attention. Statutes may change or less voluminous related records, such as cards summarizing data in folders, may exist and serve as an adequate substitute for the original records after a certain date.

Even slight reductions in retention periods for some series can be important. A three month reduction in the retention period for paid state

DISPOSAL TICKLER FILE

A disposal-control, or tickler, file should be established as a systematic index to records that are disposable and the date on which they became eligible for destruction. The file should be kept by the disposition staff or by the liaison officers, depending on the size of the agency. The control can consist of a simple card file arranged chronologically by disposal date and by organizational unit.

SCREENING

Screening is the removal of documents or folders of long-term or continuing value from a disposable series of records. Decisions to screen should be made only after rigorous analysis because of the cost involved. The amount of time and money spent depends on whether or not

- Complete folders can be removed.
- Disposable material can be separated easily from individual folders.
- Material to be removed can be easily identified.
- Access to the records to be screened is easy.
- Physical processing, such as removal of paper clips or fasteners, is unnecessary.

Screening should be done only if

- Individual documents or folders to be retained are of permanent value, or
- Are scheduled for periods exceeding thirty years, or
- Constitute less than 50% of the file.

Alternatives to screening are

- Transfers of the series intact to the State Records Center where it can be retained until it is disposable as a whole.
- Movement to an agency holding area, if one exists.
- Retention in the office until the series is disposable as a whole.

Screening problems will not arise if records to be retained permanently or for long periods are not filed with papers of lesser value.

SUPERSESION OF DISPOSAL AUTHORITY

If two disposal authorizations cover the same series of records, the later authorization applies, even though it may require longer retention.

WHEN TO APPLY SCHEDULES

Too much time spent in applying schedules can reduce program savings. Following are some considerations:

- Records need not be destroyed at the exact time their retention period ends.
- Disposal and transfer should be accomplished annually or semi-annually, rather than more frequently.
- A different timetable may be necessary if records accumulate rapidly.
- They may accumulate so slowly that annual transfers are unwarranted.

APPENDIX A. GLOSSARY OF TERMS

- ACCESS.** (1) The availability of or the permission to consult records, archives, or manuscripts. (2) The ability and opportunity to obtain security classified or administratively controlled information or records.
- ACCESSIONS.** (1) The act and procedures involved in a transfer of legal title and the taking of records or papers into the physical custody of an archival agency or a records center. In records center operations, transfer of legal title may not be involved. (2) The materials involved in such a transfer of custody.
- ACCOUNTABLE OFFICERS ACCOUNTS.**
Specific documents prepared by accountable officers, required by Auditor of Public Accounts to be maintained for audit.
- ACCRETION.** An accession that is an additional segment of an already accessioned series.
- ACTION COPY.** That copy of a communication directed to a particular agency, office, or individual responsible for action, as opposed to an information copy.
- ACTIVE RECORDS.** See CURRENT RECORDS.
- ADMINISTRATIVE RECORDS.** See HOUSEKEEPING RECORDS.
- ADMINISTRATIVE VALUE.** In appraisal, the usefulness of records to the originating or succeeding agency in the conduct of current business. See also EVIDENTIAL VALUE, INFORMATIONAL VALUE.
- ADMINISTRATIVELY CONTROLLED INFORMATION.** Privileged or other nonsecurity-classified information in records sometimes bearing designations such as "For Official Use Only" or "Limited Official Use" to prevent its unauthorized disclosure. See also CLASSIFIED INFORMATION.
- AERIAL PHOTOGRAPHS.** Visual images of the surface of the earth or other planetary bodies taken from airborne or spaceborne vehicles for the purpose of evaluating, measuring, or mapping the cultural and/or physical features of the landscape.
- APPRAISAL.** The process of determining the value and thus the disposition of records based upon their administrative and other uses, their evidential and informational or research value, their arrangement, and their relationship to other records.
- ARCHITECTURAL DRAWINGS.** Graphic and engineering drawings that depict conceptual as well as precise measured information essential for the planning and construction of static structures.
- ARCHIVAL AGENCY.** See ARCHIVES.
- ARCHIVAL VALUE.** The determination by appraisal that records are worthy of permanent preservation by an archival agency. See also HISTORICAL VALUE.
- ARCHIVES.** (1) The noncurrent records of an organization or institution preserved because of their permanent value; also referred to, in this sense, as archival materials or archival holdings. (2) The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency. (3) The building or a part of a building where such materials are located; also referred to as an archival repository or depository.
- ARCHIVES ADMINISTRATION.** The management or direction of the program of an archival agency, including the following basic functions: appraisal, disposition, accessioning, preservation, arrangement, description, reference service, exhibition, and publication.
- ARCHIVIST.** A person responsible for or engaged in one or more of the following activities in an archival repository: appraisal and disposition, accessioning, preservation, arrangement, description, reference service, exhibition, and publication. See also RECORDS MANAGER.
- ARRANGEMENT.** The process and results of organizing archives, records, and manuscripts in accordance with accepted archival principles.
- AUDIOVISUAL RECORDS/ARCHIVES.** Program and information motion pictures, still pictures, sound recordings, video recordings, and related documentation.
- AUTOMATED DATA PROCESSING.** System for recording and processing data on magnetic media.
- CARTOGRAPHIC RECORDS/ARCHIVES.** Records and archival material containing aerial photographs, maps, and related textual documentation.

EMERGENCY DESTRUCTION. Eliminating records under abnormal circumstances, as provided by law or regulations.

EVALUATION. See APPRAISAL.

EVIDENTIAL VALUE. The value of agency records, which provide documentation of its organization and functioning.

FACILITATIVE RECORDS. See HOUSEKEEPING RECORDS.

