



# RECORDS MANAGEMENT

SOUTH CAROLINA DEPARTMENT OF  
ARCHIVES AND HISTORY

# RECORDS MANAGEMENT

**The science that attempts to control the quantity, quality, and cost of recorded information throughout its life cycle.**







# THE SOUTH CAROLINA PUBLIC RECORDS ACT

- **Enacted into law in 1973.**
- **Governs the relationship of the Archives with local governments.**
- **Provides the legal justification for the management of government records**

# 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?

- “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**

# 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 30-1-70. 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.

# OTHER LEGAL CONSIDERATIONS

- Freedom of Information Act (FOIA)
  - FOIA exemptions
    - “Public” vs. “Confidential”
    - Includes “Information of a personal nature where the public disclosure thereof would constitute unreasonable invasion of personal privacy”
- Uniform Electronic Transactions Act (UETA)
  - Elevates electronic records to the same level as paper records

# RETENTION SCHEDULES:

- Describe 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 SCHOOL DISTRICTS



### 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 RETENTION SCHEDULES FOR COUNTY RECORDS

## General Records Retention Schedules for School District Records



South Carolina Department of Archives and History  
Archives and Records Management Division  
8301 Parklane Road  
Columbia, South Carolina 29223-4905



# GENERAL RETENTION SCHEDULES

## **12-901.8. General Correspondence And Subject Files**

**A. Description:** Copies of incoming and outgoing correspondence to and from the office with students, parents, businesses and other government offices and citizens; reports, technical papers, studies, reference materials, and other records created or received in the general administration of a program or in the management of the office. For the purposes of retention scheduling, the files are broken down as follows:

- (1) **Policy and Program Records:** These records document the formulation and adoption of policies and procedures and the implementation or management of the programs or functions of the office or department. Included are such records as correspondence with citizens and government officials regarding policy or procedures development or program administration; annual or ad hoc narrative or statistical reports on program activities, achievements or plans; organizational charts and mission statements; studies regarding department or office operations; circular letters, directives or similar papers addressed to subordinate units or staff concerning policies, procedures or programs; and records related to significant events in which the department or office participated. Records may include photographs, published material, audio tapes, or other record forms.
- (2) **General Administrative Records:** These records are of a general facilitative nature created or received in the course of administering programs. Included are such records as correspondence of a routine or repetitive type, such as requests for information; reference materials, sometimes of a technical nature, used, but not created by, the office; daily, weekly or monthly office activity reports which are summarized in annual reports or which relate to routine activities; personnel data on office staff which are duplicated in Personnel Office files; daily or weekly work assignments for office staff; suspense or follow-up files which duplicate copies of papers filed elsewhere; circular letters, directives or similar papers received from other offices; and rough drafts or notes created in compiling reports or studies.
- (3) **General Housekeeping Files:** These records are of a general "housekeeping" nature created or maintained by an office which do not relate directly to the primary program responsibility of the office. Included are such records as charitable fund raising drive materials; custodial services requests; emergency evacuation procedures; notices of holidays; parking assignment lists; telephone installation requests; and lists showing the distribution of keys.

## **B. Retention:**

- (1) **Policy and Program Records:** Permanent. Microfilm optional.
- (2) **General Administrative Records:** 5 years, then destroy.
- (3) **General Housekeeping Files:** Until no longer needed for reference, then destroy.

# GENERAL RETENTION SCHEDULES

## General Records Retention Schedules for School District Records

### **12-904.5. Payroll Audit Report – Account**

**A. Description:** Record of individual gross pay for each pay period and their yearly gross pay. Information includes date of report, employee name, social security number, date paid, check number, gross pay, and total gross for the year.

**B. Retention:** 3 years, then destroy.

### **12-904.6. Supplemental Audit Report – Account**

**A. Description:** This record is created by the school district payroll department to reflect accrued employee gross by account number and is needed to show the amount of accrued salaries after the fiscal year has been completed. Information includes account number, date of report, date of transaction for accrual and total amount accrued.

