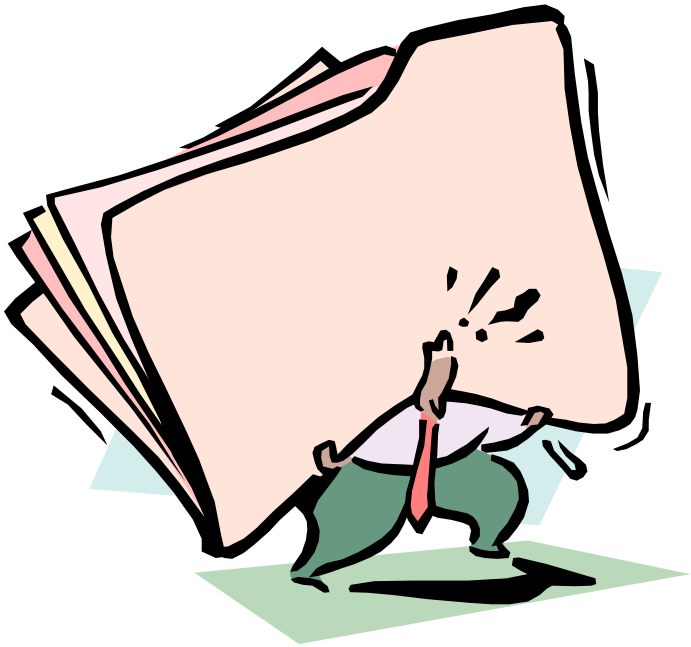

Records Management and You

SC Department of Archives & History Annual Training

October 10, 2018

Erin Lowry, State Records Analyst

Why Records Management Matters

- Citizens have a right to know.
- Records have historical importance.
- Good record keeping makes your job easier.
- It’s the law.

South Carolina Public Records Act

- The legal justification for state records management.
- *Code of Laws of South Carolina*. http://www.scstatehouse.gov/code/t30c001.php

Title 30 - Public Records

CHAPTER 1.

PUBLIC RECORDS, REPORTS AND OFFICIAL DOCUMENTS

What is a Public Body?

- "any department of the State, any state board, commission, agency, and authority, any public or governmental body or political subdivision of the State, …supported in whole or in part by public funds or expending public funds" *Code of Laws of South Carolina, 1976, Section 30-1-10(b)*

What is a Public Record?

(As defined by the SC Freedom of Information Act)

- "includes all books, papers, maps, photographs, cards, tapes, recordings, or other documentary materials regardless of physical form or characteristics prepared, owned, used, in the possession of, or retained by a public body…" *Code of Laws of South Carolina, 1976, Section 30-4-20(c)* as amended aka *The Freedom of Information Act*

Examples

•Record: completed forms, correspondence, maps, drawings, photographs, and reports

•Non-Record: convenience copies for reference, publications not evidence of governmental activities, including catalogues, trade journals, pamphlets, blank forms

Public versus Confidential

- FOIA exemptions
  - SC Code Section 30-4-40
  - Includes “Information of a personal nature where the public disclosure thereof would constitute unreasonable invasion of personal privacy”
- Redaction
  - Use of Records Transmittal Spreadsheet
  - Agency does prior to transfer or advises Archives of restricted/confidential information contained in series

Noteworthy Sections of SC PRA

SECTION 30-1-20. Custodians of records; records officer.

- chief administrative officer
  - Is legal custodian of these records
  - Is responsible for carrying out the duties and responsibilities of this chapter
  - may appoint a records officer to act on his behalf

Noteworthy Sections of SC PRA

SECTION 30-1-30. Unlawful removing, defacing or destroying public records.

- A person who
  - unlawfully removes a public record
  - alters, defaces, mutilates, secretes, or destroys
  - is guilty of a misdemeanor

Noteworthy Sections of SC PRA

SECTION 30-1-40. Records shall be turned over to successor or to Archives.

- A person having
  - custody of public records
  - expiration of his term of office or employment
  - shall deliver to his successor, or if there is none, to the Archives, all public records in his custody

Noteworthy Sections of SC PRA

SECTION 30-1-70. Protection and restoration of records.

- legal custodian shall
  - protect them against deterioration, mutilation, theft, loss, or destruction
  - keep them secure in vaults or rooms having proper ventilation and fire protection

- public records of long term or archival value in danger of loss
  - [may] be transferred to suitable storage…or other necessary preservation measures…"

Noteworthy Sections of SC PRA

SECTION 30-1-90. (A) Archives shall assist in creating, filing and preserving records; inventories and schedules.

