

Accountability Report Transmittal Form

Agency Name: South Carolina Department of Archives and History

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**South Carolina
Department of Archives & History**



**Annual Accountability Report
Fiscal Year 2012-2013**

**The Honorable Nikki R. Haley, Governor
W. Eric Emerson, Ph.D., Director**

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I. Executive Summary

1. Purpose/Mission/Values/Vision

The purpose of the South Carolina Department of Archives and History is to preserve the state's history and document the rights of its citizens.

Our mission is to preserve and promote the documentary and cultural heritage of the state through professional records, historic preservation, and education programs.

To accomplish this mission, the Department of Archives and History will follow these values:

Preservation: *As stewards of the state's documentary and built environment, we strive to balance the daily needs of our citizens with the need to ensure survival of our heritage.*

Public Service: *Our top priority is to serve the people of South Carolina. As stewards of public resources, our responsibility is to listen to, anticipate, and exceed expectations.*

Trust: *We strive to preserve the public's confidence through personal integrity and ethical performance. We promote an environment of mutual trust and cooperation, recognizing the unique contribution of each individual to the agency's mission.*

Professionalism: *We are a staff dedicated to maintaining the highest degree of professional competence while serving customers and colleagues with respect.*

Teamwork: *We appreciate and support fellow workers as we collaborate to accomplish goals and inspire excellence.*

Quality and Continuous Improvement: *We promote excellence and encourage efficiency and effectiveness by pursuing ideas for new and innovative ways to serve our customers.*

Loyalty: *Our primary professional allegiance is to the South Carolina Department of Archives and History. We hold the agency's mission above individual or divisional needs.*

The Department of Archives and History's vision is to be the leader in preserving and advocating on behalf of the state's documentary and cultural heritage and to serve as a model for the nation's other state historical institutions and organizations.

2. Major Achievements in FY2012/2013

Archives Division

The Archives Division recorded the following accomplishments during the past fiscal year, including;

- Hosted 4,376 Research Room visits and answered 7,422 queries from researchers (Email 3,018, telephone 4,057, and letters 347);
- Accessioned 179 cubic feet of records and 39 rolls of microfilm, for a total of 182 cubic feet of records representing 136 record series;
- Scanned and posted 337 historical records to our Online Records Index (<http://www.archivesindex.sc.gov/>), even though Grant funding for this project ended in 2010;
- Continued our agreement with the Generations Network, Inc. to provide a free subscription to Ancestry.com for onsite users of our Research Room;
- Reached 889 state and local officials and members of the general public via building tours and speaking engagements;
- Captured and provided access to state agency websites through the continued use of the non-profit Internet Archive, Inc. This allows the agency to make available snapshots of web sites from most state agencies via the Archives' website: <http://arm.scdah.sc.gov/webarchives/>. In all, the agency crawled 79% of state agency websites and captured 2,957,242 documents for archival retention.

Among the most significant division statistics are the following:

Response Time to Research Room Queries

The agency significantly reduced staff response time to mail and telephone queries received from researchers from an average of 5.4 days per query to 4 days per query. The number of queries received decreased from 7,820 to 7,422.

Digitization of Holdings

The agency now has digitized nearly 215,000 pages of historical records, which are available on the Archives website via our Online Records Index (<http://www.archivesindex.sc.gov/>).

Partnerships with Other State Agencies and the Private Sector

- Continued as a “key partner” with the Partnership Among South Carolina Academic Libraries (PASCAL) by contributing to the digital library of South Carolina history and culture (<http://pascal.sc.org/content/view/26/1/>);
- Continued our partnership with the Fold 3 Network to provide a free subscription to Footnote.com for onsite users of our Research Room;
- The agency continued its participation in a Library of Congress-funded multi-state project to select and preserve archival state agency digital/electronic records. Arizona is the project leader, with participation by Alabama, Florida, New Mexico, Wisconsin, and New York (<http://arm.scdah.sc.gov/erp/grants.htm>)

Records Management Division

The Records Management division had a number of noteworthy program accomplishments, including continuing to upgrade of the State Records Center’s GAIN software, which now provides for better management and security of holdings’ data and improved functionality to provide access via the Internet for state agency clients.

Among the most significant division statistics are the following:

- Nearly 2.4 million pages of historically significant records (in paper and microfilm) were transferred from state and local government offices to the Archives for permanent retention.
- Nearly 24.8 million pages of state agency paper records were transferred to the State Records Center for security storage.
- 87,834 pages were microfilmed.
- 163 million pages of state and local government records were authorized for destruction.
- The division had 3,544 contacts with state and local government officials regarding records management.

By working with state and local governments to set retention limits for records and by providing storage in the State Records Center for inactive, limited-term records from state agencies, the division achieved cost **avoidance to the state of more than \$1,022,030**. Overall, the microfilming and Records Center storage services provided by the Records Management Division are about **55% lower** than those in the private sector.

Historic Preservation

The State Historic Preservation Office (SHPO) organizes its annual work plan around the three broad goals outlined in *Preserving Our Past to Build a Healthy Future: A Historic Preservation Plan for South Carolina 2007-2015*. The plan is available at <http://shpo.sc.gov/prespl.htm>.

Goal: Educate South Carolinians about our heritage and its value.

- Organized the statewide Preservation Conference in Columbia in April, which featured 17 educational sessions and attracted 210 attendees. The conference offered continuing education credits for local planning staff and architectural review board members. In a follow-up survey, 77% rated the event as “Very Useful” to them. See <http://shpo.sc.gov/events/Pages/presconf.aspx> to view the conference program and selected presentations.
- Added to the extensive collection of online historic properties information with new survey reports and National Register of Historic Places listings. Over 162,000 unique visitors used the National Register information on this website <http://www.nationalregister.sc.gov/nrlinks.htm>.
- Assisted in the completion of the report, *Rural Commerce in Context: South Carolina’s Country Stores, 1850-1950*, now available online at <http://shpo.sc.gov/research/Documents/CountryStoresReport.pdf>.
 - Used email newsletters to inform subscribers about historic preservation-related topics:
 - *News and Notes from the State Historic Preservation Office* <http://shpo.sc.gov/pubs/Pages/newsnotes.aspx> (1000 plus subscribers)
 - *News in Review* <http://shpo.sc.gov/programs/revcomp/Pages/NIR.aspx> (300 subscribers)
- Spoke to wide range of audiences about South Carolina’s historic resources and historic preservation programs including presentations at:
 - Florence Library
 - Olanta Library
 - Lunch and Learn (a series offered by the SCDAH Foundation)
 - Daughter’s of American Revolution
 - Edgefield Historical Society
 - SC Hazard Mitigation Conference
 - Holy City Initiative (organized by the Preservation Society of Charleston)
- Spoke to elementary and middle school students in Seneca, students at Dutch Fork High School, and classes at the College of Charleston, Clemson University/College of Charleston, and the University of South Carolina.
- Created lists of historic sites open to the public matched to the SC Social Studies Standards. See <http://shpo.sc.gov/res/Pages/Teachers.aspx>.
- Participated in events around the state including:
 - American College of the Building Arts “Masters of the Building Arts Festival” in Charleston
 - SC Genealogical Society summer meeting
 - Southeast Conference on Historic Sites Archaeology
 - Main Street SC Resource Fair
 - SC Outreach and Educator’s Summit
 - Charlestown Landing Archaeology Conference
 - Rosenwald School Workshop
- Helped produce and distribute the 2012 Archaeology Month poster – “Civil War Shipwrecks in South Carolina”. See <http://artsandsciences.sc.edu/sciaa/archmonth2012.html>.

Goal: Support private stewardship.

- Assisted building owners with the application process for historic rehabilitation income tax credits. Reviewed plans for 15 historic buildings for the state income tax credit for owner-occupied residences and 13 historic buildings for the federal income tax credit for income-producing buildings. See <http://shpo.sc.gov/programs/tax/Pages/default.aspx>.
- Provided a workshop on historic tax credit programs in Columbia and presented at the SC Humanities Council Grants workshop.
- Awarded federal sub grants to assist in the stewardship of historic buildings including the Frogmore Lodge (Beaufort), Granby Mill Village (Columbia), Cheraw Town Hall (Cheraw), Seibels House (Columbia), and Kaminski House (Georgetown). See <http://shpo.sc.gov/programs/Pages/Grants.aspx>.
- Updated lists of Project Professionals that meet the Secretary of the Interior's Professional Qualification Standards in archaeology, historic architecture, architectural history, and history to assist owners with identifying professionals. See <http://shpo.sc.gov/pubs/Pages/profs.aspx>.

Goal: Integrate historic preservation into public policy and planning.

- In partnership with the SC Institute of Archaeology and SC DOT we maintain ArchSite, the state's online GIS-based online cultural resources information system <http://archsite.cas.sc.edu/ArchSite>. ArchSite data is used by a wide range of consultants, developers, researchers and public agency staff as they plan projects-- from road construction to community development to cell tower construction. As of June 30, 2013, ArchSite contained location information on:
 - 26,398 historic structures and 738 historic areas
 - 1,351 National Register listings (including districts)
 - 28,044 archaeology sites
 - 1,796 areas surveyed for cultural resources (above ground and archaeological sites)
- This year, we worked with USC's Geography Department to plan for upgrades to the ArchSite system and launched an interim version in the spring of 2013.
- Worked with the Greenville County Recreation District and Greenville County Historic Preservation Commission to survey historic buildings in Greenville County.
- Provided on-site training and information about historic preservation to local governments including Aiken, Rock Hill, Conway, Blythewood, Bluffton, Abbeville, Ridge Spring, Chesterfield, and Spartanburg.
- 157 individuals received training about preservation ordinances and design review. We are certified by the SC Planning Education Advisory Committee to provide training that meets the annual training requirements for local planning boards required by state law.

In addition to the activities above, the following were carried out in core program areas:

- 11 individual and one historic district National Register of Historic Places nominations were approved by the State Board of Review.
- 207 historic buildings and structures were added to the Statewide Survey of Historic Properties, bringing the total recorded to 73,611. 43% of the state's counties have been comprehensively surveyed for historic properties.

- 55 South Carolina Historical Markers were approved, with 42% recognizing African American history. Attended marker dedications in Columbia, Hartsville, and St. Helena Island.
- 99% of 1,151 reviews of state and federal projects were completed within 30 days, with an average review time of 11 days. Completed eight Memorandums of Agreement to mitigate the adverse effects of federal undertakings on historic properties.
- 4 historic buildings, with a total private investment of \$2.4 million, completed rehabilitation projects assisted by the federal and state historic rehabilitation tax credit programs.
- 3 buildings were stabilized and protected from the weather with matching federal historic preservation grants.
- 33 local governments participated in the Certified Local Government program.

Partnerships with State and Federal Agencies and the Private Sector

- In partnership with the Palmetto Trust for Historic Preservation and the Governor’s Office, sponsored the 19th annual statewide preservation awards program to honor individuals and organizations that made outstanding contributions to preserving the state’s historic resources. See <http://shpo.sc.gov/events/Pages/awards.aspx>.
- Continued to work with the SC African American Heritage Commission, an advisory body to the Department, to support their efforts. Participated in “Preserving Orangeburg African American Buildings, Sites and Culture” organized by the Commission in February, hosted the annual meeting and awards event in March, and hosted a premiere of the PBS documentary “Homegoings” in June at the SC Archives and History Center. See <http://shpo.sc.gov/res/Pages/SCAAHC.aspx>.
- Awarded a grant to the SC Institute of Archaeology and Anthropology to study the Charleston Harbor Stone Fleets and prepare National Register of Historic Places nominations for these Civil-War era sites.
- Worked with a steering committee organized by the AIA SC Chapter on a project to create a state architectural archive. Clemson University Libraries is taking the lead and providing storage space. See <http://libguides.clemson.edu/architecturearchive>. This year we transferred a small collection of historic building plans (all copies, not originals) to the new archive to make the plans more accessible for researchers.

Educational Outreach

Annual Civil War Symposium: The agency, in conjunction with the Confederate Relic Room and Military Museum, The State Museum, and the Historic Columbia Foundation, held its annual Civil War in South Carolina Symposium, which brings scholars to South Carolina to discuss the Civil War and its impact on the state. This year’s symposium focused on the 150th anniversary of the war’s first year.

Annual Preservation Conference: The agency organized the statewide Preservation Conference in Columbia. The one-day event in April attracted 210 attendees and featured 17 educational sessions, and opportunities for networking. See <http://shpo.sc.gov/events/Pages/presconf.aspx> to view selected conference presentations.

3. Key Strategic Goals

The agency is in the fourth year of an extended strategic plan. Our vision, as stated in our plan, is to be the leader in preserving and advocating the state’s documentary and cultural heritage, and to serve as a model for the nation’s other state historical institutions and organizations. Major goals of this plan are as follows:

GOAL I: *To promote and encourage an understanding, appreciation, and preservation of the state’s history and heritage.*

- GOAL II:** *To increase awareness, understanding, and use of the programs of the South Carolina Department of Archives and History.*
- GOAL III:** *To assess needs and identify and secure funding and resources to support the mission of the South Carolina Department of Archives and History.*
- GOAL IV:** *To recruit, hire, retain, and develop the human resources necessary to fulfill the mission of the agency.*
- GOAL V:** *To continue to ensure our journey of excellence by evaluating effectiveness and improving our programs.*
- GOAL VI:** *To increase and enhance preservation of and access to South Carolina state and local government records.*

4. Key Strategic Challenges

- **Mission:** How to preserve the state’s documentary heritage, when the overwhelming majority of those documents will be born digital within the next few years.
- **Operational:** Overcoming the challenges associated with acquiring the staff and digital infrastructure necessary to develop an electronic/digital archive of historically-significant state and local government records.
- **Human Resources:** Managing an agency that has lost nearly 75% of its full-time staff since FY2001 due to budget cuts, and which is increasingly comprised of temporary employees and work-study students.
- **Financial:** Having to rely on generated revenue from facility rentals and the digitization/microfilming program for operating funds (supplies, travel, phone lines, etc.), especially when there are significant quantities of historical records that need to be digitized or filmed for preservation purposes.
- **Community Related Strategic Challenges:** Determining the most efficient and effective way to generate, with limited staffing, an awareness of the value of historic preservation among the general public.