FILE. (1) An accumulation of records maintained in a predetermined physical arrangement. Used primarily in reference to current records, the term in archival usage may refer to either a series or a file unit, such as a folder or dossier. (2) To place documents in a predetermined location according to an overall plan of classification. (3) In machine-readable records/archives, two or more data records of identical layout treated as a unit. The unit is larger than a data record but smaller than a data system and is sometimes known as a data set. (4) Storage equipment, such as a filing cabinet. See also SERIES.

FILE BREAK. Termination of a file at regular periodic intervals to facilitate continuous disposal or transfer of the file series.

FILES. A collective term usually applied to all records of an office or agency.

FILES ADMINISTRATION. The application of records management techniques to filing practices in order to maintain records easily and to retrieve them rapidly, to ensure their completeness, and to facilitate the disposition of noncurrent records.

FINDING AIDS. The descriptive media, published and unpublished, created by an originating office, an archival agency, or manuscript repository to establish physical or administrative control over records and other holdings. Basic finding aids include guides (general or repository and subject or topical), inventories or registers, location registers, card catalogs, special lists, shelf and box lists, indexes, calendars, and, for machine-readable records, software documentation.

FISCAL VALUE. The usefulness of records for information about the financial transactions and obligations of agencies and organizations. See also ADMINISTRATIVE VALUE.

FUNCTIONAL DOCUMENTATION VALUE. See EVIDENTIAL VALUE.

GENERAL RECORDS SCHEDULE. A schedule, issued by the State Records Committee, governing the disposition of specified recurring series common to several or all agencies.

HISTORICAL VALUE. The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things. See also RESEARCH VALUE.

HOLDING AREA. Agency space assigned to the temporary storage of active or semi-active records and for records with relatively short retention periods. Also known as staging area.

HOUSEKEEPING RECORDS. Records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or facilitative operations normally common to most agencies, as distinguished from program or substantive records that relate to an agency's primary functions. See also PROGRAM RECORDS.

INACTIVE RECORDS. See NONCURRENT RECORDS.

INFORMATIONAL VALUE. The value of records that derive from the information they contain on matters with which public agencies deal, rather than from the information that is in such records on the agencies themselves. See also ADMINISTRATIVE VALUE, EVIDENTIAL VALUE.

INVENTORY. A survey of records series prior to the development of schedules. Generally includes data such as series titles, inclusive dates, use, quantity, arrangement, duplication, and other pertinent information. An inventory that is an archival finding aid may include a history of the organization and functions of the agency, folder headings, and other detailed data to facilitate research.

LEGAL VALUE. The use of records containing evidence of legally enforceable rights or obligations of governments and/or private persons.

MACHINE-READABLE RECORDS/ARCHIVES. Records and archives whose informational content is usually in code and has been recorded on media, such as magnetic disks, drums, tapes, punched paper cards, or punched paper tapes, accompanied by finding aids known as software documentation. The coded information is retrievable only by machine.

PROJECT FILE. See CASE FILE.

PUBLIC RECORDS (1) In general usage, records accumulated by Government agencies. (2) Records open to public inspection by law or custom.

READING FILE. A file containing copies of documents arranged in chronological order. Sometimes known as a chronological file or a day file and, in Canadian usage, as a continuity file.

RECORD COPY. See COPY.

RECORD GROUP. A body of organizationally related records established with regard to the administrative history, the complexity, and the volume of the records of the organization involved.

RECORD SERIES. See SERIES.

RECORDS. All recorded information, regardless of media or physical characteristics, made or received and maintained by an organization or institution in pursuance of its legal obligations or in the transaction of its business. In machine-readable records/archives, two or more data fields in predetermined order and treated as a unit. See also DOCUMENT.

RECORDS CENTER. A facility, sometimes especially designed and constructed, for the low cost and efficient storage and furnishing of reference service on semicurrent records pending their ultimate disposition.

RECORDS CENTER CONTAINER/CARTON. A corrugated cardboard box designed to hold 1 cubic foot of records, either legal or letter size, and used chiefly in records centers.

RECORDS CONTROL SCHEDULE. A document governing, on a continuing basis, the mandatory disposition of a recurring records series of an organization or agency. Also known as a disposition schedule, records schedule, retention schedule, or records retention schedule. See also COMPREHENSIVE RECORDS CONTROL SCHEDULES, GENERAL RECORDS SCHEDULE.

RECORDS DISPOSITION. See DISPOSITION.

RECORDS DISPOSITION OFFICER. See RECORDS MANAGEMENT LIAISON OFFICER.

RECORDS MANAGEMENT. That area of general administrative management concerned with achieving economy and efficiency in the creation, use of and maintenance, and disposition of records. Includes fulfilling archival requirements and ensuring effective documentation. See also PAPER WORK MANAGEMENT.

RECORDS MANAGEMENT LIAISON OFFICER. The agency official responsible for operation of an agencywide records disposition program.

RECORDS MANAGER. The person responsible for or engaged in a records management program. Sometimes known as a records officer or records administrator. See also ARCHIVIST.

RECORDS RETENTION SCHEDULE. See RECORDS CONTROL SCHEDULE.

RECORDS RETIREMENT. See DISPOSITION.

RECORDS SCHEDULE. See RECORDS CONTROL SCHEDULE.

REPOSITORY. A place where archives, records, or manuscripts are kept. The word "depository" is sometimes used as a synonym for repository.

RESEARCH VALUE. The usefulness of records for research by the Government, business and other private organizations, and by scholars in the humanities, social and physical sciences, administration, and other disciplines. See also HISTORICAL VALUE.

RETENTION PERIOD. See RETENTION STANDARD.

RETENTION SCHEDULE. See RECORDS CONTROL SCHEDULE.

RETENTION STANDARD. The time period for particular records (normally a series) to be kept.

SAMPLING. Selection for retention of part of a body of similar records to serve as a representation of the whole body.

SCIENTIFIC VALUE. See RESEARCH VALUE.