- The Archives may
  - examine the condition of public records
  - give advice and assistance to public officials in… creating, filing, preserving, and making available the public records in their custody
  - establish records schedules mandating a time period for the retention of each series of records [which] must be approved by the governing body of…each agency…and by the Director of the Archives

Noteworthy Sections of SC PRA

SECTION 30-1-90. (D) Archives shall assist in creating, filing and preserving records; inventories and schedules.

- Records…in the transaction of public business
  - [must] be disposed of, destroyed, or erased [with] an approved records schedule.
  - [must] be documented and reported in accordance with procedures developed by the Archives

Noteworthy Sections of SC PRA

SECTION 30-1-100. (E) Additional powers and duties of Archives.

- Any public records
  - destroyed or otherwise disposed of in accordance with the procedure authorized in Sections 30-1-90 and 30-1-110
  - Liability [for] custodian shall cease.

Doing the happy dance!

Retention Schedules

- Describes the records, the length of time they should be retained, and indicates their final disposition
- Two types – General and Specific
- Minimum Retention Periods
- “Official” or “Record” copy of a record
- Based on content versus medium

General Schedules

Records common to all
state agencies

Format

- First line – regulation number and series title.
- Part A – Description: statement describing use and informational content
- Part B – Retention: time period indicating minimum length of time records should be retained by agency before their disposition

General Schedule Examples

12-306. Administrative Files (Executive Levels)

A. Description: Document actions of an agency director, deputy director and division directors. Information includes memoranda and reports concerning agency policy, organizational and program development records, non-routine fiscal data, personnel information and related notes. These records reflect administration of policy, coordination of agency functions, and management of program activity.

B. Retention:

(1) Agency: 3 years after fiscal year. Microfilm optional.

(2) State Archives: Selection of needed documentation. Permanent.

12-307. Administrative Reference Files (Non-Executive Levels)

A. Description: Routine office management files retained below the agency director, deputy director and division director levels. Included are memoranda, reports, printed matter and other reference materials. Topics include: job activities, program material, general office information, professional associations, charitable affairs, parking for staff, disaster preparedness, and other related topics.

B. Retention: Until no longer needed for reference; destroy.

12-325. Motor Vehicle Operations And Maintenance Files

A. Description: Files of motor vehicle operations and maintenance. Included are requests for state vehicles, vehicles inspection/use reports, motor vehicle accident reports, motor vehicle inventories, and other related information.

B. Retention: 3 years; destroy.

12-335. Telephone Logs

A. Description: Listing of telephone calls made by agency personnel for a particular time period. Logs reflect date, time, caller, recipient of call, and nature of business discussed.

B. Retention: 3 years and until reconciliation of telephone billing, destroy.

Specific Schedules

Created specifically for your agency

- Agency's name appears on schedule

<u>Create a specific schedule when:</u>

- The record is unique to your agency
- Retentions in General Schedules do not fit your retention needs
- Need to Use State Records Center storage

South Carolina Department of Archives & History
Division of Archives and Records Management

APPROVAL OF RECORDS RETENTION SCHEDULE

In accordance with provisions of Title 30, *Code of Laws of South Carolina, 1976*, Sections 30-1-10 through 30-1-140, as amended, the attached Records Retention Schedule is submitted for approval. This schedule supersedes any previously approved schedule for these same records series.

PART I
Agency

DEPARTMENT OF ARCHIVES AND HISTORY
DIVISION OF HISTORICAL SERVICES
COMPLIANCE AND ECONOMIC INCENTIVES
RECORD GROUP NUMBER: 108

I certify that I am authorized to act for this agency in the disposition of its public records and hereby approve the attached Records Retention Schedule. The schedule meets all legal and audit requirements and the records have no further administrative, fiscal, or legal value to this agency after the expiration of the prescribed retention periods. Records series included in this approval are numbered:

14083

13 January 2005	Bryan F. McKown	Records Officer
Date	Signature of Agency Representative	Title

PART II
Department of Archives and History

The records listed in the attached Records Retention Schedule have been evaluated by this department for their management, research, and permanent value and are approved for retention or disposal as described in this schedule.

