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
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
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
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.
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

Create a specific schedule when:
- 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
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
Signed
Date
Title

Director, Department of Archives and History
STATE ARCHIVIST AND
RECORDS ADMINISTRATOR

ARM-2
DEPARTMENT OF ARCHIVES AND HISTORY
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 January 13, 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**

<table>
<thead>
<tr>
<th>Action Required</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Establish Schedule</td>
<td>☐ Revise Schedule</td>
</tr>
<tr>
<td><strong>Schedule Number</strong></td>
<td></td>
</tr>
</tbody>
</table>

**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) (Date)  
   (Title)  
   (Telephone)

**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  
    ☐ Numerically by  
    ☐ Alphanumeric by  
    ☐ Chronologically by  
    ☐ Unarranged  
    ☐ 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 (CONT.)

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

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

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

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

Specify:

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


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
<table>
<thead>
<tr>
<th>Section A: Identification of Program Unit and Contact Person</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. State or Local Agency</td>
</tr>
<tr>
<td>South Carolina Department of Corrections</td>
</tr>
<tr>
<td>2. Division or Office</td>
</tr>
<tr>
<td>Programs and Services</td>
</tr>
<tr>
<td>3. Subdivision</td>
</tr>
<tr>
<td>Substance Abuse</td>
</tr>
<tr>
<td>4. Program Unit</td>
</tr>
<tr>
<td>5. Person Completing Form: (Name)</td>
</tr>
<tr>
<td>Donna C. Smith</td>
</tr>
<tr>
<td>(Date)</td>
</tr>
<tr>
<td>(Title)</td>
</tr>
<tr>
<td>Administration Spec</td>
</tr>
<tr>
<td>(Telephone)</td>
</tr>
<tr>
<td>916-8354</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section B: Description of Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Record Series</td>
</tr>
<tr>
<td>(a) Title: Inmate Referral/Correspondence Log</td>
</tr>
<tr>
<td>(b) Variant Title:</td>
</tr>
<tr>
<td>7. Dates of Records</td>
</tr>
<tr>
<td>(a) Beginning 1/1996 to Ending 2006</td>
</tr>
<tr>
<td>(b) Missing Dates:</td>
</tr>
<tr>
<td>8. Are records still created?</td>
</tr>
<tr>
<td>✓yes □no</td>
</tr>
<tr>
<td>9. Are records indexed?</td>
</tr>
<tr>
<td>✓yes □no</td>
</tr>
<tr>
<td>If yes, title and location:</td>
</tr>
<tr>
<td>✓bring black binder on administrative specialist</td>
</tr>
<tr>
<td>10. Arrangement of Record Series</td>
</tr>
<tr>
<td>✓Alphabetically by</td>
</tr>
<tr>
<td>□Numerically by</td>
</tr>
<tr>
<td>□Alphanumeric by</td>
</tr>
<tr>
<td>□Chronologically by date</td>
</tr>
<tr>
<td>□Unarranged</td>
</tr>
<tr>
<td>□Other</td>
</tr>
<tr>
<td>11. Description of Records</td>
</tr>
<tr>
<td>(a) Who creates and/or uses the records and for what purpose?</td>
</tr>
<tr>
<td>(b) Informational Content</td>
</tr>
<tr>
<td>Inmate's name, name of referral, date, log number, referral source, and action taken.</td>
</tr>
<tr>
<td>(c) Value of Records (check all that apply)</td>
</tr>
<tr>
<td>✓Administrative □Legal □Fiscal □Historical □Other</td>
</tr>
<tr>
<td>(d) Are these records vital?</td>
</tr>
<tr>
<td>✓yes □no</td>
</tr>
<tr>
<td>(e) Reference Frequency</td>
</tr>
<tr>
<td>3 times □daily □weekly □monthly □yearly</td>
</tr>
<tr>
<td>for 3 months □years. Never after</td>
</tr>
</tbody>
</table>

Placed in: 4/23/96

Record Coordinator: [Signature]

Specific Criteria for Eligibility: [Note]

General Review: [Note]

If appropriate, this copy is to be placed in the inmate's substance abuse file.
12(a) Characteristics and Volume (check the medium and indicate volume to left of record format):

<table>
<thead>
<tr>
<th>Paper</th>
<th>Audio Visual</th>
<th>Microfilm</th>
<th>Computer MachineReadable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal Size</td>
<td>Audiotape</td>
<td>Red Film</td>
<td>Tape</td>
</tr>
<tr>
<td>Letter Size</td>
<td>Motion Picture</td>
<td>aperture Cards</td>
<td>Disk</td>
</tr>
<tr>
<td>Bound Volume</td>
<td>Video Tape</td>
<td>Microfiche</td>
<td>Diskette (Floppy)</td>
</tr>
<tr>
<td>Computer Printouts</td>
<td>Photo Print</td>
<td>Jackets</td>
<td>Punch Cards</td>
</tr>
<tr>
<td>Maps, Plans, Drawings</td>
<td>Photo Glass</td>
<td>She</td>
<td>Other</td>
</tr>
</tbody>
</table>

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

Office:Binder on shelves rack
State Records Center
Other Storage

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


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

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 3 years, months
- [ ] Transfer to state/local facility for 3 years, months
- [ ] Transfer to State Records Center for 3 years, months
- [ ] Other (Specify)_

Final Disposition (following completion of retention period)
- [ ] 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

<table>
<thead>
<tr>
<th>SC DEPARTMENT OF ARCHIVES &amp; HISTORY</th>
<th>RECORDS TRANSMITTAL &amp; RECEIPT</th>
</tr>
</thead>
<tbody>
<tr>
<td>THE SOUTH CAROLINA ARCHIVES &amp; HISTORY CENTER</td>
<td>1. RECORD GROUP NUMBER</td>
</tr>
<tr>
<td>SOUTH CAROLINA DEPARTMENT OF ARCHIVES &amp; HISTORY</td>
<td></td>
</tr>
<tr>
<td>STATE RECORDS CENTER</td>
<td></td>
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<tr>
<td>1942-A LAUREL STREET</td>
<td></td>
</tr>
<tr>
<td>COLUMBIA, SC 29201</td>
<td></td>
</tr>
<tr>
<td>FAX: 803-896-9981</td>
<td></td>
</tr>
</tbody>
</table>

| 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 TRANSFERRED |
| 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 |

<table>
<thead>
<tr>
<th>19. SRC BOX #</th>
<th>20. AGENCY BOX #</th>
<th>21. BOX CONTENTS (List beginning and ending files for each box)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 of 0</td>
<td></td>
<td>to</td>
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<tr>
<td>2 of 0</td>
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<td>to</td>
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<td>3 of 0</td>
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<td>8 of 0</td>
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<td>9 of 0</td>
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<td>10 of 0</td>
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<td>to</td>
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</table>
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
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:

<table>
<thead>
<tr>
<th>6. RECORD SERIES TITLES</th>
<th>7. RECORD SERIES NUMBER</th>
<th>8. INCLUSIVE DATES</th>
<th>9. VOLUME (CuFt/MB)</th>
<th>10. DATE OF DESTRUCTION (M/D/YYYY)</th>
</tr>
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<tbody>
<tr>
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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