**B. Retention:** 3 years, then destroy.

### **12-904.7. Payroll Retirement Files**

**A. Description:** Records the contributions made by employees of the school district to the South Carolina Retirement System. Information includes employee's name, social security number, gross salary distribution, and retirement contribution.

**B. Retention:** 60 years, then destroy.

### **12-904.8. Payroll Check Registers**

**A. Description:** Records payroll checks issued to school district employees and documents tax and insurance deductions and retirement contributions by the employee. Information includes name of employee, social security number, account number, date paid, check number, gross salary, retirement, FICA, federal taxes, state taxes, net salary, insurance deduction, credit union deduction, and year to date gross, retirement, FICA, federal and state tax.

**B. Retention:** 5 years, then destroy.

### **12-904.9. Employee Withholding Certificates**

**A. Description:** These certificates document the number of exemptions to be withheld for each employee. Information includes employee's name, social security numbers, address, number of exemptions, and employee's signature.

**B. Retention:** Until superseded, then destroy.

### **12-904.10. W-2 Summarizations**

**A. Description:** Employer's copy of employee's total earnings and withholdings for the calendar year to be reported to the Internal Revenue Service. Information includes employee name, social security number, gross earnings, non-taxable deductions, retirement, federal tax, state tax, FICA wages and FICA tax.

**B. Retention:** 5 years, then destroy.

### **12-904.11. Voluntary Deductions Summarizations**

**A. Description:** Created to show voluntary deductions, such as contributions to charitable organizations and deferred compensation, to the payroll on an annual basis. Information includes name and amount deducted and name and social security number of person for whom the deduction is made.

**B. Retention:** 3 years, then destroy.

### **12-904.12. Direct Deposit Register**

**A. Description:** Record of employees on direct deposit, as well as a record that the direct deposit was made. Information includes bank number, account number, transaction code, deposit amount, employee number, employee name, bank count, bank total, final count, and final total.

**B. Retention:** 3 years, then destroy.

# UNIQUE RECORDS

**Records not included in the General Retention Schedules.**

**Before destroying unique records, a specific retention schedule must be established and approved by the Archives.**

# SPECIFIC RETENTION SCHEDULES

**Written specifically for your office and your records.**

**The office name is part of the retention schedule.**

**Contains a unique 5-digit schedule number assigned by the Archives.**

**( this number can only be used by your office ).**

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)  
(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):

- |  |   |   |  |
|--|---|---|--|
| <input type="checkbox"/> Paper                 | <input type="checkbox"/> Audio Visual   | <input type="checkbox"/> Microfilm      | <input type="checkbox"/> Computer Machine Readable |
| <input type="checkbox"/> Legal Size            | <input type="checkbox"/> Audiotape      | <input type="checkbox"/> Roll Film      | <input type="checkbox"/> Tape                      |
| <input type="checkbox"/> Letter Size           | <input type="checkbox"/> Motion Picture | <input type="checkbox"/> Aperture Cards | <input type="checkbox"/> Disk                      |
| <input type="checkbox"/> Bound Volume          | <input type="checkbox"/> Video Tape     | <input type="checkbox"/> Microfiche     | <input type="checkbox"/> Diskett (Floppy)          |
| <input type="checkbox"/> Computer Printouts    | <input type="checkbox"/> Photo Print    | <input type="checkbox"/> Jackets        | <input type="checkbox"/> Punch Cards               |
| <input type="checkbox"/> Maps, Plans, Drawings | <input type="checkbox"/> Photo Glass    |   |  |
| <input type="checkbox"/> Publications          |   |   |  |
| <input type="checkbox"/> Other                 |   |   |  |

12(b) Total Volume and Location of Records (by cu. ft.) 12(c) Total volume generated per year  
 Office (Most recent year)  
 State Records Center  
 Other Storage Specify:

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

# COVER APPROVAL FORM



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 — Office or Department

**BAMBERG COUNTY SCHOOL DISTRICT ONE**

Local Government Subdivision

**SCHOOL HEALTH SERVICES – NURSE'S OFFICE**

Office or Department

**2009**

Record Group Number

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: **17882 - 17892**

7-22-19  
Date

Debra B. Sun  
Signature of Approving Authority

Finance Director  
Title

### PART II — Governing Body

I am authorized to act for the governing body of this local government subdivision and certify that the governing body has approved the Records Retention Schedule as described in Part I, above.