13 January 2005	Roy A. Tryon
Date	Director, Department of Archives and History STATE ARCHIVIST AND RECORDS ADMINISTRATOR

ARM-2

DEPARTMENT OF ARCHIVES AND HISTORY Record Group Number: 108

HISTORICAL SERVICES

COMPLIANCE AND ECONOMIC INCENTIVES

14083 FEDERAL SURVEY AND PLANNING/ CERTIFIED LOCAL GOVERNMENT (CLG) GRANTS PRODUCTS

Description

Created by grant recipients in the Federal Survey and Planning/ CLG Development Grants program. These records are the final products of each grant-funded project. Information may include historical, technical, and interpretive material about individual historic properties or groups of properties.

Retention

Agency Office: 1 year.

State Archives: PERMANENT

Supersedes: HP-HP-2

Schedule Approved 13 January 2005

Inventory

- The process of locating, identifying, describing, counting, and measuring all records regardless of medium in office and storage areas
- Use staff familiar with their office records for guidance in describing records
- Label records using General Schedules or create a specific schedule using the Inventory Form

*See Information Leaflet #17: How to Conduct a Records Inventory

Inventory Form (ARM-1)

- Agency staff completes one per record series based on inventory of records
- Records Analyst at Archives drafts a Specific Schedule based on the inventory form
- Final schedule approved by designated Records Officer and Archives Director for implementation

South Carolina Department of Archives and History Division of Archives and Records Management RECORD SERIES INVENTORY FORM	Action Required ☐ Establish Schedule ☐ Revise Schedule *Schedule Number*

TYPE OR PRINT CLEARLY. COMPLETE ONE FORM FOR EACH RECORD SERIES. RECORD GROUP NUMBER:

Section A. Identification of Program Unit and Contact Person

1. State or Local Agency	2. Division or Office
3. Subdivision	4. Program Unit

5. Person Completing Form: (Name) (Title) (Telephone)
(Date)

Section B. Description of Records

6. Record Series (a) Title: (b) Variant Title:	7. Dates of Records (a) Beginning to Ending (b) Missing Dates:
8. Are records still created? ☐yes ☐no	9. Are records indexed? ☐yes ☐no If yes, title and location:

10. Arrangement of Record Series

☐Alphabetically by	☐Chronologically by
☐Numerically by	☐Unarranged
☐Alphanumeric by	☐Other

11. Description of Records
(a) Who creates and/or uses the records and for what purpose?

(b) Informational Content

(c) Value of Records (check all that apply)
☐ Administrative ☐ Legal ☐ Fiscal ☐ Historical ☐ Other

(d) Are these records vital? ☐ yes ☐ no

(e) Reference Frequency times ☐ daily ☐ weekly ☐ monthly ☐ yearly
for __months __years. Never after

SECTION B. DESCRIPTION OF RECORD SERIES (CON'T.)

12(a) Characteristics (check the medium to left of record format):

☐ **Paper**	☐ **Audio Visual**	☐ **Microfilm**	☐ **Computer Machine Readable**
☐ Legal Size	☐ Audiotape	☐ Roll Film	☐ Tape
☐ Letter Size	☐ Motion Picture	☐ Aperture Cards	☐ Disk
☐ Bound Volume	☐ Video Tape	☐ Microfiche	☐ Diskett (Floppy)
☐ Computer Printouts	☐ Photo Print	☐ Jackets	☐ Punch Cards
☐ Maps, Plans,Drawings	☐ Photo Glass		
☐ Publications			
☐ Other			

12(b) Total Volume and Location of Records (by cu. ft.)
Office
State Records Center
Other Storage Specify:

12(c) Total volume generated per year
(Most recent year)

13. Condition of Records: ☐ Good ☐ Fair ☐ Poor
☐ Molded ☐ Dirty ☐ Torn ☐ Other

14. Confidential? ☐ yes ☐ no. If yes, cite authority.

15. Record is
☐ original - Location of duplicate:

☐ duplicate - Location of original:

16. Summarized: ☐ yes ☐ no
Title and Location of Summary Record

SECTION C. PROPOSED RETENTION PERIOD AND DISPOSITION

17. Subject to: ☐ Audit ☐ Sunset Review ☐ Other (specify):

18. Legal retention requirement? ☐ yes ☐ no. If yes, cite authority

19. The proposed retention period for this record series should be implemented as follows (check all that apply)

☐ Retain in program office space for ☐ years months
Transfer to state/local facility for ☐ years months
Transfer to State Records Center for years months