SCREEN. To remove selected documents from disposable files or parts of series from disposable series.

SECURITY-CLASSIFIED RECORDS. See CLASSIFIED INFORMATION.

SELECTIVE RETENTION. See APPRAISAL.

SEMICURRENT RECORDS. Records required so infrequently in the conduct of current business that they should be moved to a holding area or directly to a records center. See also CURRENT RECORDS, NONCURRENT RECORDS.

SERIES. File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. Sometimes known as a record series.

SOURCES: Laws, 1976, ch. 372, § 4, *eff from and after July 1, 1976.*

Cross references—
As to general powers and duties of central data processing authority, see § 25-53-5.

§ 25-53-57. Officer as legal agent and employee of agency or institution for which he is processing data.

An information confidentiality officer shall be considered a legal agent of the agency or institution and for the purposes of sections 25-53-51 to 25-53-59 shall be considered to be an employee of the agency or institution for which he may be processing data at that particular time.

SOURCES: Laws, 1976, ch. 372, § 5, *eff from and after July 1, 1976.*

§ 25-53-59. Penalty for improper release or divulgence of confidential information.

Any information confidentiality officer who shall intentionally and willfully violate his oath by releasing or divulging confidential information without proper authority shall be guilty of a misdemeanor and sentenced to not exceeding one (1) year in jail or a fine of not exceeding one thousand dollars (\$1,000.00), or both.

SOURCES: Laws, 1976, ch. 372, § 6, *eff from and after July 1, 1976.*

CHAPTER 55

Lost Records

§ 25-55-25. Duplicate for lost or destroyed original.

Research and Practice References—
Affidavit of loss, 12 Am Jur Legal Forms 2d. Lost and Destroyed Instruments §§ 169:14-169:16.

CHAPTER 57

Destruction of Records

§§ 25-57-1 thru 25-57-7. Repealed by Laws, 1981, ch 501, § 27, *eff from and after July 1, 1981.*

§ 25-57-9. [Am, Laws, 1978, ch. 458, § 26] Repealed by Laws, 1981, ch 501, § 27, *eff from and after July 1, 1981.*

Editor's Note—

Former § 25-57-9 withheld from the secretary of state authority to destroy state land office records upon succeeding to the function of that office.

CHAPTER 59 [New]

Archives and Records Management

- | | |
|-----------|---|
| SEC. | Short title. |
| 25-59-1. | Definitions. |
| 25-59-3. | Department of archives and history to be records management agency. |
| 25-59-5. | State records committee; duties as to records control schedules. |
| 25-59-7. | Powers and duties of department of archives and history. |
| 25-59-9. | Transfer of responsibility and title from central records storage facility to state records center. |
| 25-59-11. | Procedures for transfer of records to the department of archives and history. |
| 25-59-13. | Records management duties of state agencies and officials. |
| 25-59-15. | Record control schedules for courts; destruction of court records. |
| 25-59-17. | Records to be public property. |
| 25-59-19. | Consent of director required for disposal of public records; rules and regulations. |
| 25-59-21. | Penalties for offenses involving records. |
| 25-59-23. | Limitation on personal liability; compliance with requirements as to location for keeping records. |
| 25-59-25. | Records to be open for public use; exceptions; disposal of closed and restricted records. |
| 25-59-27. | Reproduction of records and storage of copies; destruction of originals. |
| 25-59-29. | Transition from existing program of reproduction and destruction of records. |

§ 25-59-1. Short title.

This chapter shall be known and may be cited as the "Mississippi Archives and Records Management Law of 1981."

SOURCES: Laws, 1981, ch. 501, § 1, *eff from and after July 1, 1981.*

§ 25-59-3. Definitions.

For the purposes of this chapter:

- (a) "Department" shall mean the Mississippi Department of Archives and History.
- (b) "Public records" shall mean all documents, papers, letters, maps, books, tapes, photographs, films, sound recordings or other materials regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any agency or by any appointed or elected official. Books, periodicals and other published material normally found in a library are excluded from this definition.
- (c) "State record" shall mean a record which normally is maintained within the custody or control of a state agency or by any

trative Procedures Act, sections 25-43-1 et seq., Mississippi Code of 1972.

(c) Conduct a records management program including a records center and subject to the availability of staff and funds, conduct a centralized microfilming program for the benefit of all state agencies; and provide advice, assistance and training to all state agencies in matters pertaining to the economical and efficient management of public records.

(d) Cooperate with and assist, insofar as possible, state institutions, departments, agencies, counties, municipalities and individuals engaged in the field of state archives, manuscripts and history.

(e) Establish safeguards against unauthorized or unlawful removal or loss of records.

(f) Initiate appropriate action to recover records removed unlawfully or without authorization.

(g) Establish and maintain a program in cooperation with each agency for the selection and preservation of vital records considered essential to the operation of government and to the protection of the rights and privileges of citizens; make or have made preservation duplicates, or designate existing copies as preservation duplicates to be preserved in a place of safekeeping as prescribed by the department.

SOURCES: Laws, 1981, ch. 501, § 5, *eff from and after July 1, 1981.*

Gross references—

As to powers and duties of the department of archives and history, generally, see §§ 39-5-1, 39-5-5.

Research and Practice References—

66 Am Jur 2d, Records and Recording Laws § 10.
76 CJS, Records §§ 34-41.

§ 25-59-11. Transfer of responsibility and title from central records storage facility to state records center.

The central records storage facility shall become the state records center. The commission of budget and accounting is hereby authorized to transfer the responsibility for the operation of the facility to the department of archives and history. The commission shall also transfer title to the building, equipment and property associated with the facility to the department.

SOURCES: Laws, 1981, ch. 501, § 6, *eff from and after July 1, 1981.*

Gross references—

For procedures for transfer of records to the department of archives and history, see § 25-59-13.

