

CHAPTER 12

South Carolina Department of Archives and History

(Statutory Authority: 1976 Code § 30-1-90(B))

ARTICLE 1

GUIDELINES FOR IMPLEMENTATION OF CERTIFIED LOCAL GOVERNMENT (CLG) PROGRAM IN SOUTH CAROLINA

(Statutory Authority: Title 60, Chapter 11, Archives Act)

12-100. Introduction.

The Certified Local Government (CLG) program in South Carolina promotes community preservation planning and heritage education through a partnership with the State Historic Preservation Office (SHPO) that facilitates funding, technical assistance and training. Through local preservation planning, CLGs are better prepared to manage future growth and encourage economic development while protecting the historic and pre-historic resources that are significant to their community, to the state, and to the nation.

Certified local governments (CLGs) are eligible to apply to the SHPO for matching funds earmarked for “certified local governments”. In order to become certified, a local government must meet certain requirements, among them to have enacted a historic preservation ordinance and to have appointed a historic preservation commission to monitor changes to historic properties. The CLG program also encourages local preservation planning and educational activities.

Since the enactment of the National Historic Preservation Act of 1966, the nation’s historic preservation program, administered by the United States Department of the Interior, has operated as a decentralized partnership between the states and the federal government. This program called for the states to identify, evaluate, and protect historic resources and provided federal aid to assist the states in this activity. In South Carolina, the State Historic Preservation Program is administered by the South Carolina Department of Archives and History whose Director is the State Historic Preservation Officer. In 1980, Congress, recognizing the crucial role of the local government in the preservation of our cultural resources, passed the National Historic Preservation Act Amendments of 1980 (PL96-515), making it possible for local governments to be involved formally in the National Historic Preservation Program. This law provided the legal basis for certification of local governments and the formation of a federal-state-local preservation partnership. The National Historic Preservation Act Amendments of 1992 (PL 102-575) modified the certification requirements. In sum, the National Historic Preservation Act as amended (16 U.S.C. 470 et seq.) provides the legal framework for the national historic preservation partnership.

This document sets forth South Carolina’s procedures, based on the federal act and the rules for implementing that act developed by the Department of the Interior (36 CFR 61), for local certification and funds transfer.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 7, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

12–101. Criteria for Participation in South Carolina’s Certified Local Government (CLG) Program.

The National Historic Preservation Act as amended contains five broad standards which local governments must meet to be certified as participants in the National Historic Preservation Program. The law states that “Any local government shall be certified to participate under the provisions of this section (101(c)(1)) if the applicable State Historic Preservation Officer, and the Secretary (of the United States Department of the Interior), certifies that the local government: (A) enforces appropriate State or local legislation for the designation and protection of historic properties; (B) has established an adequate and qualified historic preservation review commission by State or local legislation; (C) maintains a system for the survey and inventory of historic properties . . . ; (D) provides for adequate public participation in the local historic preservation program, including the process of recommending properties for nomination to the National Register; and (E) satisfactorily performs the responsibilities delegated to it under this Act.” The Act goes on to define “designation” and “protection” (Section 101(c)(4)), provide direction for funding CLGs (Section 103(c)) and define local commission and other historic preservation terms (Section 301).

Local governments in South Carolina that want to become certified local governments must satisfy these federal standards. The role and responsibilities of CLGs are further defined and expanded below to explain the specific standards a local government should fulfill to be certified in South Carolina.

A. Enforces Appropriate State or Local Legislation for the Designation and Protection of Historic Properties

(1) The local government must set forth criteria and processes for designating districts and landmarks of historic and/or pre-historic significance.

(2) The local government shall adopt a historic preservation ordinance, the purpose of which is clearly stated.

(3) The ordinance must define the authority by which its provisions are carried out.

(4) The ordinance must clearly delineate the jurisdiction of the design review committee.

(5) The ordinance must set forth processes for designating districts and landmarks of historic and/or pre-historic significance.

(6) The ordinance must set forth criteria and processes for the review and approval or disapproval of:

(a) alteration, demolition, and relocation of designated landmarks,

(b) the alteration of designated sites,

(c) the construction of new structures within designated districts, and

(d) other actions that may affect locally designated properties.

(7) The ordinance must set forth procedures for enforcing decisions.

(8) The ordinance must make provision for right of appeal.

B. Has Established an Adequate and Qualified Historic Preservation Commission by State or Local Legislation

(1) The historic preservation review commission shall consist of at least five and no more than ten members and is appointed by the governing body of the municipality or county. (S.C. 1976 Code Sec. 6–29–870) Resumes for commission members should be kept on file by the CLG, and sent to the SHPO.

(2) Commission members, both laymen and professional, shall have a demonstrated interest, competence, or knowledge in historic preservation. To the extent that such professionals are available in the community, commission members shall include one or more professionals in preservation related disciplines such as architecture, history, architectural history, planning, prehistoric and historic archaeology, folklore, cultural anthropology, curation, conservation, and landscape architecture. CLGs may also want to include commissioners trained in real estate, engineering and law. Interest, competence, or knowledge in historic preservation should be identified on commissioners’ resumes giving their educational and volunteer background, attendance at workshops and seminars, and related activities.

(3) Local governments may be certified without professionally qualified commission members in the types of disciplines listed in B(2) above, if they can provide written documentation that they have made a reasonable effort to obtain professional expertise. Written documentation should include (a) a list of individuals in the community known to have the professional qualifications listed below, (b) a list of individuals contacted to serve on the commission, and (c) a letter explaining why local professionals declined the invitation to serve on the commission.

(4) Commission meetings shall be held as often as is necessary to complete the commission's work in a timely fashion but at least three times per year.

(5) Each commission member and CLG staff person should attend information or educational meetings pertaining to work and functions of the commission, to historic preservation, or to operations of federal, state, and local preservation programs. The SHPO shall provide information pertaining to the work of commissions and make educational meetings available for commissioners, elected officials and interested citizens.