☐ Other (Specify)___

Final Disposition (following completion of retention period)
☐ Destroy ☐ Transfer to State Archives ☐ Transfer to Approved Repository

20. Additional Comments

South Carolina Department of Archives and History Division of Archives and Records Management RECORD SERIES INVENTORY FORM	Action Required ☑ Establish Schedule ☐ Revise Schedule *Schedule Number*

TYPE OR PRINT CLEARLY. COMPLETE ONE FORM FOR EACH RECORD SERIES. RECORD GROUP NUMBER: 132

Section A. Identification of Program Unit and Contact Person

1. State or Local Agency South Carolina Department of Corrections	2. Division or Office Programs and Services
3. Subdivision Substance Abuse	4. Program Unit

5. Person Completing Form: (Name) (Title) (Telephone)
(Date) Donna C. Smith Administrative Spc. 896-8554

Section B. Description of Records

6. Record Series (a) Title: Inmate Referral/Correspondence Log (b) Variant Title:	7. Dates of Records (a) Beginning 7/99 to Ending 2006 (b) Missing Dates:
8. Are records still created? ☑ yes ☐ no	9. Are records indexed? ☑ yes ☐ no If yes, title and location: 3 ring black binder on administrative Specialist Desk

10. Arrangement of Record Series
☐ Alphabetically by
☑ Numerically by
☐ Alphanumeric by
☑ Chronologically by Date.
☐ Unarranged
☐ Other

11. Description of Records
(a) Who creates and/or uses the records and for what purpose? Administrative Specialist creates the Referral/Correspondence Log. This is a list of inmates to be referred to the ATU Program.

(b) Informational Content Inmate's name, number, referral date, log number, referral source, and action taken.

(c) Value of Records (check all that apply)
☑ Administrative ☐ Legal ☐ Fiscal ☐ Historical ☐ Other

(d) Are these records vital? ☐ yes ☑ no

(e) Reference Frequency 3 times ☐ daily ☑ weekly ☐ monthly ☐ yearly
for 3 months ___ years. Never after 3 months Once correspondence is completed that all.

Placement Coordinator
Specific Criteria for eligibility. for this log.
& Review/Screening done by another dept.
If appropriate then it goes to
Inmate is notified — Substance has copy
& others in Inmate jacket

SECTION B. DESCRIPTION OF RECORD SERIES (CON'T.)

12(a) Characteristics and Volume (check the medium and indicate volume to left of record format:

- [x] Paper
- [ ] Legal Size
- [ ] Letter Size
- [ ] Bound Volume
- [ ] Computer Printouts
- [ ] Maps, Plans, Drawings
- [ ] Publications
- [ ] Other

- [ ] Audio Visual
- [ ] Audiotape
- [ ] Motion Picture
- [ ] Video Tape
- [ ] Photo Print
- [ ] Photo Glass

- [ ] Microfilm
- [ ] Roll Film
- [ ] Aperture Cards
- [ ] Microfiche
- [ ] Jackets
- [x] 3 Ring Binder

- [ ] Computer Machine Readable
- [ ] Tape
- [ ] Disk
- [ ] Diskett (Floppy)
- [ ] Punch Cards

12(b) Total Volume and Location of Records (by cu. ft.) 12(c) Total volume generated per year (Most recent year)

? Office: 1/4 Binder on bakers rack

State Records Center

Other Storage Specify:

13. Condition of Records: [x] Good [ ] Fair [ ] Poor
[ ] Molded [ ] Dirty [ ] Torn [ ] Other

14. Confidential? [ ] yes [x] no. If yes, cite authority.

15. Record is
[x] original - Location of duplicate: N/A
[ ] duplicate - Location of original:

16. Summarized: [ ] yes [x] no
Title and Location of Summary Record

SECTION C. PROPOSED RETENTION PERIOD AND DISPOSITION

17. Subject to: [x] Audit [ ] Sunset Review [ ] Other (specify):

18. Legal retention requirement? [ ] yes [x] no. If yes, cite authority

19. The proposed retention period for this record series should be implemented as follows (check all that apply)

[x] Retain in program office space for 1 years months
[ ] Transfer to state/local facility for years months
[x] Transfer to State Records Center for 5 years months

[ ] Other (Specify)___

Final Disposition (following completion of retention period)
[x] Destroy [ ] Transfer to State Archives [ ] Transfer to Approved Repository