5. Organizational Performance

In compiling information for the accountability report, the agency reviews the immediate past year and compares it with the results from previous years. The preparation of the accountability report therefore allows agency managers to review the past year’s major accomplishments and determine if they align with the agency’s mission and objectives. The accountability report also provides the agency with information that can be used as part of the strategic planning process and to develop annual work plans. Therefore, agency leadership utilizes the report to identify potential areas for improvement.

II. Organizational Profile

1. Main Products and Services and Primary Delivery Methods

- Preservation of, and public access to, South Carolina's historical government records through the Archives' specialized storage facility and on-site Research Room, the agency's website, and the production of digital images and microfilm.
- Contributions to the economical/efficient operation of state and local government through the following: a Records Management program that provides direction and guidance, training, and instruction; identifying/authorizing records for retention/destruction; and, for state agencies, operating a low cost records storage facility for inactive records requiring limited-term retention to meet legal, audit, or administrative requirements.
- Protection of historic properties impacted by federal and some state funded or permitted projects.
- Review planned projects, identify historic properties, evaluate potential impacts, and consult with developers and state and federal agencies to avoid or minimize harm to historic properties.
- Identification and recognition of the state's historic properties. Administration of the Statewide Survey of Historic Properties and providing access to this information through a Geographic Information System (GIS); administration of the National Register of Historic Places and the South Carolina Historical Marker programs.
- Support for private stewardship of historic buildings. Administration of federal and state tax credits for historic rehabilitation projects and federal matching grants; providing technical information and assistance.

2. Key Customers Segments

Key Customers Groups

- citizens
- professional researchers
- state governments
- local governments

- private records repositories
- professional groups

- National Archives
- National Park Service

- owners of historic buildings
- developers
- architects
- contractors

Key Requirements/Expectations

- preservation of and long-term access to essential state and local government records

- technical guidance, assistance, grants, and leadership in archives and records management matters

- Statewide planning and priorities for federal funding/grants to South Carolina

- promotion and administration of federal and state tax incentive programs for the rehabilitation of historic buildings

Key Customers Segments (cont)

- local governments
- state agencies
- federal agencies
- developers
- environmental consultants

- local governments
- state agencies
- federal agencies
- developers
- environmental consultants

- preservation professionals and advocates of historic preservation

- owners of historic properties

- local governments

- state governments
- local governments

Key Requirements/Expectations (cont)

- review of federal and state funded or permitted projects

- administering the statewide survey and providing access to information about the location of historic properties through GIS layers

- providing information about range of preservation topics through e-mail newsletter, preservation conference, workshops, and site visits

- coordination of the National Register of Historic Places program in South Carolina

- providing advice, training, and federal grants to local governments that qualify for the federal Certified Local Government program

- approval to destroy obsolete records, storage and microfilming of eligible records, and recordkeeping guidance and training

3. Stakeholders Not Listed Above

- future generations of South Carolinians (posterity)
- downtown revitalization organizations
- neighborhood organizations
- land-use planners

4. Suppliers and Partners

- State and local government officials
- Archivists and records managers
- Expert consultants
- Film, paper and PC vendors

5. Facilities

The South Carolina Archives & History Center is a state of the art archival and research facility. It houses more than 300 years of the state's priceless historical documents and records. The building at **8301 Parklane Road** serves as the home for the South Carolina Department of Archives and History, the state agency responsible for the care and safekeeping of the state's historical documents and is an unmatched resource for visitors seeking information on South Carolina history, genealogy, and historic preservation. In addition, our **State Records Center** is located at **1942-A Laurel Street** and houses over 80,000 cubic feet of records from state agencies. This location provides low-cost storage of inactive state agency records, reference service as requested by agencies, and arranges for the disposal of records deemed no longer needed as per approved records schedules.

6. Employees

	<u>STAFF</u>	<u>FTEs</u>
➤ UNCLASSIFIED	1	1
➤ CLASSIFIED	38	24
➤ TIME LIMITED	5	
➤ TEMPORARY	8	

7. Regulatory Environment

➤ Federal

National Historic Preservation Act of 1966, as amended, 16 USC 47 et seq

Internal Revenue Code of 1990, as amended, 26 USC 47 (Rehabilitation Credit)

National Historical Publications and Records Commission: Grants and State Historical Records Advisory Boards, 36 CFR Part 1206, Subparts D, E, & F

Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments, 36 CFR Part 1207

➤ State

South Carolina Mining Act, 48-20-40, SC Code of Laws

Coastal Zone Management Act of 1976, as amended, 48-39-150, SC Code of Laws

Protection of State Owned or Leased Historic Properties, 60-12-10, SC Code of Laws

South Carolina Historic Rehabilitation Incentives Act, 12-6-3535, SC Code of Laws

Public Records Act, SC Code of Laws, Sections 30-1-10 through 30-1-180

Special Property Tax Assessments for Rehabilitated Historic Buildings, 4-9-195 and 5-21-140, SC Code of Laws

Archives Act and Civil War Sesquicentennial Advisory Board, SC Code of Laws, 60-11-10 through 180

8. Performance Improvement System

Archives and History initiated a continuous improvement program in the early 1990s, making it one of the first state agencies to do so. Despite the loss of the agency's full-time quality coordinator in 2001 due to budget cuts, the agency still operates under this system. The Quality Improvement Steering Committee, chaired by the director and composed of seven staff members, oversees the employee recognition system and the chartering and monitoring of teams to address specific problems. In addition, the program is well ingrained throughout the agency and frequently teams are developed with the various divisions to handle specific division issues.

9. Organizational Structure

AGENCY HEAD

WILLIAM E EMERSON

RECORDS MANAGEMENT

ARCHIVAL SUPERVISOR

HERBERT R HARRIS

RECORDS ANALYST II

ERIN LOWRY

RECORDS ANALYST II

CAROLYN P SMITH

RECORDS CENTER

RECORDS ANALYST III

RICHIE E WIGGERS

ARCHIVES SERVICES

PROGRAM MANAGER I

STEVEN D TUTTLE

PROCESSING

ARCHIVAL SUPERVISOR

PATRICK MCCAWLEY

REFERENCE

ARCHIVIST IV

WADE H DORSEY

ARCHIVIST III

ROBERT B MURRAY

ARCHIVIST III

CHARLOTTE E SHERRILL ROHR

DIGITIZATION

ARCHIVIST IV

JOSEPH B COLLARS

ADMINISTRATIVE SPECIALIST

KEITH L BARTON

ADMINISTRATIVE SPECIALIST

JAMES DALE CURETON

HISTORIC PRESERVATION

PROGRAM MANAGER I

ELIZABETH M JOHNSON

COMPLIANCE, SURV & TAX

ARCHIVIST IV

JOHN D SYLVEST

ASSOC ARCHITECT

DANIEL B ELSWICK

ARCHIVIST IV

SARAH STEPHENS

ARCHAEOLOGIST II

EMILY DALE

REGISTRATION & GRANTS

ARCHIVAL SUPERVISOR

BRADLEY S SAULS

ARCHIVIST IV

JAMES T POWER

ARCHIVIST IV

ANDREW W CHANDLER

BUDGET & FINANCE

ACCOUNTING/FISCAL MANAGER I

TERRY MULHOLLAND

ACCOUNTANT/FISCAL ANALYST I

HARRIET D GLEATON

HUMAN RESOURCES DEPT

HUMAN RESOURCE MANAGER II

BRENDA C HOUSE

LAW ENFORCEMENT OFFICER I

RAYMOND RICHBURG

COMPUTER SERVICES

INFO RESOURCE CONSULTANT II

PAUL E HARMON

HUNLEY

ADMINISTRATIVE COORDINATOR I

VICTORIA D RUSSO

ADMINISTRATIVE COORDINATOR I

KELLEN CORREIA

ADMINISTRATIVE SPECIALIST II

SHARON C HAMBRICK

ADMINISTRATIVE COORDINATOR I

JOSEPHINE B STARNES

10. Appropriations/Expenditures Chart

See attached chart.

11. Major Program Areas Chart

See attached chart.

III. Elements of Malcolm Baldrige Criteria

1.0 Senior Leadership, Governance, and Social Responsibility

1.1

(a) Senior leaders set, deploy, and ensure two-way communication throughout the organization and with customers and stakeholders to impact short and long term organizational direction and priorities through the EPMS process for employees and by utilizing electronic newsletters and customer surveys to reach and receive feedback from customers and stakeholders. Each employee's EPMS outlines expectations for the review period. During the planning stage interview, the employee and supervisor discuss goals and objectives and arrive at a final document. Most employees are expected to monitor their achievements themselves, consulting with their supervisor quarterly or semi-annually; (b) Performance expectations are clearly outlined in the employee's EPMS. If changes in job duties or expectations are required, the supervisor and employee meet and make the necessary changes. In addition, each division has a yearly work plan that is reviewed at monthly division staff meetings to insure projects are on schedule; (c) Staff meetings bring all of the agency's employees together for updates on ongoing projects, and the director reports on issues of agency-wide interest and, if there is no outside speaker, a staff member describes their responsibilities for the benefit of their fellow employees; (d) Staff members are cognitive of nationally accepted ethics standards required of all employees. The requirements of state ethics regulations are provided and addressed at staff meetings.

1.2

The agency is especially proud of its reputation for excellent customer service. The senior leadership not only encourages staff to take the extra steps necessary to assist our customers, but they practice what they preach. If Dr. Emerson is in the building, he insists on being called if he can assist patrons. Senior leadership also insists that staff members do whatever they can to help visitors and callers receive the help or information they are seeking. Shortly after moving into the Archives and History Center, all staff members whose jobs require frequent contact with the public, were required to attend a workshop that focused on not only meeting the customer's needs, but also going beyond that. During employee recruitment and orientation, the agency's leaders convey our focus on customer satisfaction to employees. Our annual staff awards program recognizes staff members for outstanding customer service.

1.3

We use a variety of techniques to evaluate our impact on the public. The Archives, Records Management, and Historical Services divisions completed extensive planning exercises that included surveys, focus groups, and one-on-one meetings. Informal feedback is also an important aspect of determining the effectiveness of our offerings.

1.4

The senior leadership reviews the agency's budget reports monthly insuring that both income and expenses are on schedule. Agency department heads that are responsible for monitoring budgets within their areas must approve expenditures. The agency director reviews all budget reports monthly and works closely with the director of our budget and finance division to oversee all financial matters.

Any questions regarding potential legal issues are referred to the director, who determines if an opinion is required from the attorney general's office. The agency director must initiate any request for legal advice.

Both the South Carolina Public Records Act and the National Historic Preservation Act require the agency to enforce applicable state and national regulations. Division directors have broad discretionary authority to oversee their areas of responsibility. However, when unusual or potentially controversial issues are involved, the agency director is kept informed of the situation and becomes involved when necessary.

1.5

The agency's senior leadership reviews all of the measures reported in section 7. However, we are most concerned with those upon which we can have an impact. For example, while we would like to have more researchers every year, there are few things, including offering excellent customer service, which we can do to induce researchers to visit our Research Room. We are able, however, to have an impact upon response times to research queries or the time it takes for the agency to process Federal Section 106 reviews. While we are able to report quantitative measures, using charts and graphs, we also monitor informal customer comments that occur outside of formal evaluation processes. The agency's senior staff members interact frequently with our customers in meetings and programs across the state, where customers will comment on how helpful a particular staff member was during their recent trip to the Archives & History Center. The vast majority of these comments are complimentary. Occasionally the staff member will field a negative comment, though such comments are usually based upon the agency not having the document or information needed by the customer, and not on the quality of the service offered by the staff.

1.6

For a number of years, all supervisors were evaluated biannually by their staff members in an anonymous assessment program (Staff Assessment of Management Survey or SAMS). This review covered five key areas: leadership, communication/flexibility, innovation/planning, problem solving/decision-making, and organization/time management. Supervisors integrated the information from the SAMS survey into employee EPMS planning stages, often providing the employee with a training opportunity to address weak areas. Unfortunately, the staff member who implemented the program, our quality coordinator, was lost due to budget cuts, and the agency was unable to complete the SAMS review scheduled in May 2005. The agency hopes to reestablish the SAMS program when there is more budgetary stability.

1.7

The agency developed and implemented a workforce-planning program several years ago. With nearly 50% of the staff eligible to retire within the next five years, it is critical for the senior staff to evaluate staffing needs. This information permits senior staff to plan staffing needs for the next 3 to 5 years with more accuracy than before. In addition, this information also allows senior staff to begin assigning some duties to junior staff members to evaluate their abilities before moving them into a more responsible position. Current budgetary exigencies and ongoing staff reductions have forced the agency to make difficult decisions regarding future staffing needs. The agency director and division managers plan for reductions keeping in mind the agency's long-term effectiveness.

1.8

The agency's senior leadership works through the Quality Improvement Steering Committee to identify and implement improvements. Suggestions for making improvements can originate with any member of the staff and are directed to the QI Steering Committee for action. The Steering Committee develops a plan, perhaps by chartering a team, or by undertaking the evaluation process on its own. For example, the Steering Committee determined that the agency needed to form two other teams to address pertinent agency issues: a

Revenue Team to investigate how to generate needed agency revenue; and an Energy Team to investigate how the agency could save energy.

1.9

One of the primary roles of the Department of Archives and History is providing educational opportunities, not only to the public, but also for staff members.

Senior leaders initiate the necessary steps to insure that staff members have the educational background they need to successfully complete their assigned tasks. For example, when a staff member is promoted into a supervisory position, the immediate supervisor insures that the individual is enrolled in a class teaching supervisory skills as soon as possible. In addition, senior staff members mentor new supervisors during the initial year of their new responsibilities.

1.10

The agency's senior leaders all serve on the agency Quality Improvement Steering Committee. The QI Steering Committee supervises all quality initiatives, empowers QI teams tackling specific process questions and oversees the agency's internal recognition programs. Our recognition program requires that staff members nominate their colleagues for awards and recognition, and senior staff draft nominations and, more importantly, encourage their employees to identify worthy colleagues and submit nominations.