§ 25-59-13. Procedures for transfer of records to the department of archives and history.

The transfer of records to the Mississippi Department of Archives and History shall be in accordance with the following:

(a) Agencies and appointed or elected officials are hereby authorized and empowered to turn over to the department any records no longer in current official use and the department is authorized, after conducting appropriate archival appraisal, to accept such records and to provide for their administration and preservation.

(b) All records of state agencies transferred to the department may be held in the records center or placed directly in the Mississippi State Archives as deemed appropriate.

(c) Title to any record placed in the records center shall remain in the agency transferring such records to the department.

(d) Title to any record transferred to the Mississippi State Archives shall be vested in the department.

(e) The department may make certified copies under seal of any records transferred to it upon the application of any person and said certificates signed by the director shall have the same force and effect as if made by the agency from which the records were received.

(f) The department may prescribe and charge reasonable fees for said services, which shall not be less than the actual cost thereof.

SOURCES: Laws, 1981, ch. 501, § 7, *eff from and after July 1, 1981.*

Gross references—

For authorization for state and county officials to turn over to director of department of archives and history all records not currently in use, see § 39-5-11.

§ 25-59-15. Records management duties of state agencies and officials.

It shall be the duty of each state agency and each appointed or elected state official to:

(a) Cooperate with the department in complying with the provisions of this chapter.

(b) Establish and maintain an active and continuing program for the economical and efficient management of records.

(c) Cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency or office and designed to furnish the information necessary

Cross references—

- As to preservation and destruction of records of state auditor, see § 7-7-63.
- As to destruction of state warrants by treasurer, see § 7-9-32.
- As to destruction of records of the circuit and county courts, see § 9-7-128.
- As to filing, preservation and disposition of official acts and assessment rolls of the state tax commission, see § 27-3-61.
- As to preservation and destruction of income tax reports and returns, see § 27-7-83.
- As to preservation and destruction of estate tax returns and reports, see § 27-9-55.
- As to preservation and destruction of reports and returns relative to corporation franchise tax, see § 27-13-57.
- As to preservation and destruction of records of the youth court, see § 43-21-265.
- As to disposal of records of the employment security commission, see § 71-5-129.
- As to preservation and destruction of the records of the commissioner of insurance, see § 83-1-21.

Research and Practice References—

66 Am Jur 2d, Records and Recording Laws § 10.

§ 25-59-23. Penalties for offenses involving records.

The theft, or deliberate alienation, alteration or destruction of records by any person or persons in a manner not authorized by an applicable records control schedule, or the unlawful divulging of restricted information under this chapter shall constitute a misdemeanor, punishable by a fine of not less than five hundred dollars (\$500.00) and not greater than one thousand dollars (\$1,000.00).

SOURCES: Laws, 1981, ch. 501, § 12, *eff from and after July 1, 1981.*

Cross references—

As to criminal penalty for false entries, alterations or erasures of public records, see § 97-11-1.

Research and Practice References—

66 Am Jur 2d, Records and Recording Laws §§ 10, 11.
76 CJS, Records §§ 72-74.

ALR and L Ed Annotations—

What constitutes a public record or document within statute making forgery thereof an offense. 69 ALR2d 1095.

§ 25-59-25. Limitation on personal liability; compliance with requirements as to location for keeping records.

(a) No person acting in compliance with the provisions of this chapter shall be held personally liable. If it becomes necessary for archivists or records analysts on the staff of the department to inspect closed or restricted records, in order to appraise them for archival significance, said archivists or records analysts shall not be held liable under law for such inspection. It shall be unlawful for

said archivists or records analysts to divulge any information contained in the closed or restricted records.

(b) Whenever laws and regulations prescribe where a record series must be kept, the custodian of such records shall be considered in compliance with said laws, rules and regulations if he transfers said records to a local holding area, a records center, or the Mississippi State Archives when he does so in accordance with an approved records control schedule.

SOURCES: Laws, 1981, ch. 501, § 13, *eff from and after July 1, 1981.*

§ 25-59-27. Records to be open for public use; exceptions; disposal of closed and restricted records.

All records in the custody of the Mississippi Department of Archives and History shall be open for public use at a reasonable time and place with the exception of those records specifically prohibited from being opened to inspection by state law, federal law, court order or by agency request consistent with law. Records such as income tax returns, medical records, scholastic records, adoption records and other records which by law are required to be closed to the public shall not be deemed to be made open to the public under the provisions of this chapter, nor shall the definition of public records include those records which it is shown that the public interest is best served by not disclosing to the public. For purposes of records management closed and restricted records may be disposed of in accordance with the provisions of this chapter for the disposal of public records.

SOURCES: Laws, 1981, ch. 501, § 14, *eff from and after July 1, 1981.*

Cross references—

As to disclosure of tax returns and return information, see § 27-7-83.
As to disclosure of estate tax returns and information, see § 27-9-55.

As to public inspection of the reports and records of the commissioner of insurance, see § 83-1-21.

Research and Practice References—

66 Am Jur 2d, Records and Recording Laws §§ 12-31.
76 CJS, Records §§ 34-41.

ALR and L Ed Annotations—

Validity, construction and application of statutory provisions relating to public access to police records. 82 ALR3d 19.
Restricting public access to judicial records of state courts. 84 ALR3d 598.

§ 25-59-29. Reproduction of records and storage of copies; destruction of originals.

Any custodian of public records as defined by this chapter is authorized to photocopy, microfilm or reproduce on film or by electrostatic method any part of the records kept by the office

MISSISSIPPI DEPARTMENT OF
ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

APPLICATION FOR DISPOSITION/
RECORDS CONTROL SCHEDULE

FOR RECORDS MANAGEMENT USE

Schedule Number _____

Date Received _____

Date Completed _____

INSTRUCTIONS: See Publication No. RM-81-1 for instructions on completing this form. Forward signed original to Mississippi Department of Archives and History, Records Management Division, 929 High Street, Jackson, MS 39202.