20. Additional Comments

Value of Records

- Administrative: Needed to conduct program business and/or daily course of business
- Fiscal: Document receipt, management and expenditure of public funds and usually subject to audit
- Legal: Information on legal rights and obligations of government or its citizens; created or maintained in litigation
- Historical: Document authority and mission; governmental impact on citizens and state's resources

Agency Off-Site Records Storage

Minimum Standards for Facilities which House South Carolina Public Records

- Sound Construction; well-maintained
- Clean; free of vermin; no eating, drinking
- Well-ventilated; no extreme temperature fluctuations
  (+/- 40 degrees and humidity)
- No leaks, flooding or excessive moisture; 3 inches from floor
- Secure; protected (man-made and natural disasters)

State Records Center

Criteria for Storage

- Inactive Records – referred to less than once a month per box
- Series generated at rate of 10 cubic feet or more per year
- Retention for at least 3 years and no more than 10
- Paper records cannot also be filmed or imaged
- Must have retention schedule specifying storage time

Stores records until disposal or permanent transfer to Archives

State Records Center

- Contact: Richie Wiggers
  src@scdah.sc.gov or (803) 898-9980

- boxes and tape (vendors)
- transfer forms
- physical transfer
- reference requests

*See Information Leaflet#14:Storing Records at the State Records Center

State Records Center

Transmittal Spreadsheet

THE SOUTH CAROLINA ARCHIVES & HISTORY CENTER

History & Heritage

For All Generations

SC DEPARTMENT OF ARCHIVES & HISTORY

RECORDS TRANSMITTAL & RECEIPT

Send the original copy of this form to the Records Center:

SOUTH CAROLINA DEPARTMENT OF
ARCHIVES & HISTORY
STATE RECORDS CENTER
1942-A LAUREL STREET
COLUMBIA, SC 29201
FAX: 803-898-9981

1. RECORD GROUP NUMBER

2. ACCESSION NUMBER

3. FROM (Name & address of agency transferring records)

4. NAME OF AGENCY RECORDS OFFICER	5. TELEPHONE	6. DATE RECORDS RECEIVED	7. CUBIC FEET

8. TRANSFERRED BY NAME	9. TELEPHONE	10. SIGNATURE

11. DATE PREPARED	12. # OF BOXES TRANSFEREED	13. SCHEDULE #	14. INCLUSIVE DATES	15. DISPOSITION DATE

16. TITLE OF RECORD SERIES	17. MEDIA TYPE	Paper	Video	Audio	Photos	Printouts	18. RESTRICTED	
		☐	☐	☐	☐	☐	☐ YES	[X] NO

19. SRC BOX #	20. AGENCY BOX #	21. BOX CONTENTS (List beginning and ending files for each box)
	1 of 0	to
	2 of 0	to
	3 of 0	to
	4 of 0	to
	5 of 0	to
	6 of 0	to
	7 of 0	to
	8 of 0	to
	9 of 0	to
	10 of 0	to

Record Destruction

- No public record should be destroyed unless allowed by retention schedule
- Report on Records Destroyed (ARM-11) must be completed by Records Officer and forwarded to Archives
- Agency retains a copy to document legal disposition of records

SC Department of Archives and History
DIVISION OF ARCHIVES & RECORDS MANAGEMENT
REPORT ON RECORDS DESTROYED

1. STATE OR LOCAL AGENCY:
2. RECORD GROUP NUMBER:
3. DIVISION OR OFFICE:
4. DATE (M/D/Y):

5. The records listed below have been disposed of in accordance with provisions of the PUBLIC RECORDS ACT, CODE OF LAWS OF SOUTH CAROLINA, 1976, Sections 30-1-10 through 30-1-140, as amended, and approved Records Retention Schedules.

SIGNATURE OF RECORD OFFICER'S OR REPRESENTATIVE:

6. RECORD SERIES TITLES	7. RECORD SERIES NUMBER	8. INCLUSIVE DATES	9. VOLUME (CuFt/MB)	10. DATE OF DESTRUCTION (M/D/YYYY)
			0.00	Total Volume

Archives & History Online

https://scdah.sc.gov/

Click “Records Management”

https://scdah.sc.gov/records-management

- General Schedules
- Forms
- Information Leaflets
- Laws and Regulations

Questions?

Erin Lowry (803) 896-6128
elowry@scdah.sc.gov