(6) The role of the commission as the historic preservation review authority for the local government shall be clearly defined in accordance with these Guidelines with responsibilities complementary to the State Historic Preservation Program (outlined in 36 CFR 61.4(b)). These responsibilities shall include, but not necessarily be limited to, the following:

(a) The commission shall endeavor to educate the community about their own historic resources.

(b) The commission shall have authority specified in the ordinance to review and render decisions on all proposed alterations, relocations, demolitions, and new construction affecting designated historic preservation conservation areas or individually designated local landmarks.

(c) The commission shall have the first review and evaluation of all proposed National Register nominations within its jurisdiction if the commission chooses to comment. The chief elected local official shall forward all National Register nominations to the SHPO with their and the commission's recommendations for consideration by the State Board of Review.

(d) When the commission considers actions, including National Register nominations, which require evaluation by a professional in a specific discipline and that discipline is not represented on the commission, the commission shall seek expertise in this area (for example, an archaeological site).

(7) The CLG shall submit to the SHPO an annual report of commission activities. The annual report form will include the number of cases reviewed, disposition of cases, new local designations, commission appointments, new or revised resumes, minutes or a synopsis of the minutes, and local preservation plans and projects.

(8) The Commission shall adopt By-Laws and Rules of Procedure.

(9) In all deliberations, any member of the commission who has a direct or indirect financial interest in any property which is the subject matter of, or affected by, a decision of the Commission shall be disqualified from participating in the discussion, decision, or proceedings of the Board relating to that property.

(10) The SHPO may, by mutual written agreement with the local government, arrange other preservation projects with the certified local government historic preservation commission or other local groups.

C. Maintain A System for the Survey and Inventory of Historic Properties

(1) The CLG shall carry out its responsibilities for survey and inventory as follows:

(a) coordinate with the SHPO to identify and record historic and pre-historic properties within its jurisdiction based on priorities set by the CLG; and

(b) maintain an inventory of the designated districts, sites, and structures within the jurisdiction established by the ordinance with a periodic evaluation of the inventory and revisions as certificates of appropriateness are issued.

(2) The CLG shall make the local inventory records accessible to the public, except when knowledge of certain properties, such as archaeological site locations, may constitute a threat to their preservation. In such cases, inventory information may be restricted.

D. Provides for Adequate Public Participation in the Local Historic Preservation Program, Including the Process of Recommending Properties for Nomination to the National Register

(1) All meetings of the historic preservation review commission shall be publicly announced and open to the public. The agenda shall be announced prior to the meeting.

(2) Accurate and complete minutes of all decisions and actions of the commission, including the reasons for making the decisions, and copies of the written notification to the applicants must be kept on file and made available to the public upon request.

(3) The commission shall make all decisions in a public forum (except as provided by freedom of information laws) and shall give each applicant written notification of decisions affecting the applicant.

(4) The commission's By-Laws and Rules of Procedure shall be available for public inspection.

(5) The CLG should encourage publication in the news media of information leading to clearer public understanding of historic preservation, including procedures for local historic designations, National Register criteria, and appropriate rehabilitation work for local design review districts.

E. Satisfactorily Performs the Responsibilities Delegated to It Under the National Historic Preservation Act

In carrying out the mandated responsibility to monitor and evaluate the performance of the CLGs, the SHPO will use the procedures in 12-101 above. See 12-103 of this document for SHPO involvement in monitoring and decertifying CLGs.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 17, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

12-102. Process for Certification of Local Governments in South Carolina.

A. The chief elected official of the local government shall request certification from the SHPO. The request for certification shall include:

(1) A completed Certified Local Government application signed by the chief elected official.

(2) A copy of the local historic preservation ordinance as adopted by the local government that creates the historic preservation review commission and provides for designation and protection of historic districts and landmarks.

(3) A copy of the local commission's By-Laws and Rules of Procedure.

(4) A list and accompanying map(s) of the area(s) to which the ordinance applies.

(5) A list of resumes for the members of the historic preservation commission with mailing addresses and telephone numbers. The resumes should indicate members' expertise or interest in fields related to historic preservation. If the membership of the proposed commission does not meet the professional qualifications outlined in subsection 12-101B(2) above provide written documentation showing that a reasonable effort to obtain professional expertise has been made.

(6) List and resumes of pertinent local government staff members.

B. The SHPO shall respond to the chief elected official within forty-five calendar days of the receipt of an adequately documented written request. The state shall prepare a written certification agreement listing the responsibilities of the local government when certified, which will include: the four minimum responsibilities required by the federal law and regulations and by these state guidelines and any additional responsibilities that are mutually agreeable. Once the chief local elected official and SHPO have signed the certification agreement the SHPO will forward a request for concurrence to the National Park Service. The effective date of certification is the date of the Secretary's concurrence. If the request for concurrence cannot be affirmed as submitted, the National Park Service will notify the SHPO prior to fifteen working days after receipt of the request, and provide written notification of what is necessary for the request to be approved.

Substantive changes in Certification Agreements between the CLG and SHPO must be forwarded as a written amendment to the National Park Service for concurrence before the amendment may be

considered in effect. The NPS will notify the SHPO of its decision in writing and send a copy to the CLG.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 7, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

12–103. Process for Monitoring and Decertification of Certified Local Governments.

A. The SHPO shall conduct periodic review and monitoring of CLGs no less often than once every four years to assure that each government is fulfilling the CLG requirements and that each is performing its responsibilities in a manner consistent with the comprehensive state historic preservation planning process. The SHPO shall review the annual reports submitted by CLGs, records of the administration of grant funds allocated from the HPF, and other documents as necessary. The SHPO will notify the CLG in writing of the results of the evaluation.