1.11

The agency's senior leadership is actively involved in both national and local professional organizations. We encourage all staff members to engage in projects and organizations that improve our communities. The type and level of involvement depends on the staff members' talents and interests. The agency director, W. Eric Emerson, actively participates in professional and community organizations. Some of the organizations where he is active as a leader include the American Association for State and Local History; SC Heritage Trust Advisory Board; SC Hall of Fame; Drayton Hall Site Council. He also is chair of the SC Civil War Sesquicentennial Advisory Board and has served as the treasurer of the SC Historical Association. The director frequently visits our public Reference Room to talk with researchers, and often patrons ask directly for his help with historical documents and artifacts.

Senior staff members take seriously the department's leadership role in the state's archival and records management communities. Staff members are encouraged to be involved with a number of state professional associations, notably the SC Archival Association and the Palmetto Archives, Library, and Museums Council on Preservation, and the SC Public Records Association. Moreover, the department provides meeting space for those organizations at the SC Archives and History Center. Beyond this professional involvement, the department senior leaders and staff contribute to the wider community. The staff shows leadership within our key communities to include organizations such as the Red Cross, United Way, Community Health Charities, Harvest Hope Food Bank, and literacy groups.

2.0 Strategic Planning

2.1

The agency follows a continuing strategic plan that was created in 2010 and will be revised in 2013. The State Historic Preservation Office developed the state historic preservation plan for the National Park Service that outlines major goals for 2007-2015. Taken together, these two plans outline the major goals of the agency for the coming years.

2.1a

The Department of Archives and History has a number of strengths, including an experienced, knowledgeable, and highly motivated staff that makes customer service a priority. It also is blessed with a state-of-the-art facility to house the state's historical records. This facility also is flexible enough to host a great number and variety of events that supplement the agency's generated revenue. Among the agency's weaknesses is its lack of electronic and digital infrastructure to cope with the ever-burgeoning amount of digital and electronic records that the state's agencies are currently producing. Perhaps the department's greatest opportunities lie in its early recognition of the trend toward digitization and its involvement with pilot projects dealing with digital record ingest and retention. With the knowledge gained from that involvement, the agency is poised to lead other state agencies into the digital age. Undoubtedly, the greatest threat to the agency is the ongoing reduction in the agency's funding, which began in the late 1990s and has yet to abate for an extended period of time. All of the agency's future endeavors hinge on its ability to secure funding for the staff and infrastructure necessary to helping the agency cope with the state's growing number of digital records.

2.1b

As the planning team examines all the data gained in the planning process, it extracts information that will have a financial impact on our agency and presents challenges and risks that the agency will face. Looking toward the future and analyzing our current budgetary environment, the planning team considered how we could maintain current levels of service, search for opportunities to increase revenue, develop new programs, and stay on target with technology initiatives while losing state appropriations. One approach to developing of our current strategies is to search for opportunities for internal and external partnering to maximize our ability to meet customer needs. For example, partnering with the SC State Library has provided us with federal funding, which has allowed us to make our extensive catalog of holdings available to the public and to make nearly 150,000 pages of our historical records available online. Moreover, a recently concluded arrangement with The Generations Network, Inc. is making possible the scanning of additional historical records and cost-free access to the Ancestry.com subscription service for all Archives research patrons. Our participation in a federally-funded project with six other states will allow us to address one of our greatest challenges, providing access to historically-significant state agency records in digital form. Budget cuts imposed in FY2010-11 had a devastating impact on the agency and its ability to fulfill the mandates of the agency's legislation.

2.1c

Shifts in technology are addressed in the strategic plans. For example, for over 100 years the agency has published books and pamphlets about the history of the state. In our planning, we have reviewed the methods of providing information to our customers and have reduced the number of publications that we produce. Now we provide more historical information through our website. The regulatory environment is

continually changing and our challenge is to adjust to those changes as quickly as possible. We have continued to work with agencies to develop agreements to streamline the review process for federally-funded projects.

2.1d

The agency's Human Resources are what link it to the accomplishment of its mission, and therefore, the agency consistently works to develop a Human Resource goal in its Strategic Plan. Because of our veteran workforce, we know our future holds challenges including the possibility of losing great corporate knowledge and skills. During the budget reductions of the past few years, the agency has lost over 50% of its staff. In addition, over the next five year nearly half of our remaining staff, and most of our senior managers, will be eligible to retire. Our goal is to ensure that the agency retains or recruits senior management and technical expertise while maintaining or improving the agency's diversity.

2.1e

The agency has a detailed disaster plan that addresses a wide range of scenarios. The need to protect the tens of millions of documents housed in the archival vaults is of primary importance to insure our organizational continuity.

2.1f

The most recent strategic plans primarily address the ongoing role that the agency plays in insuring the gathering, processing, and availability of the state's official records and the ongoing preservation of the state's historic resources. With the budget reductions of the past six years, the agency is already minimally able to fulfill its legislative mandate. New initiatives in the plan are modest, but they will require additional funding to insure they are completed on time. However, the current planning documents can be extended to complete the necessary goals if funding is not available.

2.2

The strategic plans developed by the agency and SHPO each address the challenges facing their specific areas. For example, the Archives and Records Management divisions partnered with several states, and supported by a federal grant, to build a system to house, preserve, and make accessible to the public archival digital/electronic records from state agencies. At this point, we have received digital/electronic records from the Public Service Commission, the Secretary of State, and the Elections Commission. Other agencies will follow.

2.3

The Archives deploys the strategic plan to all agency employees, as well as patrons of our products and services, and our government partners through our website. The heads of our three divisions deploy annual operational plans at their division level meetings. Utilizing an approach that outlines the work demands of the current fiscal year, the division heads explain how these plans align with our current strategic direction. The agency, state historic preservation, and State Historic Records Advisory Board plans are available on our website.

2.4

Almost all the members of the staff are involved in creating our plans and are familiar with the various goals and objectives. The strategic plan, work plan, and performance measures are developed and monitored by the three major program areas. Regularly scheduled staff meetings are used to develop and track progress in each area, with the senior management team reviewing progress on a regular basis. The strategic plan is available for review by the general public on the agency website.

2.5

Again, the plan was developed after identifying the major challenges facing the agency. Specific goals and objectives were created to address these issues. For example, one of the major issues facing the agency is the uncertainty surrounding electronic records. The plan currently has numerous strategies and objectives that address this concern.

2.6

Plans are reviewed annually by staff and reviewers at NHPRC and the National Park Service. Suggestions from both external and internal comments are incorporated in future planning exercises.

2.7

The agency's strategic plans are located at:

<http://scdah.sc.gov/Documents/Strategic%20Plan%202010-2013.pdf>

State Historic Preservation Office—

<http://shpo.sc.gov/prespl.htm>

3.0 Customer Focus

3.1

As part of each strategic planning process, our agency identifies key customers and stakeholders. Utilizing a cross section of staff, we identify all customers, and proceed to connect them into larger groups by their natural relationships to each other. We then cluster smaller individual constituents into a broader category. For example we may have several state and federal agencies listed, but create a larger segment by simply stating, "State/Federal agencies." By having not only the individual listings of our constituents but broader categories as well, we can align the needs of customers with strategies in our plan to ensure we meet the challenges for service delivery.

Our Archives and Records Management divisions completed a long-range plan for FY2007-FY2011 based on focus group sessions, online surveys, and special studies.

The Historic Preservation division identifies stakeholders and then rates customers on their need for, and use of, our services, their ability to advance goal attainment, and their ability to block goal attainment. As a result, a list of stakeholders is developed and as the division creates their annual plans they not only know who the stakeholders are, but how they will need to work with each group so the goals of the division and agency are met. When new programs are implemented, such as the state tax incentive, we provide workshops across the state to disseminate the information. We also use our website to announce new programs and provide individual staff members' phone numbers and e-mail addresses on our website.

The agency considers determining customer requirements as an ongoing process. One of the primary sources for determining our customer requirements is through the internal and external scans the agency uses when developing our strategic plan. As stated in the strategic planning section, we have involved all staff members, educators, retailers, commissioners, historic preservation organization leaders, government partners, donors, researchers, and 421 citizens representing 42 counties of the state in the process. This, along with data from customer surveys, interviews, educational seminars, participation in national and local organizations, publications, memberships, and our website are all mechanisms for determining the expectations and longer-term needs of not only current, but former and potential customers as well.

3.2

Staff members have daily contact with our key customers. Comments and suggestions by customers are forwarded to the appropriate management staff for consideration. Small changes that assist customers can be made at anytime if approved by the area supervisor. The QI Steering Committee and/or the senior management review major changes that impact more than one area of the agency. If either group feels the need for a detailed study, a quality team is chartered to study the issue and make recommendations.

Many of our customers are genealogists from across the country (and some international), so we depend heavily on our website to provide undated information. There are numerous hot links on the website for customers seeking specific information or assistance. In addition, each staff member's e-mail and direct phone line are listed on the website. Not only does this help customers contact staff members directly, it eliminates the necessity of a staff position dedicated to answering and forwarding phone calls.

3.3

The agency and our customers are becoming more and more dependent on our website to obtain the information they need. From the digitization of archival records to the GIS system developed by the SHPO, our customers depend on our website to provide them with timely and accurate information. As seen in Section 7, visits to the Reference Room are declining, while email queries and hits on our website continue to grow. With the agency's focus on customer service, we receive many more complimentary comments than negative ones. The few negative comments we receive usually are sent to the director by email. (His email address, along with other staff members, is on our website).

3.4

Utilizing formal and informal data collection methods, we measure customer satisfaction with our products and services and improve our processes based on feedback. We periodically use customer survey cards in our reference and facility rental program. The agency frequently receives correspondence complimenting staff members on their excellent customer service and rarely receives letters complaining of poor service.

At all conferences, workshops, and outreach activities we conduct formal written evaluations. Suggestions and comments are viewed by staff and incorporated into the planning process for subsequent programs.

3.5

A major component of each strategic plan is input from customers/stakeholders during focus group sessions. In addition, formal surveys also are used for special issues that we are seeking to address. Finally, we solicit comments and suggestions both from onsite visitors as well as through our website. Once the information is compiled and analyzed, staff members determine if and how to incorporate the information into our operations. For example, state agencies began requesting that we accept electronic records for archived storage. Since we did not have adequate computer storage space, our #1 budget request for FY2008 was for \$218,000 in non-recurring funds for computer equipment. In FY2009 we began participation in a federally-funded, multi-state digital/electronic records project to develop the capacity to accept electronic records from state agencies. For FY 2012/13 the agency once again requested funds for equipment to archive the agency's emails and to improve visitor access to digital collections. We will continue to attempt to enhance the agency's digital infrastructure in the FY 2013/14 budget.

3.6

Customer contact and advocacy of our services to the public is essential to the manner in which the Archives functions. We have a large volume of public contacts through our Reference Room, events held in our meeting spaces, conferences, and workshops. Although customer satisfaction with our products and services are consistently at or above the "good or excellent" rating in all areas of the agency, we continually develop staff skills in the area of customer contact. Staff development has taken place on skills critical to handling customer contacts appropriately. Leadership continually reinforces high expectations for all customers and stakeholders, and we train to meet or exceed those expectations.

The department recognizes its customers in the excellent work they do to advocate the preservation and conservation of our documentary and cultural heritage through a customer awards process. Our Historic Preservation Office, in collaboration with the Palmetto Trust for Historic Preservation and the Governor's Office, give annual preservation awards recognizing individuals, businesses, and architects for projects that have used outstanding preservation techniques. This office also works with the SC Confederation of Historical Societies to recognize individuals and organizations for outstanding programs and projects relating to the state's history and heritage. The department has found that recognizing our partners and communities for their excellent contributions strengthens our relationships and enables us to better perform our mission.

Being a highly utilized public institution that provides mandated and non-mandated services for citizens within and outside the borders of this state, it is imperative that we build loyalty and a positive relationship with all patrons by providing an inviting environment with responsive service and information accessibility. We monitor areas that are mandated such as the Public Records Act, but we seek to build relationships that will increase voluntary compliance to our records management services. We are a model state Archives to many of the nation's comparable state archival institutions, and we have built this reputation through a loyal following and positive referrals.

4.0 Measurement, Analysis, and Knowledge Management

4.1

The South Carolina Department of Archives and History has identified key performance measures that are tracked and reported at the division and agency level. In addition to agency use, the divisions are required to develop strategic plans for the federal government and must remain accountable to our federal partners by reporting performance measures.

The leadership team guides what and how we measure, and it balances measures with customer requirements and federal and state mandates. Processes that directly affect customers are a priority for our measurement system. Cycle-time measures assist in improving efficiency and delivery of service to customers, so we have a number of cycle time measures. Some of these measures are used internally and others are used for multiple external reports. Cycle time for reference requests, development of record retention schedules, and requests from the State Records Center are some examples of measures. Cost avoidance to state agencies for records storage and the number of children reached and instructed on primary document research are examples of measures that are important to us internally but also are required to be reported externally. Other measures depict internal performance for the management of the agency and its programs, such as cost avoidance for in-house publishing, and the number of customers served through workshops, seminars, and conferences. All measures, whether used internally or externally, relate to key services and program mandates presented in our business overview.

Administratively, we measure performance of areas key to our human resource goals and strategies. Some measures include tracking recruiting, hiring, and turnover data, so management can monitor and address retention issues. Employee development is monitored to ensure that we are ahead of the curve with regard to professional skill and management development. Since access to information is key to our stakeholders, we track and measure the use of technology by our customers. One key element of note is that over the last 10 years the number of FTEs at the agency has declined, while our work volume has increased steadily. However, throughout this process we have managed to maintain our commitment to customer service by employing new processes.