FOR AGENCY USE

1. AGENCY ADDRESS

Application Date _____

RG No./Application No. _____

2. Person to Contact _____

Working Title _____

Telephone Number _____

3. Action Requested

- a. Establish Retention Schedule; record will continue to accumulate.
- b. Dispose of present accumulation; no further accumulation anticipated.
- c. Microfilm series. Elaborate under "Other" Item 13.
- d. Amend Application No. _____ Check One: Change; Supercede; Void

4. Dates of Series

Earliest _____

Latest _____

5. Records Series Title (followed by Title used in office if different)

6. Division and Office Function _____

What is the function of the Division and/or Office in which this records series is created?

7. Records Series Description _____

This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.

Documents relating to:

Included are:

File is arranged:

8. Monthly Reference Rate

How often are records referred to which are:

Frequent (1/wk. or more); Occasional (2 /mo. or more); Infrequent (1/mo. or less)

0-1 yrs.

1-3 yrs.

More than 3 yrs.

9. Volume of Records on Hand: _____

Cubic Feet _____

Filing Equipment:

Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____

1. RECORD SERIES TITLE APPENDIX D	2. AGENCY	3. DIVISION
	4. BUREAU	5. SECTION
	6. LOCATION	
	7. CONTACT (NAME & TELEPHONE NUMBER)	

8. DESCRIPTION (CONTENTS, PURPOSE, AND USE; INCLUDE FORM TITLES AND NUMBERS IF ANY)

9. RECORD SERIES TYPE <input type="checkbox"/> a. Subject <input type="checkbox"/> b. Case <input type="checkbox"/> c. Working Papers <input type="checkbox"/> d. Reference <input type="checkbox"/> e. Index <input type="checkbox"/> f. Other _____	10. CUT-OFF OF RECORD SERIES <input type="checkbox"/> a. Calendar Year <input type="checkbox"/> b. Fiscal Year <input type="checkbox"/> c. Continuous <input type="checkbox"/> d. Other _____	11. HOW FILED <input type="checkbox"/> a. Individual (Loose) <input type="checkbox"/> b. In Folders <input type="checkbox"/> c. Bound <input type="checkbox"/> d. Other _____	12. AUTHORIZATION FOR SERIES <input type="checkbox"/> a. Statute <input type="checkbox"/> b. Regulation <input type="checkbox"/> c. Administrative _____ (Citation)
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3. ARRANGEMENT <input type="checkbox"/> a. Alpha by _____ <input type="checkbox"/> b. Numeric by _____ <input type="checkbox"/> c. Chronological by _____ <input type="checkbox"/> d. Other _____	PLACE AN "X" IN THE PROPER COLUMN (If answer is "yes" explain on reverse side.)	YES	NO
4. SIZE <input type="checkbox"/> a. Letter <input type="checkbox"/> c. Other _____ <input type="checkbox"/> b. Legal	16. ARE THERE COPIES OF THIS RECORD SERIES (OR MAJOR PORTION OF IT) - IN THIS AGENCY? - IN ANOTHER AGENCY?		
	17. DOES THIS RECORD SERIES CONTAIN CLASSIFIED INFORMATION REQUIRING SECURITY HANDLING?		
	18. IS THERE ANY LEGAL REQUIREMENT AFFECTING THE DISPOSAL OF THIS RECORD SERIES?		
	19. DOES THIS RECORD SERIES PROVIDE DATA AS INPUT TO AN EDP FILE?		
5. INCLUSIVE DATES From _____ Thru _____	20. DOES THIS RECORD SERIES CONTAIN DOCUMENTATION PRODUCED AS EDP PRINTOUT?		
	21. IS THIS RECORD SERIES (OR ANY PART OF IT) EVER REPRODUCED ON MICROFILM?		
	22. DOES THIS RECORD SERIES CONTAIN INFORMATION USED IN THE AUDIT PROCESS?		

3. HOLDINGS	VOLUME - TYPE OF SPACE			24. REF. RATE (weekly, monthly, etc.)	25. EQUIPMENT USED (CIRCLE APPROPRIATE SYMBOL) C=Cabinet, T=Trans Files, S=Shelving
	TIME PERIOD	Office	Storage (Indicate office or SRC)		
CURRENT YEAR					C T S OTHER _____
LAST YEAR - THREE YEARS					C T S OTHER _____
PRECEDING YEARS					C T S OTHER _____
TOTAL					C T S OTHER _____

6. RECOMMENDED RETENTION PERIOD INCLUDING "VITAL RECORD" VALUE.	27. INVENTORIED BY-DATE
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APPENDIX E

POSSIBLE ELEMENTS IN AN AGENCY RECORDS DISPOSITION PLAN

- I. Purpose and Application
- II. Records Principles
- III. Retention/Disposition
- IV. Common Records Series and Duplication
- V. Written Files Plan
 - A. Centralized vs. Decentralized Filing System
 - B. Maintenance Procedures
 1. General
 2. Preparing papers for filing
 - a. Completeness
 - b. Unnecessary material
 3. Fastening
 - a. Staples
 - b. Prong fasteners
 4. Assembly of papers
 - a. Separate correspondence
 - b. Unnecessary material
 - c. Related papers
 5. Cross references
 6. Sorting
 7. Use of guides and folders
 - a. Guides
 - b. Folders
 - C. Disposition Procedures
 1. General
 2. Agency inventory
 - a. Form SRC-108 (Records Inventory Worksheet)
 3. Retention/disposition
 - a. Records evaluation
 - (1) Administrative values
 - (2) Fiscal values
 - (3) Legal values
 - (4) Research (historical) values
 4. Changes to retention periods
 - a. Increased retention
 - b. Change from permanent to temporary
 - c. Reduced retention period
 5. Application for Records Control Schedule
 - a. Form SRC-101
 6. Archival appraisal
 - a. Role of Department of Archives & History archivists
 7. State Records Committee authorization
 8. Applying schedules
 9. Interpreting retention periods
 10. Final disposition

1.1.1 Reading Room Access

Researchers requiring special assistance should notify the receptionist at the lobby registration desk. Every effort will be made to accommodate special needs.