B. If the SHPO evaluation indicates that the performance of a CLG is inadequate, the SHPO shall document that assessment and recommend in writing to the local government steps to bring its performance up to an acceptable level. The SHPO shall give the CLG a period of not less than thirty, or more than one hundred eighty days to implement improvements. If the SHPO determines that sufficient improvement has not occurred, the SHPO shall recommend decertification of the local government to the Secretary of the Interior. The SHPO must notify the CLG in writing prior to, or at the time of, its recommendation to the Secretary for decertification. The notification must state the specific reasons for the proposed decertification, describe the SHPO's technical assistance efforts, and affirm that the SHPO will notify the CLG of the NPS concurrence with the decertification. The NPS will notify the SHPO in writing within thirty working days after receipt of the recommendation, if there are problems with the recommendation or if the NPS needs more time to review it. The local government is decertified if the NPS concurs in writing with the SHPO's recommendation to decertify the CLG. The SHPO must inform the CLG in writing of the decertification. If the local government wishes to become recertified it must reapply for certification.

C. CLGs may petition the SHPO to be decertified voluntarily and without prejudice. The SHPO must forward a copy of the CLG's letter as an enclosure to the NPS along with the SHPO's request to decertify the CLG.

D. When a CLG which is administering a CLG grant is decertified, the SHPO will conduct financial assistance close out procedures for that grant as specified in the Historic Preservation Fund Grants Manual.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 7, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

12–104. Transfer of Historic Preservation Fund (HPF) Allocations to Certified Local Governments.

A. In order to be eligible to receive a portion of the local share of the HPF allocation to South Carolina, DOI requires that each certified local government:

(1) Shall have adequate financial management systems which:

(a) meet federal standards of the Office of Management and Budget (OMB) Circular A-102, Attachment G, "Standards of Grantee Financial Management Systems";

(b) are auditable in accordance with federal Accounting Office Standards for Audit of Governmental Organization, Programs, Activities, and Functions and OMB Circular A-133 "Audit Requirements," (A copy of any audit of HPF funds must be sent to the SHPO.);

(c) are available for review and evaluation by the SHPO.

(2) Shall adhere to all requirements of the Historic Preservation Fund Grants Manual.

(3) Shall adhere to any requirements mandated by Congress pertaining to the HPF. The SHPO will advise CLGs of special directives regarding the use of HPF grants by local governments.

B. The SHPO is prepared to assist local governments in developing and implementing financial management systems that address the requirements listed above. The State is responsible, through

financial audit, for the proper accounting of HPF CLG grant monies in accordance with OMB Circular A-133 "Audit Requirements."

(1) The local matching share of the South Carolina allocation for the HPF will be available to CLGs on at least a fifty percent reimbursable basis for HPF eligible historic preservation activities and projects. Currently, federal law provides that at least ten percent of the HPF allocation to South Carolina be set aside for distribution to CLGs. At such time as Congress may appropriate more than Sixty-five million dollars to the HPF, one half of the amount above Sixty-five million dollars shall also be transferred to CLGs according to procedures to be provided by the Secretary of the Interior.

(2) All CLGs are eligible to receive funding, but the SHPO is not required to award funds to all eligible governments. The intent is to use HPF assistance to augment rather than replace existing local commitment to historic preservation activities. CLG funds cannot be used as a substitute for existing local funding for historic preservation.

(3) Funded CLGs will be sub-grantees of the state. In no event will a grant be awarded which is insufficient to produce a specific product or impact. Any funds awarded must be used for HPF eligible activities and must be consistent with the grant selection criteria.

(4) Use of HPF funds will be limited by all existing federal and state restrictions and cannot usually be matched with federal funds. Exceptions are Community Development Block Grants. Additionally, only direct costs may be charged unless the CLG has a current indirect cost rate and the CLG meets specific requirements pertaining to cost rates in the Historic Preservation Fund Grants Manual.

(5) A CLG may use Pass-Through funds for activities involving historic or archaeological resources outside its jurisdiction if it meets qualifications listed in the Historic Preservation Fund Grants Manual. Activities that will occur outside the jurisdiction of the CLG need to demonstrate a direct benefit to identifying, evaluation, and protecting historic or archaeological resources of the CLG.

(6) Subgrants can be pooled by CLGs for specific purposes. To pool subgrants, all local governments must be certified, and one CLG designated as the administrator of the subgrant. Pooling of subgrants must follow the procedures outlined in the Historic Preservation Fund Grants Manual.

(7) CLG subgrants may be administered by a designated third-party if the CLG indicates in its funding application to the State that it wants any subgrant awarded to it to be administered by a specific organization. Third party administration shall follow requirements outlined in the Historic Preservation Fund Grants Manual.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 7, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

12-105. Application for Pass-Through Funds.

A. Notice of the availability of these funds and funding applications will be sent to CLGs and interested local governments by the SHPO. The CLG funding application (and any resulting funding agreement) will include all specific special conditions and requirements placed on the annual funding allocation and its use. Materials distributed with the funding application will also include instructions to the applicants and a timetable for the grant cycle.

B. The chief elected official of a CLG shall submit an application to the SHPO which outlines the proposed grant activities products, schedule, and budget, including the source and amount of matching funds. Grant applications will be evaluated by the SHPO, based on selection criteria printed with the grant application notice, and submitted to the Archives and History Commission for selection. All applicants will be notified of their funding status.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 7, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

12-106. Funding Priority.

The SHPO awards funds on a competitive basis to certified local governments based on program goals and priorities distributed with the application form. Priority will be given to projects that

increase the capability and effectiveness of local governments to address historic preservation needs and issues. Basic funding goals will be identification, evaluation, nomination, and protection of historic resources. These may be accomplished through survey, nomination of properties to the National Register, establishment of local historic district(s), public education programs, planning studies, local historic preservation commission education and staffing, and development of comprehensive community-wide historic preservation plans, stabilization and weatherization of historic buildings, and similar preservation efforts. An effort will be made to distribute funds to a maximum number of eligible applicants and in as many areas, rural as well as urban, in the state as possible. The state shall make every effort to ensure that no CLG will receive a disproportionate share of the allocation. The requirement that tangible results be produced with HPF funds awarded cannot be waived. Rationale for applicants selected and amounts awarded will be made available to the public on request.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 7, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

12–107. Certified Local Government Participation in the South Carolina National Register Nomination Process.