We have made efforts to streamline our work processes to compensate for staff reductions. However, only so much can be accomplished by streamlining, and our records management measurements provide a good example of the consequent declines in accomplishments. In 1999 our staff performed surveys of state and local government offices to determine records eligible for destruction, inactive storage, and transfer for permanent storage of historical records at the Archives. We found that state agencies had on hand a total of 557,580 cubic feet (or 1.4 billion pages) of records, of which 12,000 cubic feet of records could be transferred to the Archives for permanent retention as historical records over the next few years. We engaged in a close working relationship with personnel in state agencies to begin the transfer of those eligible records. Unfortunately, as records staff in state agencies have been eliminated and our state records analysts have been reduced from six to one individual, the rate of transfer from state agencies has declined rather than increased. Staff reductions initially resulted in a reduced number of records retention schedules produced and records covered for state agencies and local governments (7.1d), the number of pages of state and local government records authorized for disposal (7.1f), and the cost avoidance made possible through the records management program (7.3c), but as service requests from state agencies and local governments have increased, those numbers are stabilizing (see 7.1d & 7.1f and 7.3c).

4.2

Our performance measures link to our agency strategic plan as well as department operational plans and reports for federally-assisted programs. We are addressing opportunities for monitoring our performance more accurately and consistently at the strategic level. Operational plans are monitored closely at the division level and data is used to project performance, as well as monitor effectiveness of the processes. We are systematically evaluating the effectiveness of the data by looking at how we can measure the outcomes of our processes. Decisions to change or augment processes within the agency are driven by data collection and customer feedback.

This agency also has an outstanding model Intranet. This resource allows our staff to communicate requests for internal services, state and agency policies, track all meeting minutes over the years, view presentations and newsletters, look at our calendar, access agency databases, and even look at a photo directory of staff members. It is an invaluable tool to archive the collective history of our agency, and provides continual access to information that is important for our daily operations.

4.3

While we track the number of visitors to the Reference Room and the number of reference requests received, these are not our most important measures, because in part, they are beyond our control. For example, now that the federal census and other genealogical records are available on the Internet (at a cost), the number of reference visits have declined over the past few years. As we are able to digitize records and make them available on the Internet, we anticipate a decline in patrons in the Reference Room. We do not view this decline in Reference Room research as entirely negative, because our long-range goal is to make state records available to more individuals and access over the Internet is the most efficient method to do that. Nevertheless, communication with our archivists is important for researchers, which is evident from the increase in queries received about our holdings (see 7.1c). It was evident from our statistics and the comments we received that the elimination of night and weekend Reference Room hours made access to our holdings more difficult and sometimes impossible for many citizens. As a result, we closed the Reference Room on Mondays and reopened on Saturdays to serve more South Carolinians. The increasing cost of gasoline also forces many to curtail travel to our reference room.

We believe that our most important measures are those that reflect process time and customer satisfaction; variables that are within our control. Again, by providing faster access to researchers and efficient service, we are fulfilling our goal of providing access to public records.

4.4

Our agency uses comparative data regarding the cost of services to make decisions on services in our Microfilm Labs, Reference Room, Records Center, and Facility Rental programs. We compare the cost of these areas to the private sector and other public institutions to remain cost effective for our constituents and ourselves.

The Department of Archives and History continues to look at what is important to our stakeholders both internally and externally. We develop and implement plans to steer our course and use and evaluate data to inform us how we are performing. We know we have opportunities to increase our effectiveness, and we improve annually by looking at what our data tells us, and ensuring this data supports our environment, our customers, and our priorities for measuring our services.

4.5

The Department of Archives and History has a mature data collection process at the operational level. Our employees are each considered managers of a process they are directly linked with, and therefore are required to collect and report data on a consistent basis. Use of our computer network allows data to be filed, logged, and accessible to the staff members who are linked to particular services and products within the department. In addition, direct contact with our customers gives us qualitative feedback, which we use in conjunction with our statistical data to make more accurate and timely decisions.

4.6

When a better way is found to accomplish something, the division heads oversee the implementation into our regular operating procedures. This might be as simple as assigning a specific task to an individual or it could involve creating a team to evaluate the process and make recommendations to the senior management team. For example, when we started to put photos of National Register properties on our website, we realized that rather than a short synopsis of the historical information, we should put the whole nomination online. A staff team worked through the technical issues involved, recommended the direction, and senior staff approved the plan and allocated funding for graduate students to handle the majority of the work.

4.7

The transfer of organizational knowledge regarding policies, procedures, etc., is accomplished with an excellent orientation program and the posting of all pertinent material on the agency Intranet, our in-house homepage. Likewise, job duties are clearly outlined in an employee's EPMS. More problematic is the unique knowledge required of staff members who work with the collections in the archives. Understanding the history of the various record groups, the kind of information they contain, and how to access that information, is difficult to put in writing and requires working with the records on a daily basis over many years. Most archivists specialize in one area such as court records. The interaction between staff members as they go about their duties provides an opportunity for staff to expand their knowledge of other areas in the collection. We also have one in-house electronic newsletter edited by a division head that not only provides information about agency issues, but also highlights news from national and regional professional organizations as well as new developments in the profession. Additionally, we frequently have staff members present pertinent information to their colleagues after returning from a conference or professional training opportunity, since our current budget limits the number of staff members we are able to send.

The identification of best practices is recognized in our employee recognition program when staff members nominate their colleagues for specific projects or practices. In addition, our membership in national professional groups keeps us abreast of new developments in the profession.

5.0 Workforce Focus

5.1

Archives and History was one of the first state agencies to begin what was then called total quality management, but now is referred to as continuous improvement, etc. For several years, we were fortunate to have a quality coordinator on staff that developed a culture that empowered employees to use their initiative and to work in appropriate teams. Unfortunately, budget cuts saw the loss of this position, but the quality concept and processes remain a focus of the agency. Basically, the agency's philosophy is to hire good people, provide them the training and resources they need to accomplish their job, and then provide only minimal supervision to insure goals and objectives in the strategic plan are the focus of all work.

As mentioned elsewhere, the agency develops annual work plans in each program. All staff members are involved in developing the plan for their area and are thereby empowered to have ownership in its successful completion. When plans involve more than one area, staff members from each area work together across programmatic lines. One of the ways we encourage this is through our employee recognition program. One component of which is a "Saving History Award" given annually to the employee or employees whose work has best demonstrated the agency's goal of preserving the state's history.

5.2

One of our primary goals is to place information online for our customers. Digitization and indexing of information from the SHPO requires a team that includes our IT staff, members of our archival staff, as well as the SHPO staff. Working together, they solve both the technical and intellectual challenges of providing the material in a user-friendly manner.

5.3

Budget cuts over the past several years have severely curtailed agency hiring. Currently our recruiting is accomplished entirely through the state's human resources website. All applications are received and processed electronically. If we are recruiting for a specific archival or preservation skill, we advertise in national professional publications. The supervisor of the position is responsible for reviewing applications, winnowing the list down to the top candidates, conducting phone interviews, scheduling onsite interviews, and making the final selection with the assistance of additional staff. The director has the final approval. As budget circumstances change, retention of new employees will increasingly be a major goal of the agency.

5.4

The Department of Archives and History is currently woefully understaffed. In the late 1980s, the agency had over 125 FTEs. We now have 24 FTEs that are supplemented with part-time employees, volunteers, and graduate assistants. While we have managed to replace some employees with new technologies, many of our work processes, such as processing archival records, still require an individual to manually go through each folder, discard non-pertinent materials, and write a finding aid. As a result we are falling behind in processing and making records available to researchers.

5.5

The management team at Archives utilizes formal and informal methods to motivate employees to their full potential. One underlying element that is critical to our employees is that they have the resources to perform their functions. Through employee feedback the agency has found that without available resources, employees would not be able to reach their full potential to perform and deliver our services and products in the most cost-effective and efficient methods. Another important function of our entire management team is to communicate

effectively to employees. Each work unit holds meetings to monitor work processes, customer feedback, and cross-functional teamwork within the agency, so we can address issues as expeditiously as possible.

Our department works continually to provide an environment that is conducive to collaboration and information sharing and where innovation and initiative are well employed. Although we have a formal suggestion process that is tracked and monitored by our seven-member Quality Steering Committee, and through which teams are chartered, much teamwork takes place at the division work unit level as well. For example, the State Historic Preservation Office has four workgroups organized around key work areas: Tax Incentives, Outreach, Survey, and Review and Compliance.

5.6

a. Our managers always seek to attend training programs that will help them further develop their personal leadership attributes. b. Many state agencies, as well as other training programs, use the meeting facilities in the Archives & History Center. Frequently, we provide our facilities at a reduced rate in exchange for training slots in the program for our staff members. We also take advantage of opportunities offered by professional organizations, at both the state and national level. We encourage all of our staff, but especially our senior managers, to accept leadership positions in professional organizations. Not only do they gain leadership skills, but they also stay abreast of the latest developments in their fields. c. The ethical standards of the agency's managers are developed through training programs offered by the agency, other agencies, and the professional organizations to which they belong. d. Managers are informed of the agency and their area's core competencies and strategic challenges through meetings with senior managers and agency training. Each division director is responsible for developing the annual work plan for their area, monitoring progress throughout the year, and reporting to the agency director and commission regarding that progress.

5.7

It is the responsibility of each program director to insure that their employees have the skills and training necessary to accomplish their jobs. With the current state of our budget and the continual decrease in travel funds it becomes more of a challenge to get staff to national professional conferences and technical training programs. The State Historic Preservation Office has partnered with the National Preservation Institute to offer several professional workshops. In exchange for providing meeting space, the agency receives three free registrations and reduced fees for additional staff. This has allowed us to offer professional development at significantly lower costs. We are able to obtain some training over the Internet, but other skills require out-of-state travel that we are not able to accomplish.

5.8

When staff members obtain a new skill, we insure that they are using that skill in their job. Frequently staff members learn about a new way to accomplish something, find out about the opportunity for training, and then approach their supervisor for the resources to attend the training. Staff members are constantly seeking new ways to do their jobs and are highly motivated to put their learning to work.

5.9

Employee training is vital if we are to achieve our action plan. This is especially true in the area of electronic records, etc. We can not ask employees to do highly-technical work without providing them with the necessary training.

5.10

Currently, we depend on feedback during EPMS reviews and anecdotal information to gain a measure of staff satisfaction with supervisors and the senior leadership. We discontinued our Staff Assessment Management

(SAMS) program due to ongoing budget cuts. We still have the material for the SAMS program, but lack the staff person capable of placing it back in operation.

Over the years Archives and History has only experienced grievances as a result of reductions-in-force following budget reductions. When employees leave the agency, it is usually to advance their careers because of the limited opportunities for vertical advancement in a small agency. Whenever possible we promote from within, thereby, recognizing the capabilities of our staff.

5.11
Motivating staff to achieve their full potential is an ongoing challenge. The vast majority of our staff members sincerely enjoy what they do—they work at Archives & History because they like history enjoy the opportunity to work with historic documents and buildings, and believe that they can make a difference in helping preserve the state’s heritage. The greatest challenge to that motivation comes from budget reductions that necessitate the elimination of staff. We have 80% fewer employees than we did in 1987, and our state appropriated budget for FY12/13 was \$2.2 million, less than the amount the agency received from the state general fund in 1987. What keeps our employees performing at a high level is the affinity for their work and their knowledge that they are preserving South Carolina’s past for future generations.

5.12
The Quality Improvement Steering Committee is our instrument for gauging employee morale. Suggestions for improvements are made to the QI Steering Committee and if necessary, a team is chartered to study the suggestion and make recommendations. A variety of informal measurements are utilized, including an opportunity for staff to comment on issues during their EPMS meetings. In addition, the director encourages questions at staff meetings, and allows staff to ask questions in writing if they wish to remain anonymous. The agency’s retention level is high and the only grievances during the past several years came after our RIF process—all of which were denied.

5.13
Most of the agency’s staff have multiple sets of skills in their field and are always ready to share those with other staff members. Whenever possible we identify employees with the necessary skills to move into higher positions within the agency and provide them with training so they will be ready when the opportunity comes. We prefer to promote from within whenever possible because we know that the individual already fits into the agency’s culture.

5.14
The agency seeks to provide a safe, secure, and healthy workplace for our employees, and our visitors. We have plans developed by chartered teams that insure agency security measures and disaster preparedness plans. This information is provided to all employees through mandatory training sessions. As mentioned, we provide Hazardous Communications (OSHA) training to all staff members to ensure their awareness to and maintenance of a safe environment. We also have staff volunteers certified annually in CPR and First Aid to be prepared to assist with any emergencies. We try to promote a healthy environment. In addition, we are a smoke-free workplace.

Because the agency is responsible for the permanent protection of the state’s public records, we maintain and regularly update a detailed disaster plan that addresses all possible contingencies. After insuring the safety of the staff and visitors to the Archives and History Center, the disaster plan addresses the steps necessary to protect the collection from damage. If damage has already occurred, the plan outlines the steps to minimize the

damage and/or recover the information contained in damaged records. Members of the staff are assigned specific duties depending on the type of disaster.

6.0 Process Management

6.1

The concept of competitive advantage in our market is not one that is applicable to the SC Department of Archives & History, because we are the only entity that provides access to the state's public records and oversees preservation services in the state. Our core competencies focus on providing expertise to researchers and assistance to citizens seeking to take advantage of the provisions of the National Historic Preservation Act. Maintaining our high level of skills is key to our mission—providing information to our customers. The agency's action plans are developed annually focusing on improving our ability to provide information and services to our customers.

6.2

In the Archives and Records Management divisions, our key work processes consist of a detailed knowledge of the state's history, a thorough familiarity with the archival collection, and the ability to relate these to solve research problems for our customers. In the State Historic Preservation Office, core competencies include an understanding of all of the provisions of the National Historic Preservation Act, knowledge of architectural history and related construction technologies, and the ability to apply these to solve customer problems. A primary consideration in the SHPO area is timeliness of action to insure a rapid reply to queries and applications.

6.3

Effective use of technology has been a priority in our agency for the past several years in addressing key process design and delivery systems. Our customers continue to expect the agency to become more technologically adept by providing increased access to our services through our agency website and providing access to descriptions of our collections. Because of the budget cuts, our collection is publicly accessible only 42.5 hours a week. Knowing how important access is to detailed collections information, we worked through the State Library to obtain a federal grant that enabled us to put our collections catalog online by mid-FY2009. Researchers are able to determine online if the Archives contain records groups that might be useful in their research. The National Register of Historic Places contains over 1,400 individually-listed South Carolina properties, and for each listing we hold extensive research files and photographs. This wealth of information is available online thanks to a grant from the South Carolina Department of Transportation and the Federal Highway Administration.