7-22-19  
Date

Philip A. Schwartz  
Signature of Approving Authority

Superintendent  
Title

### PART III — 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 the schedule.

7-24-19  
Date

W. L. Emerson  
Director, Department of Archives and History

# SPECIFIC SCHEDULE



South Carolina Department of Archives and History  
Records Management Division

RECORDS  
RETENTION  
SCHEDULE

BAMBERG COUNTY SCHOOL DISTRICT ONE

RECORD GROUP NUMBER: 2009

SCHOOL HEALTH SERVICES - NURSE'S OFFICE

17882 BLOOD SUGAR CHECK LOG  
(Student Blood Sugar Log)

Description:

Documents the number of checks made on a student's blood sugar level each day in accordance with a Doctor's Order. Information includes student name, date of birth, month/year, instructions or comments, date, time blood sugar results, insulin units/site given, time given comments and initials.

Retention:

13 years after the school year in which treatment was administered, then destroy.

17883 CLINIC VISIT LOG  
(Student Nurse Visit)

Description:

Records documenting the students' visits to the clinic. Information includes student's name, date and services rendered.

Retention:

3 years, then destroy.

17884 COMPREHENSIVE HEALTH PERMISSION

Description:

Forms sent to parents/guardians requesting permission for the school to bill for Medicaid services provided to their child. Information includes student's name, date and intent to bill Medicaid for services.

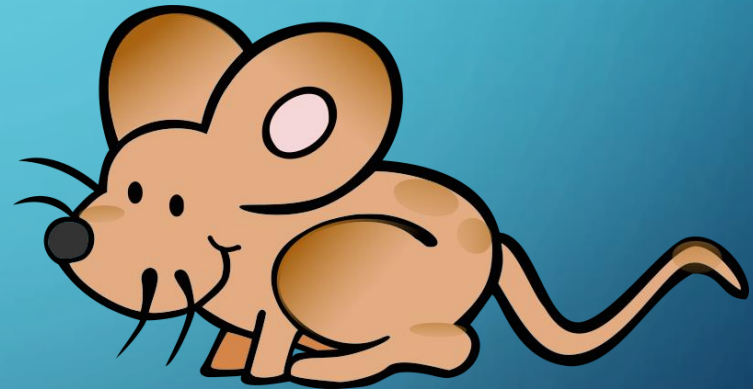
Retention:

Until end of school year, then destroy.