A. The SHPO will assist the CLG in encouraging the nomination of local properties eligible for listing in the National Register of Historic Places. The SHPO staff will provide instructions and review drafts of National Register nominations to ensure that they meet federal requirements. The SHPO may delegate to a CLG responsibilities related to processing National Register nominations. The SHPO may authorize the local preservation commission of a CLG to act for the State Review Board for the purpose of considering National Register nominations within the CLG's jurisdiction provided the commission meets the professional qualifications required for the State Review Board.

B. The CLG commission and the mayor or chief elected local official will receive between sixty and one hundred twenty days prior to the meeting of the State Review Board, a copy of the documentation for all National Register nomination(s) for property(ies) within its jurisdiction for their review and recommendation if they wish to comment. Should the SHPO receive, independent of a CLG commission, a completed nomination for a property within the CLG's jurisdiction to be considered for the National Register, the SHPO shall forward the information to the pertinent CLG commission and inform the chief elected local official, interested parties and the property owner(s) of the transmittal of the proposed nomination. Should the CLG receive a completed nomination, prepared independently of the SHPO, the chief elected local official will forward a copy of the nomination to the SHPO and inform the SHPO, interested parties and the owner(s) of the date the commission will make a recommendation. Federal agencies that nominate properties within their control are encouraged to notify the CLG, but are not required to do so.

C. Within sixty days of receipt of a completed nomination, after providing a reasonable opportunity for public comment, the chief elected local official will transmit the report of the commission along with the elected official's recommendation to the SHPO. If both the commission and the chief elected official recommend that a property not be nominated, the SHPO will take no further action, unless an appeal is filed with the State within thirty days in accordance with Section 101(C)(2) of the Act or as outlined in federal regulations 36 CFR 60.12. If the commission and/or the chief elected local official take no action or recommend that a property be nominated, the SHPO will present the nomination for review to the State Board of Review. With the agreement of the local commission, the state may expedite the process provided that there has been an opportunity for public participation in the local review process. The SHPO staff will assist the CLG with public information meetings concerning nominations.

D. The SHPO will notify all owners, interested parties, the CLG commission, and the chief elected local official between seventy-five and thirty days prior to the State Board of Review meeting at which the property will be considered.

E. Nominations reviewed and approved by the State Board of Review shall be forwarded by the SHPO to the Keeper of the National Register for final review and approval. Reports and recommendations made by a CLG for any property within its jurisdiction shall be included with nominations submitted by the State to the Keeper.

HISTORY: Added by State Register Volume 9, Issue No. 3, eff March 22, 1985; Amended by State Register Volume 13, Issue No. 7, eff July 28, 1989; State Register Volume 25, Issue No. 10, eff October 26, 2001.

REHABILITATION OF DESIGNATED HISTORIC BUILDINGS

(Statutory Authority: 1976 Code § 4-9-195(D))

12–120. Definitions.

A. “Act” means the legislation authorizing the governing bodies of counties and municipalities to grant special property tax assessments to “rehabilitated historic properties” and “low and moderate income properties.”

B. “Administrative Review Committee” means a committee of the State Board of Review that shall include three or more members with two or more members representing the fields of architecture, architectural history, or related fields as appropriate.

C. “Department” means the South Carolina Department of Archives and History.

D. “Expenditures for rehabilitation” means the actual costs of rehabilitation relating to one or more of the following:

1. Improvements located on or within the historic building as designated;
2. Improvements outside of but directly attached to the historic building which are necessary to make the building fully useable (such as vertical circulation) but shall not include new construction of rentable/habitable floor space;
3. Architectural and engineering services attributable to the design of the improvements; or
4. Costs necessary to maintain the historic character or integrity of the building.

E. “Historic Property” means tangible real property that has been granted historic designation by the local governing body. Historic Property may include more than one historic building, including a historically-related complex, such as a house and barn or courthouse and jail. Historic Property may also include non-historic buildings or structures that are not eligible for the special property tax assessment.

F. “Local Governing Body” means county or municipal governments with jurisdiction over rehabilitated historic properties or low and moderate income rental properties seeking the special property tax assessments authorized by the Act.

G. “National Register of Historic Places” means the list of districts, sites, buildings, structures, and objects significant in South Carolina history, architecture, archaeology, engineering, and culture, that is maintained by the Secretary of the United States Department of the Interior under authority of the National Historic Preservation Act.

H. “Rehabilitation” means the process of returning a building or buildings to a state of utility, through repair or alteration, which makes possible an efficient contemporary use while preserving those portions and features of the building(s) that are significant to its historic, architectural and cultural values.

HISTORY: Added by State Register Volume 17, Issue No. 3, eff Mar 26, 1993. Amended by State Register Volume 35, Issue No. 5, eff May 27, 2011.

12–121. Local Governing Body Certification.

A. General. The local governing body shall establish a system for preliminary and final certification of properties that are eligible under the Act. The local governing body may designate, in its discretion, an agency or department to perform its duties under the Act. The local governing body shall notify the county assessor, auditor, and treasurer that it has established the special property tax assessments and of any properties certified for the special property tax assessments.

B. Scope. The special property tax assessment of rehabilitated historic property shall apply to the building or structure that is rehabilitated, the real property on which the building is located, and additional real property surrounding the building or structure that has been determined significant to

the historic character of the building by the local governing body. The special assessment shall not apply to rehabilitation expenses on buildings or structures that are not historic.

HISTORY: Added by State Register Volume 17, Issue No. 3, eff Mar 26, 1993. Amended by State Register Volume 35, Issue No. 5, eff May 27, 2011.

12–122. Designation of Property as Historic.

A. General. The local governing body shall establish a system for designation of historic properties in cases where such a system is not already in place.

B. Eligible Properties. The following categories of property may be designated historic by the local governing body:

1. Properties listed individually in the National Register of Historic Places;
2. Properties that contribute to an individual property or historic district listed in the National Register of Historic Places; or
3. Properties fifty or more years old that meet the local governing body's criteria for designation (see R.12–123).