Our Historic Preservation division has analyzed the key services it delivers and has organized work teams to involve those staff members that have an impact on service delivery and a stake in the outcomes. Teams include Review and Compliance, Outreach, Tax Incentives, and Survey. The team leaders from each of these groups then meet to form a planning group for the ongoing monitoring and communication of performance, complaint management, and process review.

6.4

Since the implementation of continuous improvement, the agency has shown continual growth in the way processes are managed and improved. We have gone from an agency where formally chartered teams all came through the Quality Steering Committee, to now having natural work teams, cross-functional committees, and leadership drafting charters for improvement of processes with the agency. All of this is an outcome of our long-term effort to use the results from customer feedback and satisfaction, planning efforts, and performance management to increase the effectiveness of our systems.

Over the past few years, the agency made steady progress in determining our key measures. We looked at feedback from customers from surveys, consultant reports, SWOT analyses, and focus groups to determine customer needs, and have a solid set of internal and external reporting measures to monitor how we are meeting these requirements. Our directors of Archives, Records Management, and Historic Preservation divisions have examined the data they collect and have made efforts to finely tune how they collect data to better reflect outcomes, rather than outputs. As mentioned in 4.1, operational plans are monitored closely at the division and unit level and data is used to project performance as well as monitor effectiveness of our processes.

6.5

Senior staff members monitor key processes on a regular basis. Monthly reports provide senior staff with information regarding regular workflow. For example, an accessions report is completed each month by the accessions archivist and posted on the agency in-house home page, insuring that all staff members have an opportunity to review what records were received that they might need to utilize in their normal job duties.

6.6

One key support process in our agency is the Budget & Finance unit. This group and affected work units worked together to improve the agency's internal methods for billing processes and was chartered to evaluate our billable services to increase consistency in the billing/invoicing of services. We have implemented improved databases to ensure consistency of information between these billable service areas and our budget and finance office. After charting all methods used by the work units to create internal work orders for budget and finance to invoice customers, there were too many methods being used. As part of this we have identified the elements necessary to meet state requirements, and customer needs for invoicing. Reporting procedures have been deployed between work units for this process, as well as internal policies for reporting, to ensure consistent flow of information. We have migrated to the new state accounting system. The agency transited to SCEIS on November 1, 2010. The SCEIS Accounts Receivable module has the capabilities to generate invoices, display customer master records, and display accounts receivable. A new general ledger system has been implemented which enables the agency to track items according to cost centers and functional areas.

Another key support process is the administration of our computer system and network. Because we rely heavily on our computer systems, without our network administrator we would not be fully functional in our building. Each year, our Computer Services staff member develops a technology plan for needed system upgrades, and targets and prioritizes improvements in our system. The plans are based on feedback and priorities from our division-level managers and align with their operational plans for the coming year.

6.7

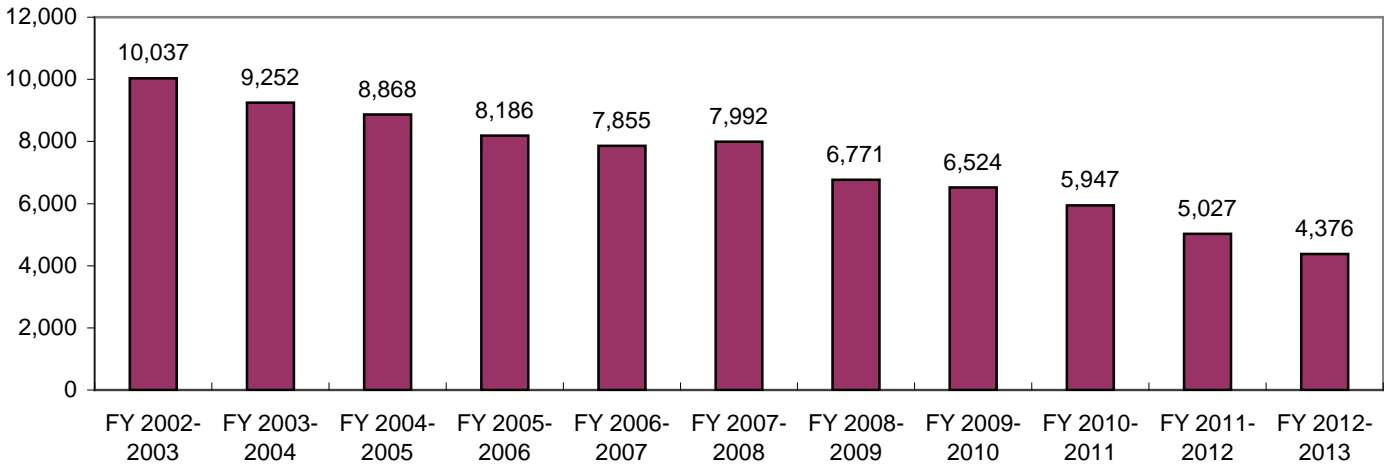
The agency's senior staff members continually monitor advances in our field to insure that we are utilizing the most recent advances and technologies. We request funds during our yearly budget cycle, but usually have to seek funds from other sources. We have sought and successfully received grants from the National Historical Publications and Records Commission and the South Carolina State Library (federal grant funds) to acquire hardware and software. We also have received funds from the SCDOT and the U. S. Department of Energy to provide staff members in the SHPO to focus on reviewing projects in their areas. However, we consider all of these as stopgap measures and not a replacement for ongoing state funds to meet an ongoing mandated program.

7.0 Results

7.1 Mission Accomplishment

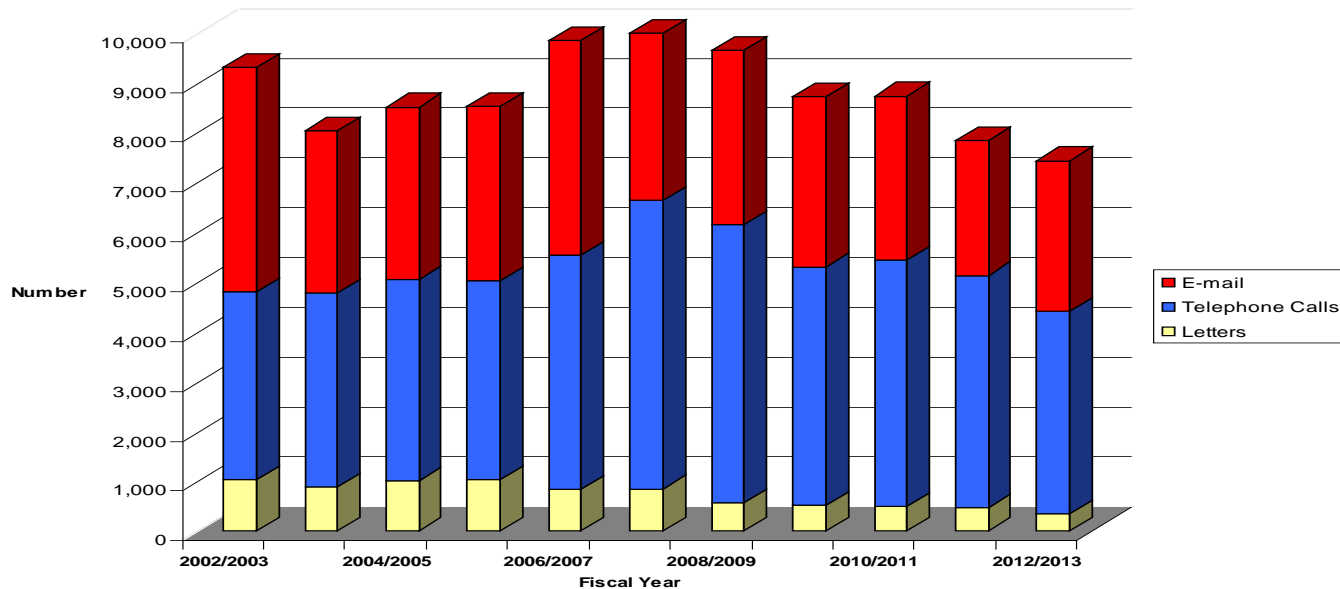
a. Measure Definition: In April 2002 the Archives reduced the hours of public access to the Reference Room, eliminating evening and weekend hours as a result of budget cuts. This resulted in reduced reference room visits. Thanks to an appropriation in FY2007, the Archives hired two archivists, who were needed to open the Reference Room on Saturday beginning in January 2008. During FY 2008, the Reference Room had a total of 1,174 visits on Saturdays (an average of 23 visitors per Saturday) and, despite the dramatic rise in the cost of gasoline, the overall visits to the Reference Room throughout the fiscal year remained steady relative to prior years. This stabilization in the number of visits was reversed by a mid-year budget cut in FY2009, which resulted in the loss of two Reference Room staff members and the suspension of public access on Saturdays. On August 14, 2010, the agency closed to the public on Mondays and re-implemented Saturday hours. The significant decline in on-site visitation over the past few years reflects not only the impact of budget cuts, but also the rapid increase of online research materials.

Chart 7.1a-Reference Room Visits



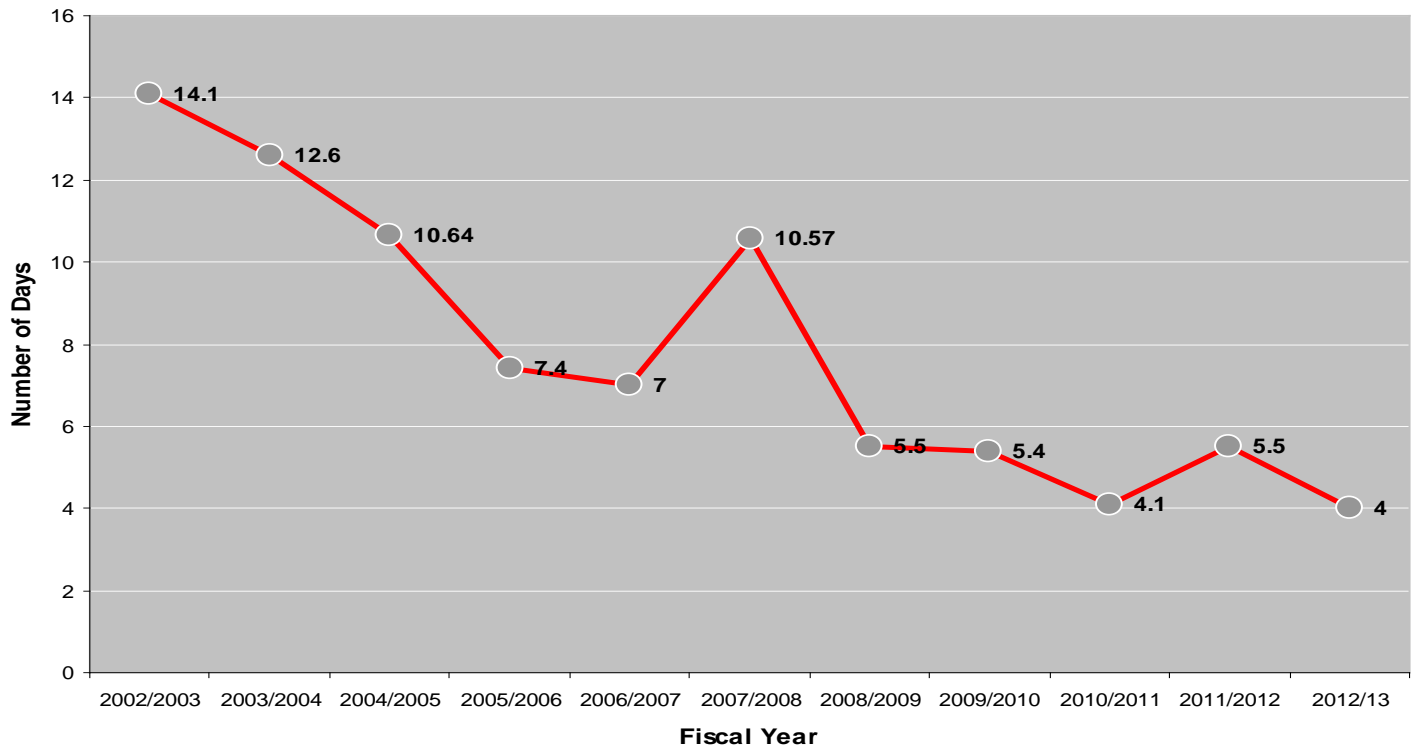
b. Measure Definition: Our reference queries (via mail, telephone, and e-mail), which had reached levels not seen since FY 2001/2002, have declined since FY 2007. This reflects the long term impact of the recession on researchers, as well as the rapid increase in the amount of research materials that are available online.