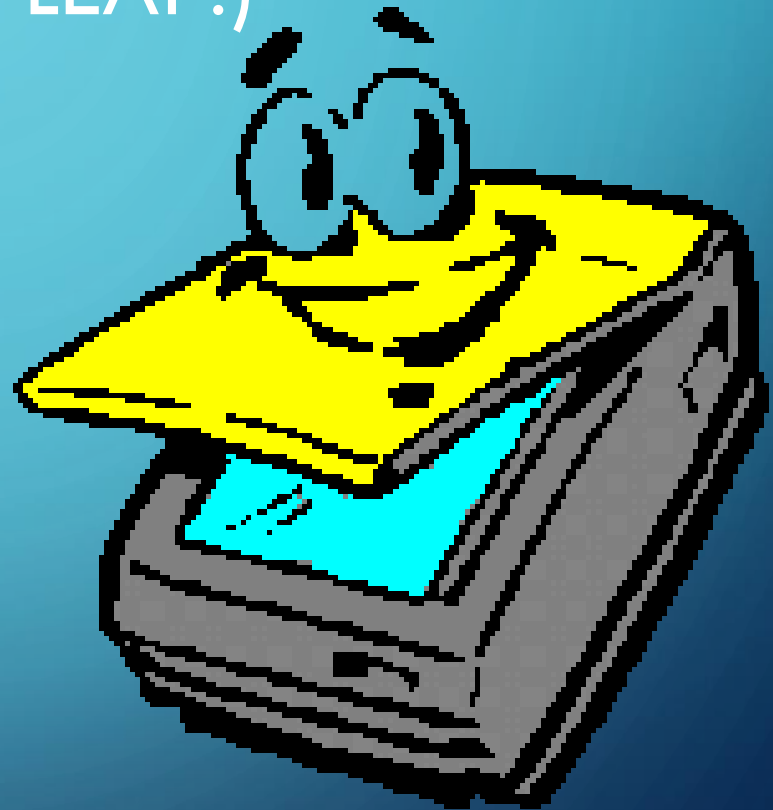
# STORAGE

- Facility Standards
  - Secure
  - Dry
  - Preferably climate controlled with good ventilation
  - Vermin Free
- Access/Privacy
  - For instance, do not keep private information on a shared drive



# DIGITIZATION (LOOK BEFORE YOU LEAP!)

- The process of transferring paper records to electronic records
- Look at your retention schedules **BEFORE** you digitize!
  - What is the retention period?
  - How much room do the physical records occupy?



# ARM-13- AUTHORIZATION FOR DISPOSAL OF ORIGINAL PAPER RECORDS STORED AS DIGITAL IMAGES

<b>SC DEPARTMENT OF ARCHIVES &amp; HISTORY</b> <b>AUTHORIZATION FOR DISPOSAL OF ORIGINAL PAPER RECORDS STORED AS DIGITAL IMAGES</b>		<b>1. RECORD GROUP NUMBER:</b>
<b>RETURN TO:</b> SC Department of Archives & History Records Services Branch 8301 Parklane Road Columbia, SC 29223-4905 Telephone: 803-896-6123 FAX: 803-896-6138		<b>INSTRUCTIONS</b> 1. Complete one form for each record series. 2. Complete all of Part I. 3. Under Part II, check box A or box B, as appropriate, and sign. 4. Send the form to the address at left. 5. Do not destroy the paper records until we return the form to you with Part III completed. 6. Upon receipt of the form, destroy the records, complete Part IV, and retain the form permanently to document the disposal.
<b>PART I - IDENTIFICATION OF RECORD</b>		
2. Name of State Agency or Local Government	3. Name of the Division, Section, or Office	
4. Record Series Title	5. Schedule Number	
6. Inclusive dates of paper records to be destroyed	7. Cubic feet of records to be destroyed (estimate)	
8. Retention period (If less than 10 years, check box A under Part II below. If 10 years or more, check box B.)	9. Is this a vital record? (Essential to the continuity of services during a disaster or to the restoration of daily business when it has been interrupted)  <div style="text-align: right;"> <input type="checkbox"/> YES      <input type="checkbox"/> NO                 </div>	
10. Are security copies of the digital records and indexes being placed in off-site storage?  <div style="text-align: right;"><input type="checkbox"/> YES      <input type="checkbox"/> NO</div>	11. If yes, where are the security copies being stored?	
12. Name of Person Completing Part I	13 Telephone number	

## PART II - CERTIFICATION

### RECORDS WITH A RETENTION PERIOD OF LESS THAN 10 YEARS

- A.  I certify that I am authorized to act for my government body in the retention and disposition of records identified in Part I of this form and that the digital image records have been visually inspected and are legible and correct.

### RECORDS WITH A RETENTION PERIOD OF 10 YEARS OR MORE

- B.  I certify that I am authorized to act for my government body in the retention and disposition of records identified in Part I of this form and that my Agency or local government will comply with items 1-7 on page 2 of Public records information leaflet no. 13, *Public records stored as digital Images: policy statement* (revised 24 June 2005).