Anyone fifteen years of age or older entering the reading rooms of the Department must have a valid **research** card, which is issued upon successful written completion of a card application form. Application for a **research** card is made in person at the **Department of** Archives and History. One of the following forms of photographic identification must be presented with the completed application: **valid** state driver's license, **valid** state-issued identification card, **a valid** school identification card, or **a valid** passport. In the absence of these cards, other valid photographic identification may be considered; however, issuance of a **research** card is not automatic. Individuals who cannot present valid photographic identification will not be issued a **research** card, and consequently cannot enter the reading rooms. Application information, reading room registration, and materials requested are confidential in so far as can be supported by state law (§39-3-365, *MCA 1972*).

Research cards, issued free of charge, are valid for one year from issuance date. There is a \$5.00 fee to issue a replacement card prior to the expiration date.

While the Department encourages and applauds the study of history by researchers of all ages, persons under the age of fifteen must be accompanied by an adult at all times who is responsible for monitoring the behavior of the child. Persons disruptive to the research of others will be asked to leave. No strollers or baby carriers are allowed in the Reading Room.

The Reading Room consists of three research areas: The Public Reading Room, The Media Reading Room, and The Archives Reading Room. Hours of operation **for the Public Reading Room are Monday 9:00-5:00, Tuesday-Friday 8:00-5:00 and Saturday 8:00-1:00.** The Archives Reading Room and the Media Reading Room have the same opening hours but close at 4:30 weekdays and at 12:30 Saturday. The Department of Archives and History is closed for ten holidays: New Year's Day, Martin Luther King/Robert E. Lee Birthday, President's Day, Confederate Memorial Day, Memorial Day, Independence Day, Labor Day, Veterans Day, Thanksgiving, Christmas — and others at the discretion of the Governor.

A researcher must register electronically to gain access to the Reading Room. Registration is accomplished by swiping the **research** card through the turnstile entrance to the Reading Room.

Materials allowed in the Reading Room are pencils, unbound note paper, note cards and tablets, index cards, spiral notebooks without materials in pockets (limit 2), ring binder without materials in pockets (limit 1), small computers (cases must be left in your locker), light wraps such as sweaters and shawls. The use of pens and highlighters in the

Reading Room is not allowed, nor are pressure notecards, such as "post its."

The use of cell phones is restricted to the lobby.

The following items are not allowed to be brought into the Search Room: outer coats, briefcases, purses, waist packs, backpacks, umbrellas, computer cases, envelopes, cameras, scanners or other duplicating equipment. Also, personal books, papers, photographs or other media which could be confused with materials in the Department's holdings may not be brought into the Search Room.

Upon staff request, researchers must allow staff to inspect items upon entering and leaving the reading rooms.

Lockers are provided for storage of items not allowed in the Search Room. The Department has no responsibility for any loss or damage to materials stored in lockers.

No food, drink, or tobacco products are allowed. As a courtesy to our researchers, a vending refreshment area is located off of the lobby.

1.1.1.1 Access to Records

Any researcher possessing a valid registration card has access to any materials normally available to the public.

Retrieval from the closed stacks ends thirty minutes prior to the closing time.

All research materials must be returned no later than fifteen minutes prior to closing time.

Bibliographic access is provided through online public access catalogs (OPACs). OPACS are provided in each reading room. Printouts of bibliographic research may be made at certain of these catalogs at a per page charge.

Physical access to records is provided in one of three reading rooms, depending upon the format of the record. The bibliographic record in the OPACs will indicate the specific room. The Public Reading Room contains open-shelf browsing for published materials, the Media Reading Room provides open-shelf browsing for microform materials and access to audio-visual and electronic material. The Archival Reading Room provides access to archival material, Mississippiana, and rare books. Additional security regulations govern the use of the Archival Reading Room

When finished with materials, researchers should not re-shelve or re-file, but return the materials to designated areas in the reading rooms.

Material may not be written on, altered, folded, traced, or handled in any way likely to damage it. It is unlawful for any person to willfully mutilate library materials, punishable as a misdemeanor with a fine not to exceed five hundred dollars or by imprisonment in the county jail not to exceed six months, or by both (§39-3-309, MCA 1972)

No material may be removed from the room where originally issued. It is unlawful for any person to remove library materials, without authorization, from the premises wherein such materials are maintained or to retain possession of library materials without authorization (§39-3-303, *MCA 1972*) and is punishable as a misdemeanor with a fine not to exceed five hundred dollars or by imprisonment in the county jail not to exceed six months, or by both (§39-3-309, *MCA 1972*)

1.1.1.2 **The Archival Reading Room**

Materials available in the Archival Reading Room are unique archival materials, published Mississippiana and other rare items that are the heart of the collecting and preservation mission of the Department of Archives and History. In most instances, these materials are not available elsewhere. As a result, additional security procedures govern access to these materials.

To enter the Archival Reading Room, a researcher must present the research card to the receptionist on duty at the entrance. The receptionist will confirm that the researcher has requested materials to be delivered to the Archival Reading Room. Once confirmed, the researcher may enter the room. No one can be admitted to this research area without a valid research card.

To receive the requested materials, the researcher presents the research card at the reference desk. The staff member on duty uses the card to check out one container of materials at a time to the researcher. Upon receipt of the container, the researcher must sign the call slip. When finished, the researcher returns the container to the reference desk with the research card, which the staff member uses to check in the material.