Chart 7.1b-Reference Room Contact Information



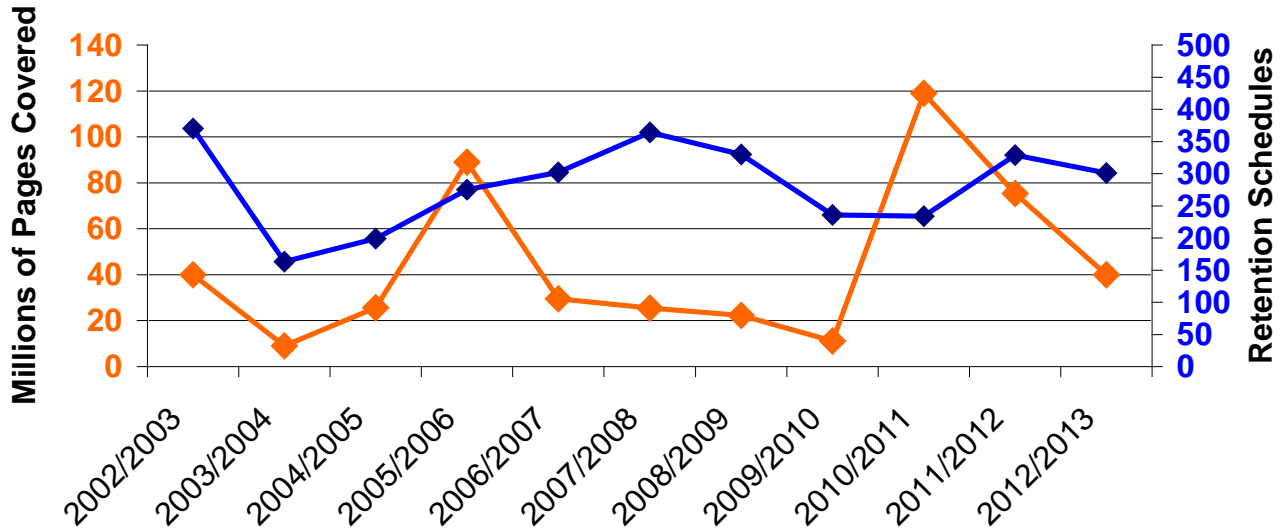
c. Measure Definition: For the past year the response time fell to a record low of 4.0 days from the previous low of 4.1 days, despite a continuing high level of requests. Two significant factors in the past improvement in response times are fewer on-site patrons and a focus on generating revenue through reference queries.

Chart 7.1c-Reference Services: Response Time for Reference Queries



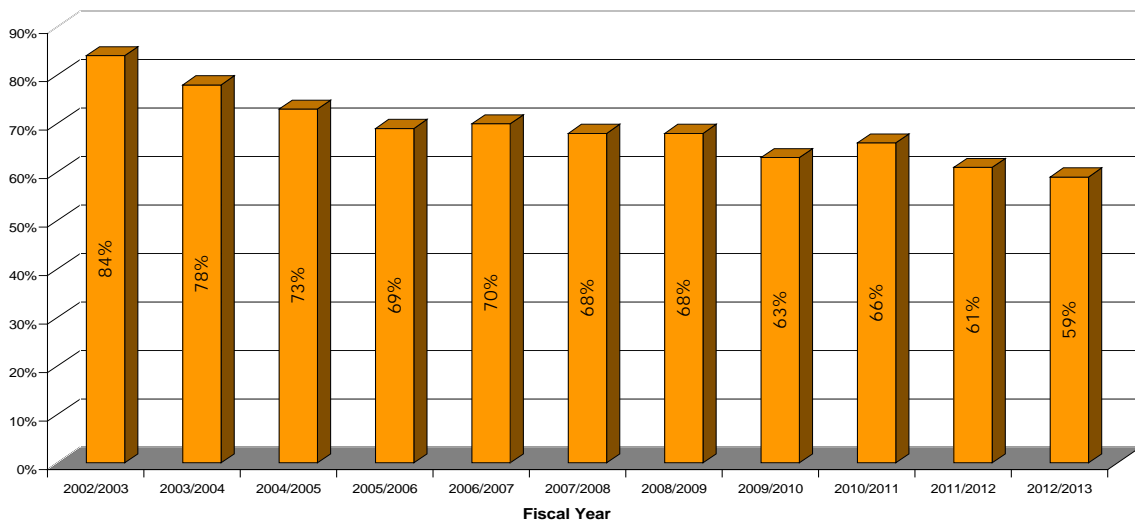
d. Measure Definition: Approving the disposition of state and local government records through records retention schedules is a mandated program of the Department of Archives and History. Over the past several years, the Archives' records analysis staff has been reduced by more than 50%, with a consequent decline in the number of records retention schedules being developed and approved. In 2012/2013 both the number of retention schedules developed and the amount of pages covered declined from the previous year.

Chart 7.1d- Records Retention Schedules Prepared for State Agencies and Local Governments



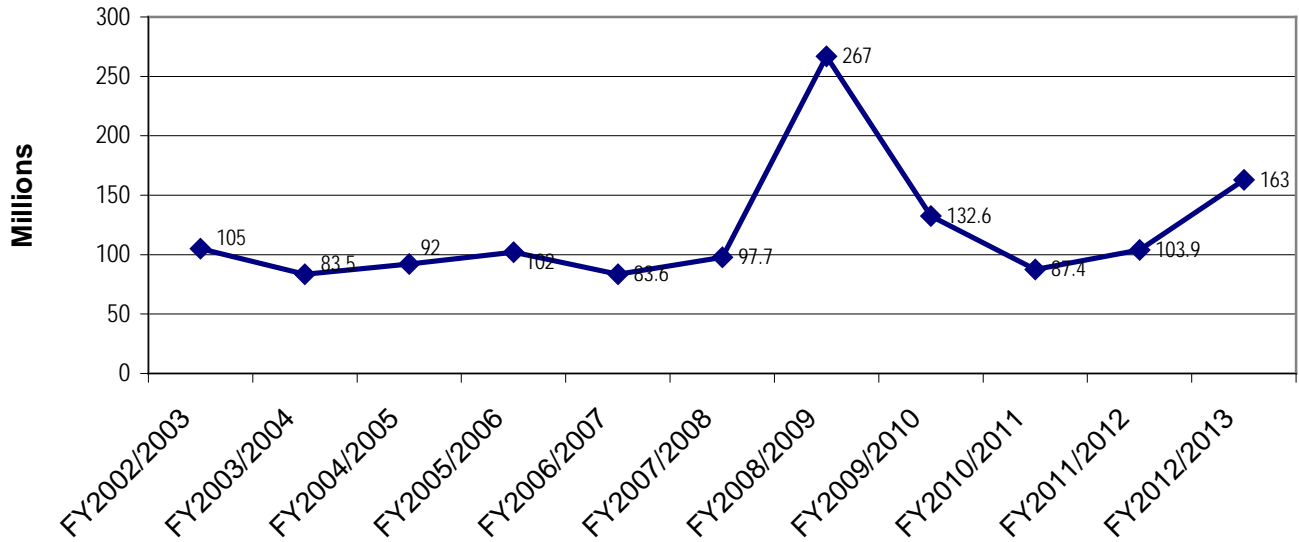
e. Measure Definition: The percentage of state agencies implementing records retention schedules had been over 70% until FY 2006, and this figure has been declining since that time. The number of weeks it takes to approve a records retention schedule has remained constant since FY95/96. Since 1996, we have tracked the percent completed within two weeks; for FY 2012/2013 it was 92%.

Chart 7.1e-Percent of State Agencies Implementing Records Retention Schedules



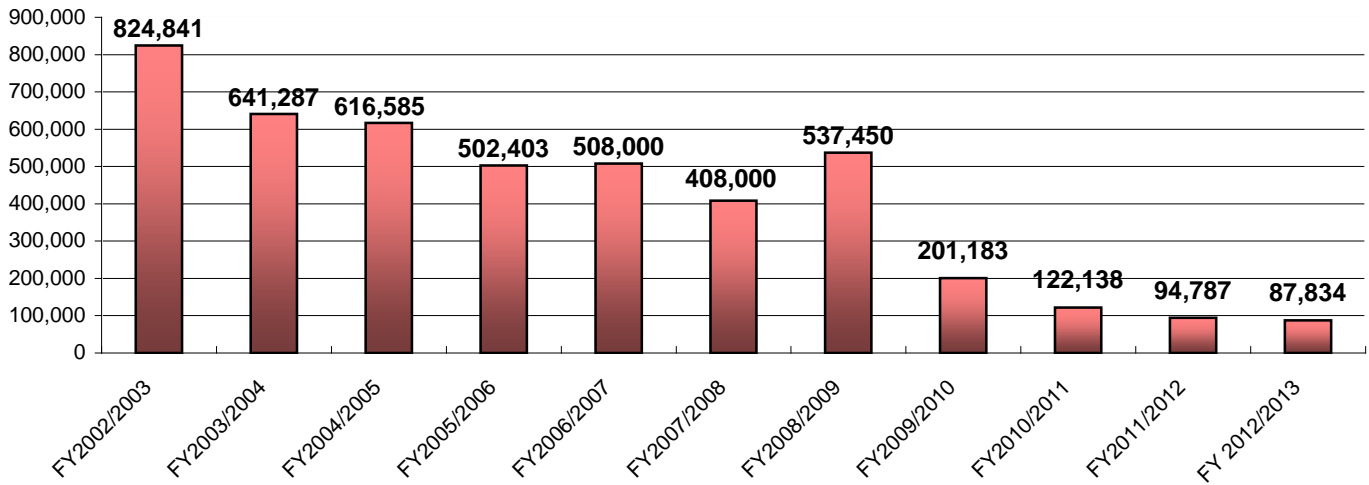
f. Measure Definition: Last year, 59% of state agencies destroyed records in compliance with the Public Records Act. The number of records of no further value that were destroyed in conformance with the Archives' authorized records retention/disposition schedules remained fairly stable until FY 2009. During that year, due to a major disposal at the Department of Revenue, the total rose dramatically to 267 million pages. After leveling off, the rate of record disposal increased last year to its second highest total.

Chart 7.1f-Pages of State and Local Government Records Authorized for Disposal



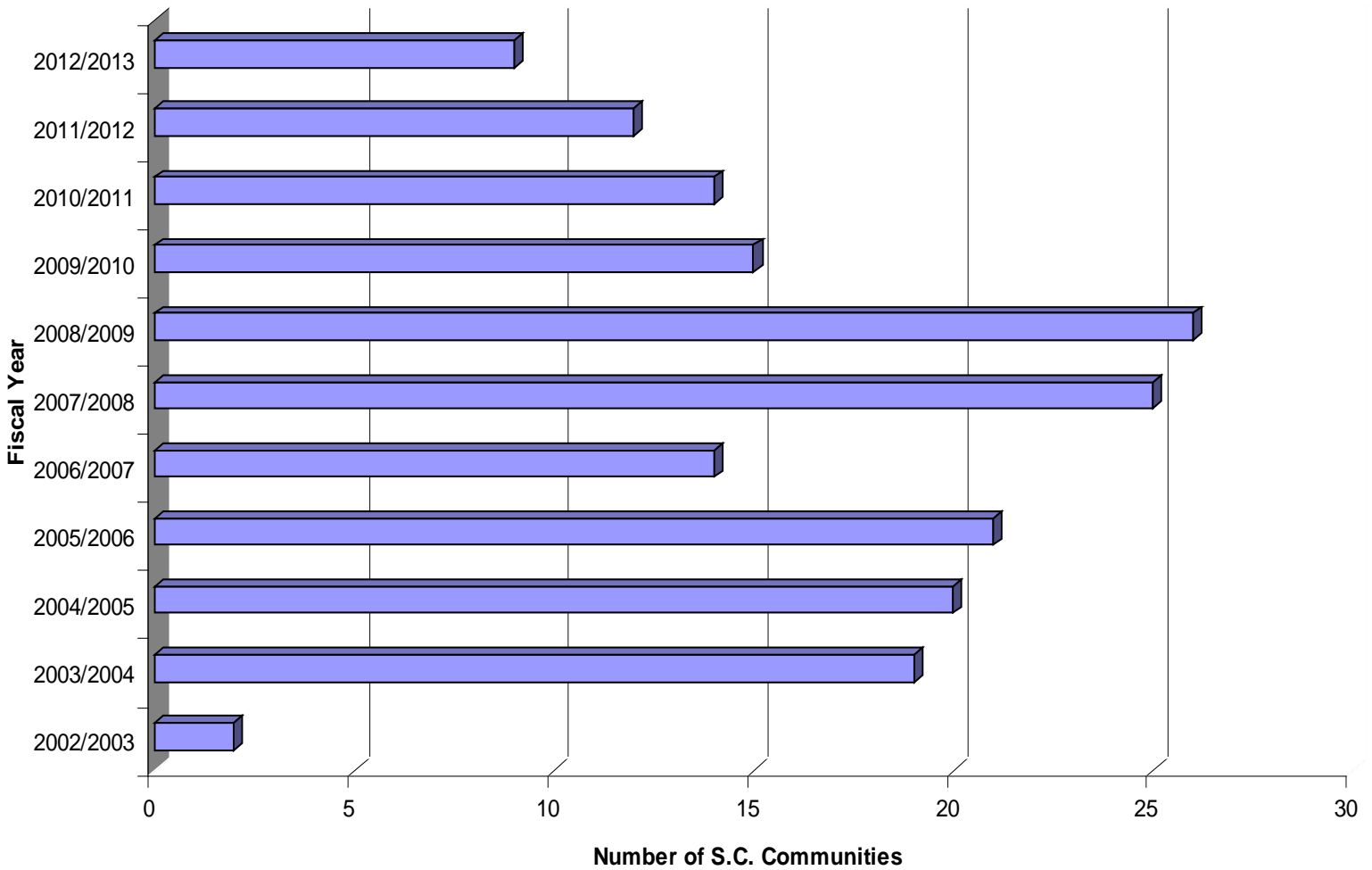
g. Measure Definition: The agency is mandated to preserve the documentary heritage of our state through archival programs. As is evident from the graph below, the number of documents microfilmed/conserved continues at several hundred thousands of pages fewer than in earlier years. This is primarily attributable to the shift in our microfilming program to revenue generation. Last year, almost all of the microfilming was for voluminous modern records and was performed for a fee. We are unable to perform cost-free preservation of older at-risk local government records (of which there are millions of pages identified: <http://www.state.sc.us/scdah/mfmcnty/countymfm.htm>).