14. Name/title of authorized state agency or local government representative:

15. Signature:

16 Date

## PART III - STATE ARCHIVES APPROVAL

17. Disposal of the original (paper) records identified in Part I is

APPROVED                       NOT APPROVED

18. Reason for non-approval

19. Signature of State Archives representative

20. Date

## PART IV - DISPOSAL VERIFICATION

*I have properly disposed of the paper records identified in Part I*

21. Signature of person disposing of records

22. Disposal date.

# LEAFLET #13- PUBLIC RECORDS STORED AS DIGITAL IMAGES

- Ensure the production of appropriate indexes or other finding aids that will provide access to the information contained in the records
- Maintain security copies of the digital records and indexes in a secure off-site location
- Migrate and convert both the working and security copies of the digital records and indexes either every 10 years or sooner if access to them is no longer possible because the digital imaging records system has been upgraded or changed

# LEAFLET #13 (CONTINUED)

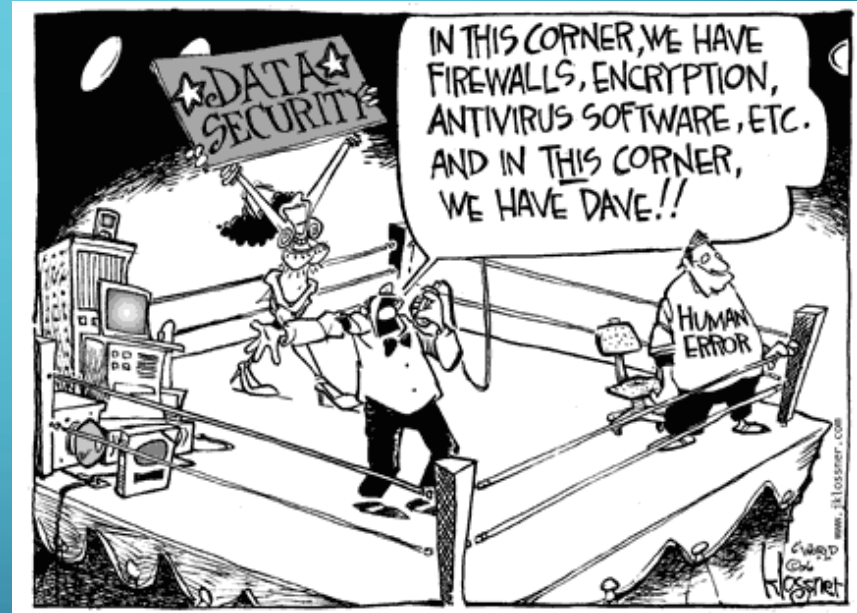
- Sample both the working and security copies of the digital records and indexes at least once a year to make sure the data is still readable and recopy immediately if loss of information is detected
- Certify that the digital image records have been visually inspected and are legible and correct
- Certify that they have established written procedures and maintain written documentation of compliance with 2-5 above
- Obtain an authorization for disposal of original records *in advance* from the South Carolina Department of Archives and History

# RISKS TO ELECTRONIC RECORDS

- Fire
  - From both interior and exterior sources
- Flood
  - Anything from a leaky pipe to a major flood disaster (think SC October 2015)
- Power Surges and Electrical Failures
- Hardware Failure
  - Removable media is fragile
- Hacking
- Computer Viruses
- Software/Hardware Obsolescence
  - Ex. 3 1/2 inch floppy disks
  - Ex. Corel WordPerfect

# HUMAN ERROR!

- Accidental deletions or file overwriting
- Uninstalling or overwriting software
- Use of insufficient passwords
- Improper handling of removable media
- No back-ups





# EDM SYSTEMS

- Benefits
  - Manage documents for you
  - Save employee time
- Questions to ask vendor
  - Is the software proprietary?
  - Is there an option to delete records?
  - What happens if the company ceases to exist?



# CLOUD COMPUTING

- Pro
  - Cheap
  - Convenient (BYOD)
  - Centralized IT support
- Concerns
  - Where is your data?
  - Enforcing retention
  - Truly deleted?
  - Who owns the data?
  - What if it gets hacked?