To exit the Archival Reading Room researcher must present the research card to the receptionist for confirmation that all materials have been returned and checked in.

Mississippi Department of Archives and History
Archives and Library Division
Reading Room Research Card Application

The Department of Archives and History is charged by statute with the care and custody of its collection (§39-5-1, *MCA 1972*), and the Board of Trustees is empowered to adopt rules for the governance of the Department. (§25-59-9, *MCA 1972*) Anyone fifteen years of age or older entering the reading rooms of the Department must have a valid research card, which is issued upon successful written completion of a card application form. Application for a research card is made in person at the Department of Archives and History. One of the following forms of photographic identification must be present with the completed application: valid state driver's license, valid state-issued identification card, or a valid school identification card. In the absence of these cards, other valid photographic identification may be considered; however, issuance of a research card is not automatic. Individuals who cannot present valid photographic identification will not be issued a research card, and, consequently, cannot enter the reading rooms. Application information, reading room registration, and materials requested are confidential in so far as can be supported by state law (§39-3-365, *MCA 1972*). Research cards issued free of charge are valid for one year from issuance date. **There is a \$5.00 fee to issue a replacement card prior to the expiration date.** The research card can also be used as a debit card for operation of photoduplication machines in the reading rooms. The Department is not responsible for any money remaining on a card that is damaged, lost or stolen.

Researchers requiring special assistance should notify the receptionist at the lobby registration desk. Every effort will be made to accommodate special needs.

Name: _____
(please print)

Street Address _____

Mailing Address (if different) _____

Town _____ State _____ Zip _____

The following information is optional:

Local address _____

Local telephone _____

Staff use only: _____
Identification: _____ driver's license _____ school identification _____ passport:
Id#: _____
_____ other
approved by: _____

There is a \$5.00 fee to issue a replacement card prior to the expiration date.

Public Reading Room Hours

Monday 9:00 a.m.-5:00 p.m.

Tuesday-Friday 8:00 a.m.-5:00 p.m.

Saturday 8:00 a.m.-1:00 p.m.

The Archival Reading Room and the Media Room

close thirty minutes prior to the Public Reading Room.

The reading rooms are normally closed for state holidays.

Mississippi Department of Archives and History
Archives and Library Division
Reading Room Research Card Application

Reading Room Rules

(Failure to abide by these rules may result in the cancellation of Reading Room privileges.)

1. Retrieval from the closed stacks ends thirty minutes prior to the closing time.
2. All research materials must be returned no later than fifteen minutes prior to closing time.
3. The following research support materials are allowed in the reading rooms:

pencils	ring binders without materials in pockets
unbound note paper	laptop computers (no cases)
note cards/pads	light wraps (sweaters/shawls)
spiral notebooks without materials in pockets	

The following items are not allowed to be brought into the Search Room: outer coats, briefcases, purses, waist packs, backpacks, umbrellas, computer cases, envelopes, cameras, scanners or other duplicating equipment. Also, personal books, papers, photographs or other media which could be confused with materials in the Department's holdings may not be brought into the Search Room.. The use of pens and highlighters in the Reading Room is not allowed, nor are pressure notecards, such as "post its."

4. Lockers are provided outside of the reading room for prohibited and other personal items. These lockers are provided as a service and the Department has no responsibility for any loss or damage to materials stored in the lockers.
5. Cell phone operation is prohibited in the reading rooms.
6. When finished with materials, researchers should not re-shelve or re-file, but return the materials to designated areas in the reading rooms.
7. Material may not be written on, altered, folded, traced, or handled in any way likely to damage it. It is unlawful for any person to willfully mutilate library materials, punishable as a misdemeanor with a fine not to exceed five hundred dollars or by imprisonment in the county jail not to exceed six months, or by both (§39-3-309, *MCA 1972*)
8. No material may be removed from the room where originally issued. It is unlawful for any person to remove library materials, without authorization, from the premises wherein such materials are maintained or to retain possession of library materials without authorization (§39-3-303, *MCA 1972*) and is punishable as a misdemeanor with a fine not to exceed five hundred dollars or by imprisonment in the county jail not to exceed six months, or by both (§39-3-309, *MCA 1972*)
9. Persons under the age of fourteen must be accompanied by parent or chaperone at all times. The parent or chaperone is responsible for monitoring the behavior of the persons in their care. Persons disruptive to the research of others will be asked to leave. No strollers or baby carriers are allowed in the Reading Room.

Photoduplication/Copyright

All photoduplication in the Public Reading and Media Reading rooms is done by the individual researcher. All copying machines accept the research card as a debit card. It is the responsibility of the researcher to maintain adequate credit on the card.

All photoduplication in the Archival Reading Room is done by the reference staff, subject to preservation and copyright/donor restrictions. Duplication requests are made using a duplication form available at the reference desk. Pre-payment of the cost of copying is required (§25-61-7(1), *MCA 1972*). The researcher may make payment with the research debit card, personal check, or exact change. In the case of large duplication requests, a down-payment of 75% of the estimated total may be accepted in lieu of total payment; however, the total payment must be made prior to delivery of the duplicated materials.

United States copyright law governs the duplication of copyrighted material. If, in the judgement of the Department of Archives and History, fulfillment of a duplication request would involve a violation of copyright law, the Department will not accept the request. The requesting user accepts full responsibility for the duplicated materials and agrees to indemnify the Department of Archives and History and the State of Mississippi from any damages as a result of said duplicated materials being made available to any persons, organizations or business without appropriate authorization of the Department and/or copyright holder(s).

Permission to reproduce any Department material outside of the fair use provisions of Title 17, U.S. Code, in accordance with the Bern Convention for the Protection of Literary and Artistic Works, should be requested of the director of the Archives and Library Division prior to duplication.