C. Moved buildings.

1. General. The Department discourages the moving of historic buildings from their original sites.

2. If a building already designated historic by the local governing body is to be moved as part of rehabilitation work for which certification is sought, the owner must document that the building retains the characteristics that made it eligible for historic designation on the former site. The local governing body shall verify that the historic building retains those qualities on its new site.

3. If a building not yet designated historic is to be moved as part of rehabilitation work for which certification is sought, the local governing body shall determine whether the building meets its criteria for designation on its new site.

4. If a building listed in the National Register of Historic Places is to be moved as part of rehabilitation work for which certification is sought, the owner must follow the specific federal procedures that enable the building to remain listed. The owner should contact the Department early in the planning process if moving is a necessary step in their project.

D. Removal of Historic Designation.

1. The local governing body may remove the historic designation if the property no longer possesses the qualities that made it eligible for designation.

2. In the case that a property had been designated historic based on its listing in the National Register of Historic Places and the property is removed from the National Register, one of the following must occur:

- a. The property must be designated historic based on the local criteria; or
- b. The property loses the historic designation as of the date of removal from the National Register of Historic Places.

3. The date of the removal of historic designation shall be the basis for the date of the end of the special property tax assessment.

E. Technical Assistance. The Department shall provide technical assistance and advice, upon request, to the local governing body in carrying out the responsibilities under the Act.

HISTORY: Added by State Register Volume 17, Issue No. 3, eff Mar 26, 1993. Amended by State Register Volume 35, Issue No. 5, eff May 27, 2011.

12–123. Criteria for Designation.

A. General. The local governing body shall establish criteria for designation of historic properties.

B. Categories of Significance. Categories of significance for the criteria may include but are not limited to the following:

1. Architecture;
2. Culture;

3. Engineering; or
4. History.

C. Sample Criteria and Technical Assistance. The Department shall provide sample criteria, technical assistance, and advice, upon request, to the local governing body in carrying out the responsibilities under the Act.

HISTORY: Added by State Register Volume 17, Issue No. 3, eff Mar 26, 1993. Amended by State Register Volume 35, Issue No. 5, eff May 27, 2011.

12–124. Review of Rehabilitation Work.

A. General. The owner of any property seeking approval of rehabilitation work pursuant to the certification process of a local government (see R.12–121) shall comply with the procedures described in this regulation.

1. The owner shall submit a completed Rehabilitated Historic Property Application with supporting documentation to the Reviewing Authority (as defined in the Act). Owners who undertake any rehabilitation work without prior approval from the Reviewing Authority do so at their own risk and may disqualify all rehabilitation work from eligibility under the Act.

- a. In cases where the ordinance requires owners to apply for preliminary certification before any project work begins, the application must be provided to the Reviewing Authority prior to beginning any project work.

- b. In cases where the ordinance does not require owners to apply for preliminary certification before any project work begins, owners are strongly encouraged to submit the application prior to undertaking any rehabilitation work.

- c. In cases where the owner proposes changes in the proposed work prior to final approval of rehabilitation work, owners are strongly encouraged to submit the changes prior to undertaking such rehabilitation work.

- d. In cases where the owner proposes additional work after final approval of rehabilitation work but before the end of the special assessment period, owners are strongly encouraged to submit the additional work prior to undertaking such rehabilitation work.

2. The approval of rehabilitation work is based on the Standards for Rehabilitation (see R.12–125). The final approval of rehabilitation work by the Reviewing Authority is based on the completed work.

B. Rehabilitated Historic Property Application.

1. The Department shall provide a Rehabilitated Historic Property Application for owners to use when applying for the special assessment. In cases where the Department is not the Reviewing Authority, then the local governing body may develop an application that requests the same information as the application provided by the Department.

2. Part A —Preliminary Approval of Rehabilitation Work form, shall be used by the owner to describe the historic significance of the building, and to request preliminary approval of proposed rehabilitation work.

3. Part B —Final Approval of Rehabilitation Work form, shall be used by the owner to request final approval of completed rehabilitation work when the Reviewing Authority has already issued preliminary approval of rehabilitation work.

4. Parts A and B shall be used by the owner to request final approval of completed rehabilitation work when the Reviewing Authority has not issued preliminary approval of rehabilitation work.

5. Continuation/Amendment form shall be used by the owner to describe changes in the proposed work prior to final approval of rehabilitation work or to describe additional work after final approval of rehabilitation work but before the end of the special assessment period.

C. Review Process.

1. General. The Reviewing Authority shall review the application and determine if the rehabilitation work is consistent with the Standards for Rehabilitation. Rehabilitation work that is consistent with the Standards for Rehabilitation shall be approved. The Reviewing Authority shall notify the owner of this determination in writing. If the rehabilitation work is not consistent with the

Standards for Rehabilitation, the Reviewing Authority shall deny the rehabilitation work and, where possible, advise the owner of necessary revisions. An authorized representative of the Reviewing Authority may inspect Historic Properties during the review process. The owner may appeal the determination by the Reviewing Authority that a rehabilitation project is not consistent with the Standards for Rehabilitation, see R.12-124D. In cases where the Department is the Reviewing Authority, the Department shall notify the local governing body of review decisions.

2. The Reviewing Authority shall consider the description of the rehabilitation work provided in the Part A - Preliminary Approval of Rehabilitation Work form and any attachments as the basis for the approval or denial of the rehabilitation work. In cases of discrepancy, the description in the application shall prevail over any/all attachments. After a project has received preliminary approval of rehabilitation work, the owner is responsible for reporting any proposed substantive changes in the work described in the application to the Reviewing Authority by written statement to ensure continued consistency with the Standards for Rehabilitation. Such changes should be described on a Continuation/Amendment form as provided by the Reviewing Authority. The Reviewing Authority shall determine if the proposed changes are consistent with the Standards for Rehabilitation and notify the owner in writing. Owners who undertake any rehabilitation work without prior approval from the Reviewing Authority do so at their own risk and may disqualify all rehabilitation work from eligibility under the Act.