Chart 7.1g-Historical Documents Microfilmed and Conserved



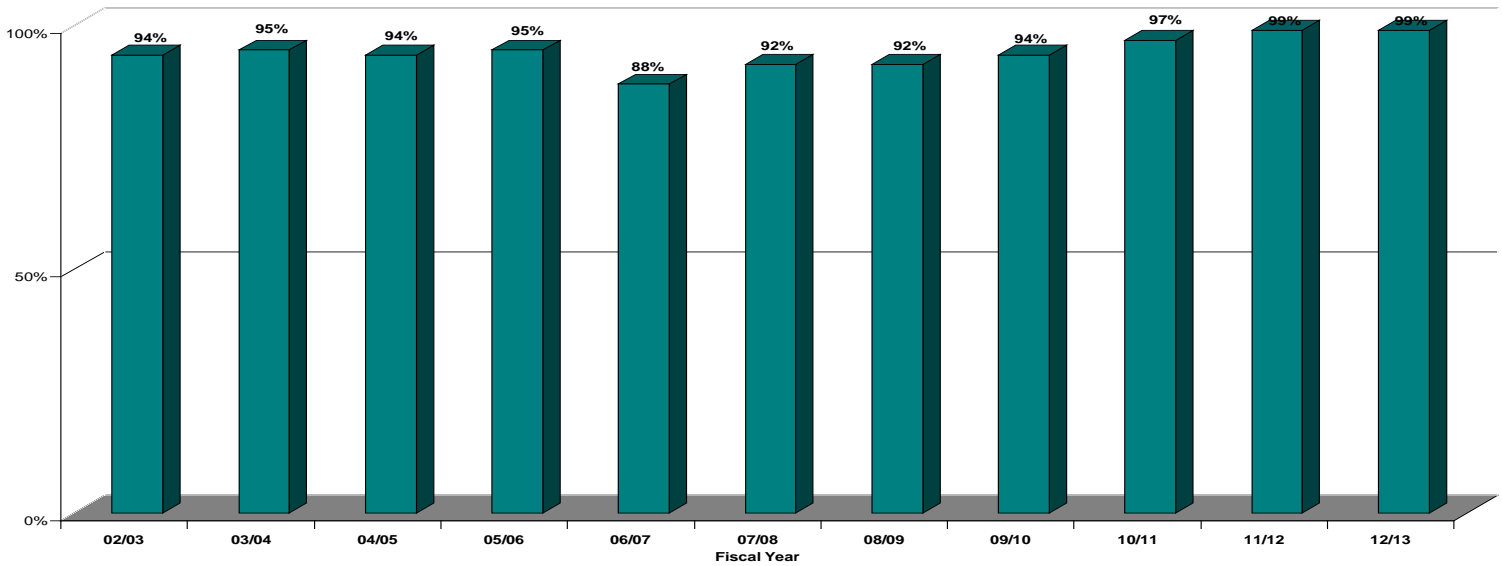
h. Measure Definition: As part of our mission, we must educate and provide technical training to communities statewide on historic preservation design review ordinances.

Chart 7.1h-Number of Communities Receiving Technical Training



i. Measure Definition: We are responsible for reviewing and commenting on the impact of federally-assisted projects and SC DHEC-permitted projects on historic properties. Timely responses are critical to our customers.

Chart 7.1h- Number of Plans Reviewed within 30 Days



7.2 Customer Satisfaction Results

Statewide Historical Records Plan

The Records Management Division provided support to the SC Historical Records Advisory Board in monitoring and acting on the Board’s statewide plan for historical records, which was developed in early FY2008. An action conference on the plan, assessing progress and identifying adjustments needed, and possible future ARM and SC SHRAB activities, was held December 3, 2008. It included facilitated focus groups.

Records Management Education and Training Services

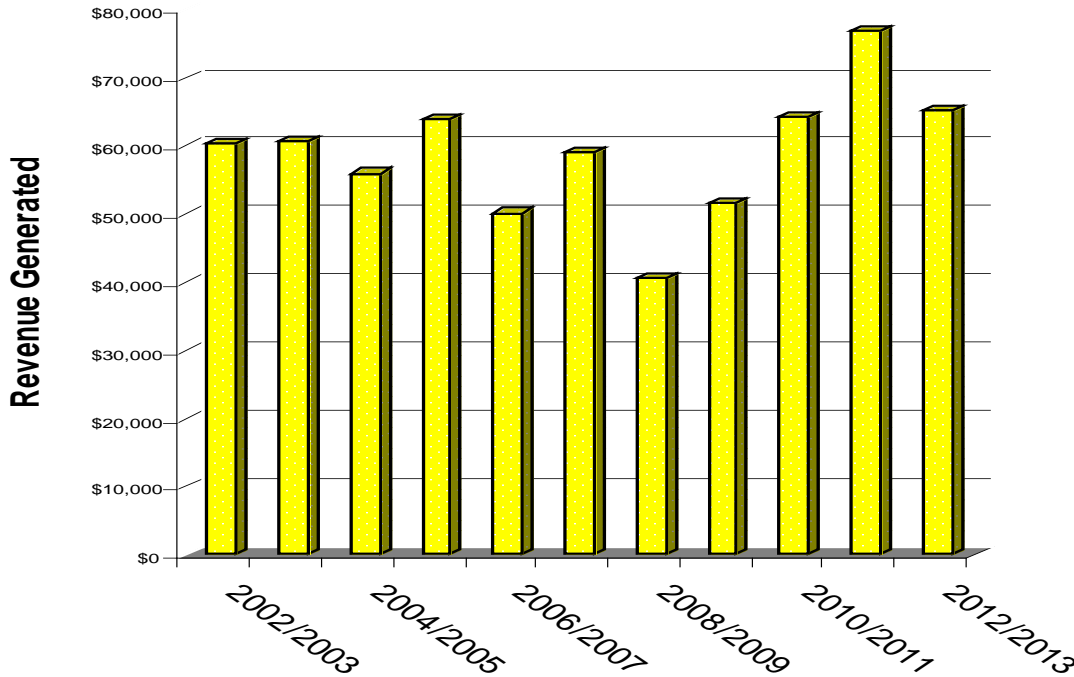
The Archives and Records Management Task Force on Education and Training reviewed our services to state and local government and employed SurveyMonkey in an online survey. The positive ratings of our education and training activities elicited 75% and more ratings from the 145 respondents, with many good recommendations for building on the successful conferences and workshop offered.

7.3 Financial and Market Results

Facility Usage

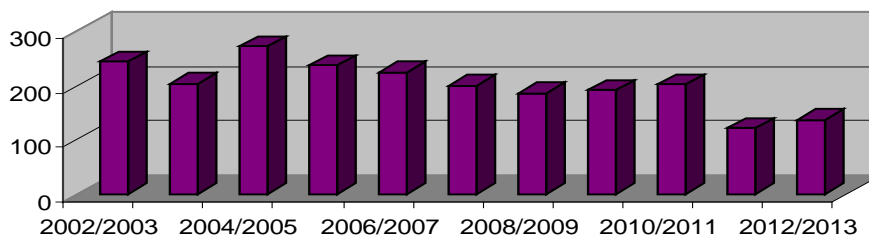
a. **Measure Definition:** This illustration tracks revenue derived from facility rentals. An increase in rental income derived from targeting businesses, non-profits, and individuals has increased our rental revenue significantly.

Chart 7.3a-Facility Rental Revenue by Fiscal Year



b. **Measure Definition:** We view our facility rental program as both a source of revenue and an opportunity to have people visit the Archives and History Center. While here, visitors have an opportunity to learn about our programs and visit the exhibitions in our gallery.

Chart 7.3b-Number of Groups Using Facility

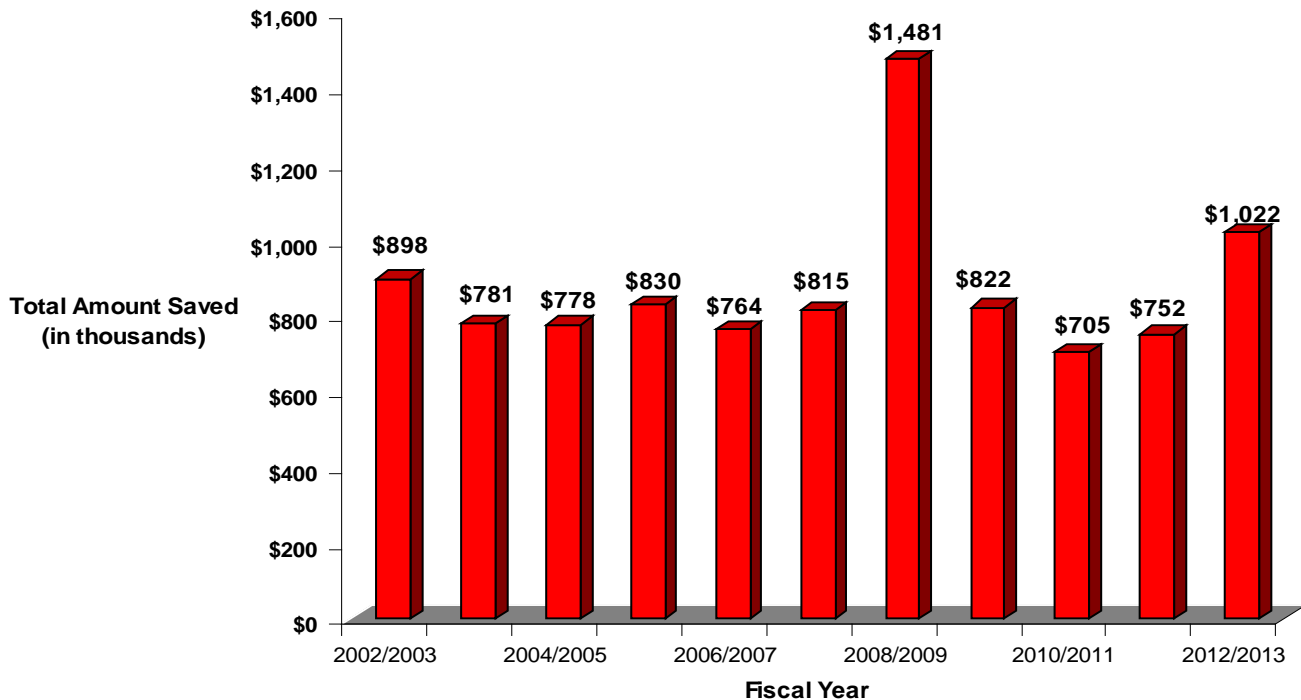


Records Management

c. Measure Definition: Through our records management program in FY2012-13, **24.8 million pages** of paper records were transferred by state agencies and local governments to security storage. Over **2.4 million pages** of historically valuable state and local government records in paper and microfilm were transferred to the Archives for permanent retention. The FY 2012 cost avoidance for state agencies and local governments through the Archives' records retention scheduling program and for state agencies using the State Records Center was **\$1,022,030**. Of that total, **\$767,517** is attributable to the records retention scheduling program and **\$254,513** to the savings realized through storage of state agency records at the State Records Center versus office or commercial storage facility.

The cost for State Records Center storage of paper records is **55% less** than rates charged by local commercial records storage facilities.

Chart 7.3c-Cost Avoidance: What Archives Saves State and Local Government Through Records Management



7.4 Workforce Engagement, Satisfaction, and Climate

Measure Definition: This year, we did not have a formal suggestion process. Instead we encouraged staff to make suggested improvements to appropriate workgroups.

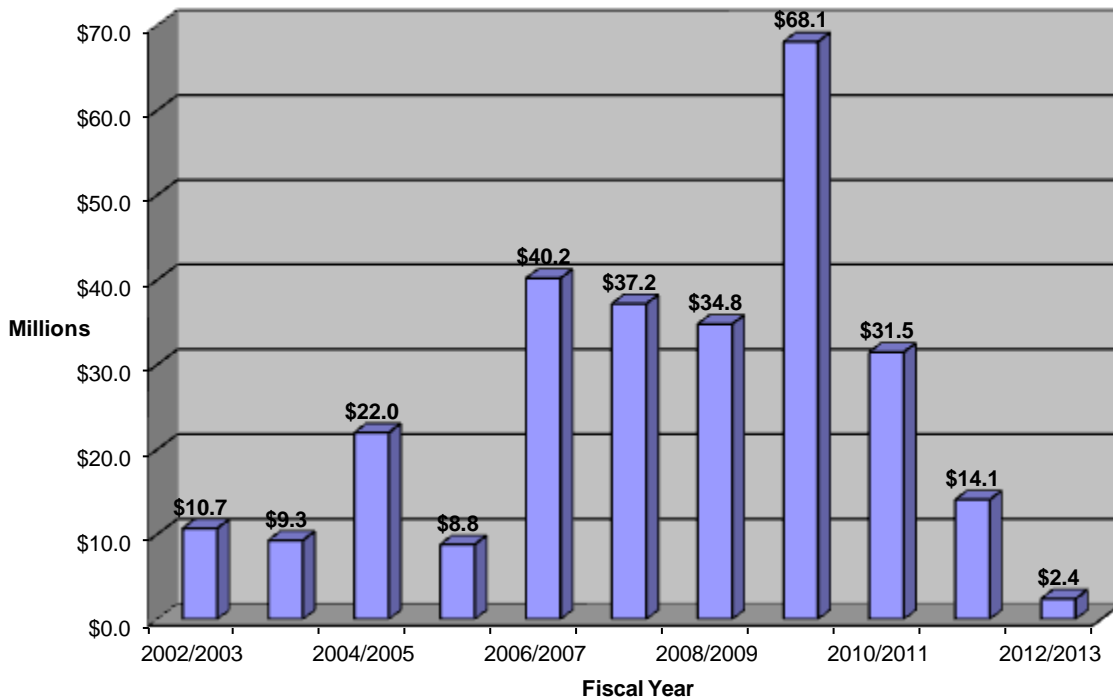
Archives and History is an agency that strives to insure that our employees have a healthy work environment that encourages productivity, while providing opportunities for job satisfaction. During the past year, staff members once again stepped forward by assuming additional responsibilities that were assigned to staff members whose positions were lost due to budget reductions. Employee reviews for FY12 included 87% earning an “exceptional” job requirement, and 13% earning a “successful,” reflecting the staff’s commitment to the agency’s mission.

The agency encourages staff members to take an active role in organizations focused on community improvement and community and individual wellness activities. The agency actively promotes participation in blood drives, health walks, etc.