I have provided accurate and correct information regarding my application for a research card. I have also read the conditions of card issuance, the reading room rules, and the copyright and duplication conditions. I understand that my failure to abide by these conditions and rules may result in the cancellation of my research card and any research privileges in the reading rooms. I further understand that the research card is not transferable and that I am responsible for all materials issued through the use of this card.

date

signature

1.2 Copying

The registration card also serves as a debit card for use in paying for photocopies, public orders and computer printouts. A self-service card recharger is available in the OPAC bibliographic area of the Public Reading Room for placing cash value on the card. The reading rooms staff do not make change. The Department is not responsible for any unused money remaining on a research card or on a card that is damaged, lost or stolen, and refunds cannot be made.

1.2.1 The Public Reading Room

Debit card and coin-operated self-service photo-copiers are available in the Public Reading Room. The researcher is responsible for the operation of the machine and the resulting quality of the copies. Printouts of bibliographic research may be made at certain OPACs at a per page charge. These self-service prints can be obtained by using the debit card. Photographic, electronic or other reproduction formats must be requested using the Public Order Form. Duplication charges are set by the MDAH Board of Trustees.

1.2.2 The Media Reading Room

Debit card and coin-operated self-service microform printers are available in the Media Reading Room. The researcher is responsible for the operation of the machine and the resulting quality of the copies. Photographic, electronic or other reproduction formats must be requested using the Public Order Form. Duplication charges are set by the MDAH Board of Trustees.

1.2.3 The Archival Reading Room

All photoduplication in the Archival Reading Room is done by the reference staff, subject to preservation and copyright/donor restrictions. Pre-payment of the cost of copying is required (§25-61-7(1), MCA 1972). The researcher must make payment using his research debit card, personal check, or exact change. In the case of large duplication requests, a down-payment of 75% of the estimated total may be accepted in lieu of total payment; however, the total payment must be made prior to delivery of the duplicated materials.

Requests for photocopies are placed on an order form available at the reference desk.

Dependent upon the size of an order, the fragility of the archival items, and/or the time of day the order is submitted, it is possible that photoduplication requests may not be completed the same day requested. Duplication requests held over may be picked up at the Reference Desk or may be mailed, at researcher postage cost. No completion date can be guaranteed.

United States copyright law governs the duplication of copyrighted material. If, in the judgment of the Department of Archives and History, fulfillment of a duplication request would involve a violation of copyright law, the Department will not accept the request. The requesting user accepts full responsibility for the duplicated materials and agrees to indemnify the Department of Archives and History, Department staff and

the State of Mississippi from any damages as a result of said duplicated materials being made available to any persons, organizations or business without appropriate authorization of the Department and/or copyright holder(s).

Permission to further reproduce any Department material outside of the fair use provisions of Title 17, U.S. Code, in accordance with the Bern Convention for the Protection of Literary and Artistic Works, should be requested of the director of the Archives and Library Division prior to duplication.

Photographic, electronic or other copies must be requested using the Public Order Form. Duplication charges are set by the MDAH Board of Trustees.

1.2.4 Certified Copies

1.2.4.1 Government Records

The Department director will sign the certification statement for copies of records transferred to the Department under the Archives and Records Management Act of 1981. In his absence the Archives and Library division director is authorized to affix the Department director's signature stamp to the certificate and sign his initials and date of action next to the stamped signature

1.2.4.2 Other Records

For materials not covered by the Archives and Records Management Act, the Archives and Library Division director is authorized to sign a certification statement. *ok*

1.2.4.3 Department Seal

The Department seal shall be imprinted upon each signature.

1.2.4.4 Staff Duplication

Division staff must produce all copies that are to be certified.

1.3 Reference Assistance

1.3.1 The Public Reading Room

The Main Reference Desk is located in the center of the room. Reference staff assigned to this location remain at the reference desk. A satellite reference desk is maintained as staffing allows in the bibliographic area.

1.3.2 The Media Reading Room

One reference station is in this room. The primary function of this station is to provide assistance in locating materials in the Media Reading Room and to provide assistance in operating the machinery.

1.3.3 The Archival Reading Room

Reference assistance is available from the Main Reference Desk.

1.4 Telephone Reference Service

The Department maintains a reference desk dedicated to responding to inquiries submitted by telephone, e-mail, and telefacsimile. Hours of operation for this desk correspond to that of the Public Reading Room weekday hours..

Limited reference materials are maintained at the telephone reference desk. Telephone inquiries that can be answered during the course of the telephone

conversation will be answered. All other requests must be submitted in writing. Return telephone calls cannot be made.

1.5 Written Reference Service

All reference requests not answered by telephone must be submitted in writing. Each written request will be allotted up to one hour of staff research time for answering the request. If the request is not answered at the expiration of that time, the original letter along with an explanatory form letter (indicating what was searched) will be sent the requestor, explaining that the request could not be answered in the allotted time; a list of researchers will be enclosed with the requestor being given the option of contracting with them or resubmitting the request to the Department, where it will be placed in the requests queue. (BOT 5/15/1992)

If the request is answered by the Division, and a charge for copies is indicated, the requestor will be notified by form letter of the results of the search and the cost for copies, which cost must be prepaid before the copies are provided. (BOT 5/15/1992)

1.5.1 Reference Fees

There will be no charge for the hour(s) of research provided to citizens of Mississippi. Out-of-state requests will be assessed an hourly charge. This fee must be paid before research begins, regardless of the success of the search. (BOT 5/15/1992) Reference fees are set by the Board of Trustees and are subject to change without notice.

1.5.2 Reference Response Time

When response time for mail reference exceeds six weeks, delay notifications will be sent out upon receipt of all appropriate requests, advising the requestor of the approximate time in which a response can be expected. (BOT 5/15/1992)

The priority of responses to reference requests will be as follows:

Requests for vital records information

Official requests from state government agencies

Other requests (BOT 5/15/1992)³