3. The Reviewing Authority shall consider the documentation of the completed rehabilitation work for the approval or denial of the completed rehabilitation work. Approval of Part B constitutes final approval of the rehabilitation work by the Reviewing Authority.

4. An authorized representative of the Reviewing Authority may inspect completed projects during the special assessment period to determine if the work is consistent with the Standards for Rehabilitation.

D. Administrative Review and Appeal. An owner may appeal a denial decision by the Reviewing Authority by requesting it in writing within thirty (30) days of the date of that decision.

1. The owner may appeal a decision of the board of architectural review by following the process provided by state law (S.C. Code of Laws, Sections 6-29-890 through 6-29-940).

2. The owner may request an administrative review of a decision by the Department in writing within thirty (30) days of the date of that decision.

3. The Administrative Review Committee shall hear the request, based on the application, information in the files of the Department, and additional information (if any) provided. In considering the request, the Administrative Review Committee shall take into account alleged errors in professional judgment or alleged prejudicial procedural errors by Department officials. The decision of the Administrative Review Committee may:

- a. Reverse the decision of the Department;
- b. Affirm the decision of the Department; or
- c. Resubmit the matter to the Department for further consideration.

4. The decision of the Administrative Review Committee shall be the final administrative decision.

E. Additional Work.

1. Additional work on the property, other than ordinary maintenance and/or repair with matching materials, done after the final approval of rehabilitation work by the Reviewing Authority and before the expiration of the special property tax assessment shall be brought to the attention of the Reviewing Authority. Owners who undertake any rehabilitation work without prior approval from the Reviewing Authority do so at their own risk and may disqualify all rehabilitation work from eligibility under the Act.

2. The owner shall provide complete information describing the additional work on a Continuation/Amendment form and any necessary attachments. The Reviewing Authority shall determine if the overall project remains consistent with the Standards for Rehabilitation. The Reviewing Authority shall notify the owner of this determination in writing.

3. If the overall project including the proposed additional work, is not consistent with the Standards for Rehabilitation, the owner shall be notified in writing that the Reviewing Authority

intends to rescind its approval of the project. The owner may then withdraw the request and revise the work in consultation with the Reviewing Authority. The rescission shall be effective thirty days after the date of the letter from the Reviewing Authority, unless the owner has withdrawn the proposal.

4. The Reviewing Authority shall notify the local governing body in writing of the decision to rescind approval of the rehabilitation work.

5. The effective date of the rescission by the Reviewing Authority shall be the basis for the end date of the special property tax assessment.

HISTORY: Added by State Register Volume 17, Issue No. 3, eff Mar 26, 1993. Amended by State Register Volume 35, Issue No. 5, eff May 27, 2011.

12-125. Standards for Rehabilitation.

A. A property shall be used for its historic purpose or be placed in a new use that requires minimal change to the defining characteristics of the building and its site and environment.

B. The historic character of a property shall be retained and preserved. The removal of historic materials or alteration of features and spaces that characterize a property shall be avoided.

C. Each property shall be recognized as a physical record of its time, place, and use. Changes that create a false sense of historical development, such as adding conjectural features or architectural elements from other buildings, shall not be undertaken.

D. Most properties change over time; those changes that have acquired historic significance in their own right shall be retained and preserved.

E. Distinctive features, finishes, and construction techniques or examples of craftsmanship that characterize a property shall be preserved.

F. Deteriorated historic features shall be repaired rather than replaced. Where the severity of deterioration requires replacement of a distinctive feature, the new feature shall match the old in design, color, texture, and other visual qualities and, where possible, materials. Replacement of missing features shall be substantiated by documentary, physical, or pictorial evidence.

G. Chemical or physical treatments, such as sandblasting, that cause damage to historic materials shall not be used. The surface cleaning of structures, if appropriate, shall be undertaken using the gentlest means possible.

H. Significant archaeological resources affected by a project shall be protected and preserved. If such resources must be disturbed, mitigation measures shall be undertaken.

I. New additions, exterior alterations, or related new construction shall not destroy historic materials that characterize the property. The new work shall be differentiated from the old and shall be compatible with the massing, size, scale, and architectural features to protect the historic integrity of the property and its environment.

J. New additions and adjacent or related new construction shall be undertaken in such a manner that if removed in the future, the essential form and integrity of the historic property and its environment would be unimpaired.

HISTORY: Added by State Register Volume 17, Issue No. 3, eff Mar 26, 1993. Amended by State Register Volume 35, Issue No. 5, eff May 27, 2011.

ARTICLE 2

QUALITY STANDARDS AND PRACTICES FOR THE MICROFILMING OF PUBLIC RECORDS

(Statutory Authority: Title 30, Chapter 1, Public Records Act)

12-200. Introduction.

The South Carolina Department of Archives and History (hereinafter called the Department) has the responsibility under the Public Records Act (Code of Laws of South Carolina, 1976. Section 30-1-10

through 30-1-140) to establish quality standards for microfilming and microfilm records. The Uniform Photographic Copies of Business and Public Records as Evidence Act (Acts and Joint Resolutions of the General Assembly of the State of South Carolina, Regular Session of 1978, pages 1632-34) authorizes the use of microfilm for legal purposes. The purpose of these standards is to enable the requirements of both statutes to be met and records determined to have archival or long-term retention value to be safeguarded. Some records of short-term retention value are converted to microfilm to save space or to provide quick retrieval. Minimum standards for microfilm of these short-term records are also provided here.

These quality standards for the microfilming of public records in South Carolina are derived from applicable Federal Micrographics Standards published in 36 Code of Federal Regulations, Chapter XII, Subchapter B. See the Microfilm Standards Attachment accompanying the Department's standards for reference. In general, section 1230.4 Definitions, and portions of Subpart A—Standards for Creation of Microform Records and Subpart B—Standards for the Maintenance, Use and Disposition of Microform Records of Part 1230—Micrographics, published in the Federal Register, Vol. 50, No. 125, pp. 26935-26937 are referred to in the South Carolina standards and practices which are divided into three sections below for convenience in reference and application. Where there are differences between the two, in the density ranges for example, the State standards are preferred.