7.5 Organizational Effectiveness/Efficiency

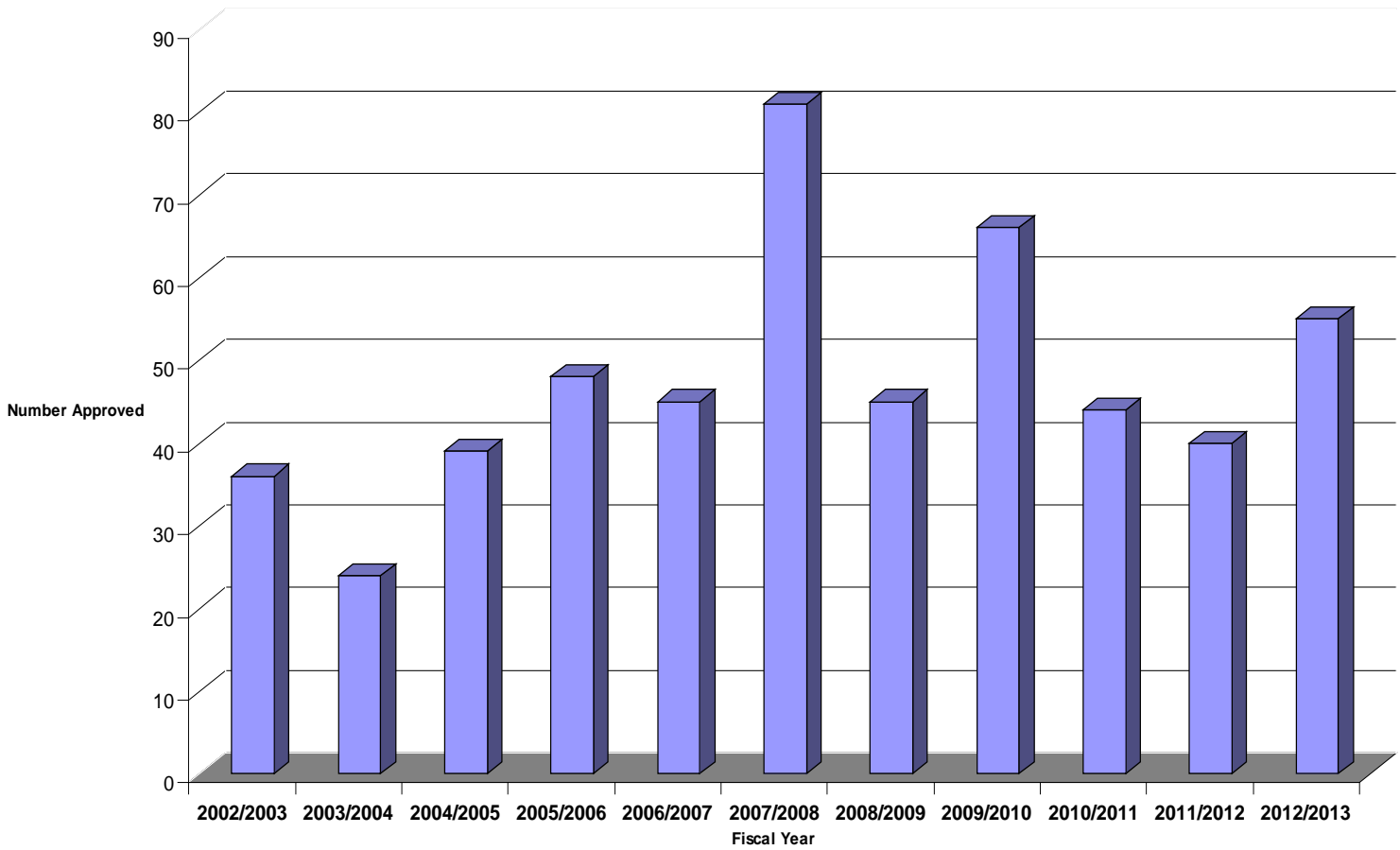
a. Measure Definition: The agency is responsible for reviewing plans and helping owners meet the standards for the federal and state tax credits, which stimulate private investment in historic buildings. With the exception of FY 2010, tax credit applications have decreased significantly since FY 2006 due to the real estate downturn.

Chart 7.5a-Private Investment Stimulated By Tax Programs



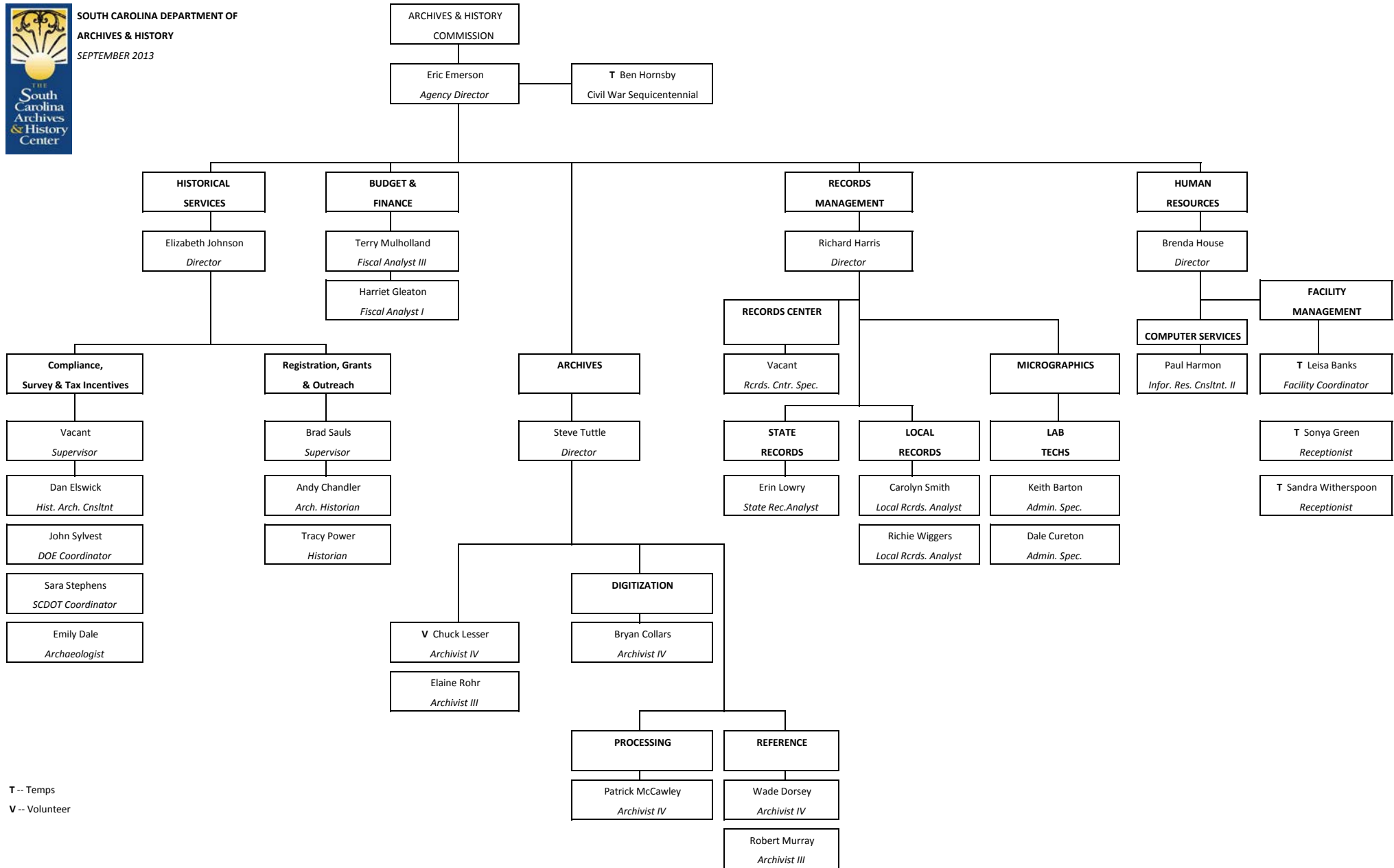
b. Measure Definition: The agency reviews and approves the text for historical markers erected by communities and organizations throughout the state.

Chart 7.5b-Historical Markers Approved



7.6 Regulatory Compliance/Citizenship

a. Measure Definition: The agency meets OSHA and safety requirements through compliance regulation and by providing staff-mandated training in these areas.



T -- Temps
V -- Volunteer

Strategic Planning *

Program Number and Title	Supported Agency Strategic Planning Goal/Objective	<u>Related FY 12-13 and beyond</u> Key Agency Action Plan/ Plan/Initiative(s) and Timeline for Accomplishing the Plan (s)	Key Cross References for Performance Measures*
23010000 Historical Services		Awarded \$124,675 federal grants to seven projects to assist with the identification and preservation of historic buildings and sites.	
23010000 Historical Services		Provided training on historic preservation ordinances and design review to 157 individuals representing nine communities through workshop and on-site training sessions. (Annually)	
23010000 Historical Services		Organized the Preservation Conference in Columbia attracting 210 participants. (Annually)	

Strategic Planning *

Program Number and Title	Supported Agency Strategic Planning Goal/Objective	<u>Related FY 12-13 and beyond</u> Key Agency Action Plan/ Plan/Initiative(s) and Timeline for Accomplishing the Plan (s)	Key Cross References for Performance Measures*
23010000 Historical Services		Continued to update database of historical markers to make texts of more than 1,300 markers available online. (Ongoing maintenance)	
23010000 Historical Services		Approved texts for 55 historical markers. (Annually-ongoing)	
15000000 Archives	Goal II: To increase awareness, understanding, and use of the programs of the SC Department of Archives and History.	Continued digitizing historical records, making nearly 215,000 images available via the Internet. (Completed-ongoing)	
23010000		Distributed two email newsletters to inform constituents of general preservation issues, <i>News and Notes</i> (12/yr), and the review and compliance program, <i>News in Review</i> (4 or more/year). (Annually-ongoing)	
23010000		Organized and participated in workshops on preservation programs in Columbia, Florence, Olanta, Edgefield, and Charleston; on tax credits in Columbia and at the SC Humanities Council Grants Workshop, and grants.	

Strategic Planning *

Program Number and Title	Supported Agency Strategic Planning Goal/Objective	<u>Related FY 12-13 and beyond</u> Key Agency Action Plan/ Plan/Initiative(s) and Timeline for Accomplishing the Plan (s)	Key Cross References for Performance Measures*
15000000 Records Management	Goal III: To assess needs and identify and secure funding and resources to support the mission of the SC Department of Archives and History	Completed State and National Archival Partnership grant to support SHRAB activities and new sub-grants.	
15000000 Records Management		Continued participation in a Library of Congress-funded multi-state project to select and preserve archival state agency digital/electronic records. Arizona is the project leader, with participation by Alabama, Florida, New Mexico, Wisconsin, and New York. (Ongoing)	
23010000 Historical Services	Goal IV: To recruit, hire, retain, and develop human resources necessary to fulfill the mission of the agency.	Recruited and hired two new employees: a staff archeologist, and a DOT funded archeologist.	
15000000 Archives and Records Management	Goal V: To continue to ensure our journey of excellence by evaluating effectiveness and improving our programs.	Assessed progress on the FY 2007-FY 2011 ARM Long-range Plan and made adjustments based on reduced staffing and other resources. (Ongoing)	
15000000 Records Management	Goal VI: To increase and enhance preservation of and access to SC state and local government records.	Microfilmed 87,834 historical documents. (Completed)	7.1g

Strategic Planning *

Program Number and Title	Supported Agency Strategic Planning Goal/Objective	<u>Related FY 12-13 and beyond</u> Key Agency Action Plan/ Plan/Initiative(s) and Timeline for Accomplishing the Plan (s)	Key Cross References for Performance Measures*
1500000 Records Management		Continued using the services of the non-profit Internet Archive, Inc. to capture and provide access. Crawled 2,957,244 documents on state agency websites during FY 2012-2013.	
15000000 Records Management		24.8 million pages of state government paper records transferred to the State Records Center for temporary security storage. (Ongoing)	7.3c
15000000 Records Management		2.4 million pages of historical state and local government records (paper/microfilm) transferred to the Archives and History Center for permanent retention. (Ongoing)	7.3c
15000000 Archives		Handled 4,376 onsite Reference Room visits and 7,422 telephone, email, regular mail requests for assistance, responding to requests within 4.0 days. (Ongoing)	7.1 a, b, c
15000000 Records Management		Approved 301 records retention schedules from state and local government covering 40 million pages of records, and authorized the destruction of 163 million pages of state and local government records. (Ongoing)	7.1 d, f

Strategic Planning *

Program Number and Title	Supported Agency Strategic Planning Goal/Objective	<u>Related FY 12-13 and beyond</u> Key Agency Action Plan/ Plan/Initiative(s) and Timeline for Accomplishing the Plan (s)	Key Cross References for Performance Measures*
15000000 Records Management		Realized \$1,022,030 in cost savings through the Archives' records management program for state agencies and local governments, including records scheduling and State Records Center storage. (Ongoing)	7.3 c

Accountability Report Appropriations/Expenditures Chart

Base Budget Expenditures and Appropriations

Major Budget Categories	FY 11-12 Actual Expenditures		FY 12-13 Actual Expenditures		FY 13-14 Appropriations Act	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	\$ 1,627,395	\$ 899,901	\$ 1,458,348	\$ 819,500	\$ 1,601,453	\$ 1,042,278
Other Operating	\$ 1,512,031	\$ 996,925	\$ 1,661,331	\$ 866,071	\$ 1,819,818	\$ 613,488
Special Items	\$ 25,000	\$ 25,000	\$ 25,000	\$ 25,000	\$ 25,000	\$ 25,000
Permanent Improvements						
Case Services						
Distributions to Subdivisions	\$ 117,003		\$ 116,684		\$ 140,000	
Fringe Benefits	\$ 582,259	\$ 337,949	\$ 529,540	\$ 311,554	\$ 869,315	\$ 583,079
Non-recurring						
Total	\$ 3,863,688	\$ 2,259,775	\$ 3,790,903	\$ 2,022,125	\$ 4,455,586	\$ 2,263,845

Other Expenditures

Sources of Funds	FY 11-12 Actual Expenditures	FY 12-13 Actual Expenditures
Supplemental Bills		
Capital Reserve Funds		
Bonds		