# E-MAIL AND SOCIAL MEDIA: PLATFORM VS. PUBLIC RECORD

- Microsoft Outlook, G-mail, Facebook, Twitter, Instagram, etc. are platforms.
- There is no one retention period for 'e-mail'
- 'E-mail' is an not individual record series'.
  - **Retention is based on content** and may fall under several different record series'.
- The information produced or shared within the system may be considered a 'public record'
- 'Social Media' will be addressed, and will have multiple retention periods

# DETERMINING THE VALUE OF RECORDS, OR, WHAT WOULD YOU DO WITH IT IF IT WERE PAPER?

- Values of Records

- Administrative
- Fiscal
- Legal
- Historical

- Some of the most common record types in e-mail:

- Correspondence (Executive and Non-executive levels)
- Agendas and/or meeting minutes
- Policy files/directives
- Project files/documents, etc.

# WHAT IS NOT CONSIDERED A PUBLIC RECORD?

- Spam
- Listservs
  - IF the recipient does not respond to the e-mail
- Vendors
  - IF the e-mail is unsolicited and does not result in any follow-up
- Personal e-mails
  - Please DO NOT use a work e-mail to send or receive personal e-mails
- Convenience Copies



# WHO IS RESPONSIBLE FOR E-MAIL?

- Sent from Inside the Agency:
  - If the message is complete and unaltered, the sender can be responsible for maintaining it.
  - If the message is changed or replied to, the receiver (aka the new sender) can be responsible for maintaining it
  - **Note:** if there are multiple replies, between several people, only the final version of the e-mail needs to be kept. Provided that it contains ALL of the replies and the original message.
- Sent from Outside the Agency:
  - It is the responsibility of the person who receives the e-mail.
    - **Note:** If the person receiving the message is not authorized to respond to the e-mail and forwards the message to someone else, the person receiving the forwarded message is responsible for maintaining it.
  - If sent to multiple people, only one copy needs to be kept.

# HOW TO SAVE E-MAIL

- Option 1: Print e-mail
  - Not an ideal solution, but it is still an option
- Option 2: Move the e-mail out of inbox and onto another portion of the server
  - This includes all the body of the e-mail as well as all metadata and attachment(s)
- Option 3: Employ an EDM system to deal with e-mails for you.
  - **Note:** An e-mail inbox is NOT an EDM system. E-mails should not be left in an inbox longer than necessary, especially if an e-mail needs to be retained for a long period of time.
- Option 4: Any mix of the other options.

# SOCIAL MEDIA RETENTION POLICY STARTER QUESTIONS

- Who in the department can access official social media accounts?
  - **Note:** This policy should only apply to official social media accounts. It does not apply to personal social media accounts.
- What retention schedule best describes official social media accounts?
- How will the employee handle comments and replies?
- Can the employee use Likes, Follows, etc.?
- What will the employee do about inappropriate content?



# WHO AND WHAT?

- Who is authorized to use official social media accounts?
  - It is best to authorize fewer people to use official social media accounts. This will help ensure appropriate use of social media.
  - The exception being agencies that maintain multiple accounts in the same platform. Multiple people may be authorized to use the accounts; they should all be made aware of any official social media policy or guidelines.
- What retention schedule best describes official social media use?
  - General Correspondence
  - Subject Files
  - Press Releases
  - Photographs

# PUBLIC INTERACTION

- Decide how the official will handle comments.
  - Telephone
  - E-mail
  - Direct Messaging
  - In the comments thread?
- Likes, Follows, etc.
  - There should be a general policy of neutrality to outside politics and agencies. Keep interaction limited to organizations or agencies within the same field of practice.

# HOW TO HANDLE INAPPROPRIATE CONTENT

- Inappropriate content should be removed in a timely fashion. But, a record of the inappropriate content may be kept elsewhere.
  - If necessary, keep a record of what the content was, what form it was in (post, comment, etc.), what platform it was on and when it was posted. This information can be kept elsewhere on the server, but out of public view.



# QUESTIONS?

Jessica Hills (803) 896-6119

E-Mail: [jhills@scdah.sc.gov](mailto:jhills@scdah.sc.gov)

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