The State standards are divided into the following sections:

General Standards and Practices for the Microfilming of Public Records (applicable to all public records filmed or converted to microfilm regardless of retention value).

Standards and Practices for Records of Archival Value (Perpetual Retention) and Records of Long-term Retention Value (10-100 years).

Standards and Practices for Records of Short-term Retention Value (less than 10 years).

HISTORY: Added by State Register Volume 12, Issue No. 3, eff March 25, 1988.

12–201. General Standards and Practices for the Microfilming of Public Records.

The following General Standards and Practices will apply to the microfilming of all public records or confidential/restricted records created in the conduct of carrying out the responsibilities of a state or local government agency, department or institution.

A. Legibility of Microfilm Copy

The legibility of the microfilm copy shall include all the detail of the record copies. Microfilm copies shall be of proper exposure and of sufficient quality to be read on a reader screen and reproduced as a legible paper copy, according to the intended use. Intended use will determine the resolution pattern to be met as explained in section 12-202C below.

B. Identification of Records Filmed

Each microfilm roll or other microform shall be adequately identified on the actual film or unit record and on the container used to store or file the microcopy. Identification of each roll or microform shall include an eye-readable roll or unit number and the reduction ratios used for each roll or unit. (See Appendix 1.) The title of the series, file or book(s) on the roll or unit, the inclusive dates of the records filmed, and the case or file numbers should be included on the camera original film. If this cannot be done for technical reasons, the information must be included on the certificate of authenticity to be filmed at the end of the roll or unit. (See Appendix B for an example of the certificate.)

C. Microfilm Records Retrieval

Indexes or other acceptable retrieval systems are required for archival and long-term value microfilmed records. No security microfilm shall be acceptable without a workable retrieval system or index. Indexes to microfilmed records may be automated or manual, but all microfilmed records must be readily accessible from a microfilm or paper copy finding aid, regardless of the type retrieval system used.

D. Text Charts for Microfilm Quality Control

Each exposed microfilm roll or microform shall include resolution charts to test for the legibility of the filmed records. (See Appendix 2.) Photostatic or electrostatic copies of resolution charts cannot be substituted for approved printed test charts from the National Bureau of Standards or

other acceptable suppliers. Approved resolution charts and density test patches of known reflectance value shall be used from roll to roll or film unit at the beginning, end, and preferably, the middle of each roll or unit.

E. Certification and Authentication of Records Filmed

1. A "Declaration of Intent and Purpose" or its equivalent will be prepared and signed by the official custodian of the records or the designated records officer of the filming state agency or political subdivision (local government) office and filmed at the beginning of each roll or microfilm unit. Any substitute proposed for the Declaration shall be approved in advance by the Department. (See Appendix A for the approved form.)

2. A "Certificate of Authenticity" will be prepared and signed by the camera operator and filmed at the end of each roll or subdivision of a filmed series or microfilm unit. Any substitute for this certificate shall be approved by the Department. (See Appendix B for the approved certificate.)

3. Any splice between the filmed records sequence will be accounted for and certified by the camera operator to be part of the original filmed record or file series.

F. Visual Inspection of Microfilm Copies

1. All microfilm rolls or other microforms shall be inspected to determine the legibility of the film, the correctness of order of filming, and all possible defects or errors in the film. The inspection results shall be reported on the form provided. (See Appendix C-1 and C-2.)

2. To prevent scratches and other damage to the film, the camera silver emulsion original or alternative security copy of the microfilm shall not be placed on a microfilm reader to inspect the film. If the camera original or the alternative security copy has to be checked on a microfilm reader and the film emulsion and/or base is scratched or damaged sufficiently to require replacement, a direct duplicate which meets the approved Standards must be substituted as the security copy. If there is any loss of the image text or document as a result of damage or scratching of the film, the source document or documents must be refilmed to meet the required standards. An exception to this is the camera original of records of short-term value for which no security or back up film copy is needed.

G. Microfilming Equipment

1. Microfilming equipment, including cameras and processing, duplicating, and testing equipment, used to produce microfilm images for state or local government agencies must be demonstrably capable of meeting these microfilm standards.

2. Acquisition of new microfilm equipment subject to the provisions of the South Carolina Consolidated Procurement Code (1976 Code, 1984 Cumulative Supplement, Sections 11-35-20 to 11-35-1240 and Rules and Regulations, 19.445.2000 to 19.445.2130 or as amended) must be approved by the Information Technology Planning and Management Office of the Division of Research and Statistical Services of the State Budget and Control Board, and be reviewed by the Department before purchase is made. When local governments have adopted ordinances to use the State Procurement Code or its equivalent, the requirements which apply to information technology equipment purchases must be followed.

3. All contracts for microfilming equipment agreed to by state or local government agencies should specify that the equipment can be returned to the vendor for full credit at the agreed upon purchase price if it does not meet the standards required for the application. Whether the equipment meets such standards must be determined within 30 days after the testing operation begins, following delivery and installation. State and local government agencies should submit test strips for evaluation to the Department's Microfilm Services division before the 30 day period ends to determine whether to accept the new equipment. Any modifications to new microfilming equipment before final acceptance to enable such equipment to meet required standards must be made at no cost to the purchaser and with no alteration of service contracts or manufacturer's warranties.

12-202. Standards and Practices for Records of Archival Value and Long-Term Retention Value.

A. Archival and Long-Term Value Microfilm

1. ARCHIVAL RECORD MICROFILM is defined as filmed records determined by a duly approved Records Series Retention/Disposition Schedule or an equivalent evaluation by the Department to be of sufficient value to warrant permanent (perpetual) retention.

2. MICROFILM RECORDS OF LONG-TERM RETENTION VALUE are filmed records that must be retained because of statutory or fiscal requirements for research use for periods of between ten and one hundred years.

B. Camera Microfilm

1. The camera microfilm for filming records of archival and/or long-term retention value shall be safety base permanent silver halide film as defined in Part 1230—Micrographics, Sec.1230.4, Definitions—Archival Microfilm, printed in the Federal Register, Vol. 50, No. 125, June 28, 1985 and attached below, or the latest revision.

2. Safety base film is defined as low in nitrate nitrogen content, slow to ignite, and difficult to burn. Only safety base permanent film can qualify as archival record film.

3. The film must meet the standards cited above, or the latest revision. Only silver emulsion film of archival quality will be used for filming records of perpetual or long-term retention value, except when computer output microfilm (COM) records of long term value only are scheduled as described in 4.a. below. To comply with the specifications for permanence and archival storage, perpetual and long term record films must have a silver halide emulsion processed to a silver-gelatin black and white photographic image.

4. Computer output microfilm shall meet the standards for Computer Output Microforms in the Federal standards referred to above, or the latest revision, and as follows:

a. The Department will accept for security storage only safety base silver-gelatin microfilm (which must meet the film standards cited above). State agencies and local government offices must use silver-gelatin microfilm when records of archival value are placed on COM. (See Appendix C-1 & 2, D-1 & 2, and E.) When a duly approved under the Public Records Act records retention schedule allows storing COM of records of long-term retention value at a site other than the Department's microfilm vault, the security copy may be dry silver, diazo, or vesicular film if there is evidence presented that proves to the Department's satisfaction the dry silver, diazo, or vesicular microfilm will be stable for the length of time the record is to be maintained.

b. The Department will accept only COM whose legibility has been determined to be sufficient to produce readable copies on subsequent generation microfilm or, when needed, on enlarged paper printouts from the microfilm at the generation determined to be necessary for the retention value of the information (see the chart on resolution in part C. 4. below).

The Department will not authorize COM to be stored in an alternative repository for security if the information legibility is not sufficient to reproduce to the generation predetermined to be necessary to maintain the record information for its appraised useful retention. It is the responsibility of the depositing state agency or local government entity to provide information in writing to the Department verifying the legibility projection to the required generation when depositing security COM.

c. COM may be 16 mm rolls, 35 mm rolls, or 105 mm × 148 mm microfiche.

d. Reductions of information on COM shall not exceed 48 diameters.

e. When first generation negative-appearing (1N) COM is the goal, the reversal process shall be full reversal and not partial reversal or halide reversal.

f. When first generation positive-appearing (1P) COM of perpetually valuable (archival) information is submitted to the Department for security storage, the minimum D max (maximum density) on a given piece of film shall be 0.75, as judged by comparison of the film with an image of known density under a microscope. The method used to determine the D max or exposed film density of film submitted for storage shall be reported to the Department in writing and the report shall accompany the film to be deposited. The maximum D min (minimum density on a given piece of film or film base plus fog density) shall be 0.15 (the background diffuse density for

printing as measured by a transmission densitometer). A D min and D max difference of 0.60 is recommended. (See also part D of this section below.)

If the security COM of records of long term value is to be stored in a repository other than the Department, the D max and D min report of the film must be submitted to the Department which must judge the levels acceptable before the deposit can be made.

g. When negative-appearing (1N) COM of permanently valuable (archival) information is submitted to the Department for security storage, the minimum D max (background diffuse density for printing as measured by a transmission densitometer) shall be at least 1.50, 1.80 preferred. The maximum D min shall be 0.20, as judged by comparison of the film with an image of known density under a microscope. The method used to determine the D min on film submitted for storage shall be reported to the Department in writing and the report shall accompany film to be deposited.

If the security COM of records of long-term value is to be stored in a repository other than the Department, the D min and D max report of the film must be submitted to the Department, which must judge the levels as acceptable before deposit can be made.

h. Machine readable data and/or paper printouts of information from machine readable data must be maintained until the COM has been approved by the Department as a suitable record copy of the desired information.

C. Resolution

1. Resolution is defined as the ability of a microfilm system to make visible and distinguishable the fine detail of a filmed image. The measure of the resolution or sharpness of the image is expressed as the number of lines per millimeter discernible under a microscope in an exposed image of a filmed resolution test chart.

2. Only resolution test charts developed by the National Bureau of Standards for source document filming and referred to in the Standards for Creation of Microform Records, Section 1230.14e (Microfilm Standards Attachment) shall be used for filming and resolution testing on a planetary camera. Likewise, resolution test charts developed specifically for the rotary type camera must be used for filming and resolution testing on a rotary camera.

3. For microfilm of records that are typed or printed, the resolution shall be based on the "Quality Index Method" set forth in the Standards for Creation of Microform Records, Section 1230.14e as amended (Microfilm Standards Attachment):

a. For records of archival value, the originals of which are considered legible but can only be read with difficulty, the minimum resolution pattern shall be based on (1) achieving an index of excellent quality, 8.0 or higher; (2) the height of the lower case "e" of 2.0 mm, unless otherwise indicated, and (3) the number of film generations necessary to obtain the desired result.

b. For records of archival value, the originals of which are completely legible, the minimum resolution pattern shall be based on (1) achieving a level of acceptable quality, 5.0 or higher; (2) the height of the lower case "e" of 2.0 mm, unless otherwise indicated, and (3) the number of film generations necessary to obtain the desired result.

c. For records of long-term value, the minimum resolution pattern for all typed and printed material shall be based on (1) achieving a level of acceptable quality, 5.0 or higher; (2) the height of the lower case "e" of 2.0 mm, unless otherwise indicated, and (3) the number of film generations necessary to obtain the desired results.

4. Below are the film generations with the required resolution pattern for each generation of film of records with the lower case "e" of 2.0 mm height. The resolution pattern should decrease only one pattern per generation for each duplicate film.

Film Generation *	Excellent Quality Resolution Pattern	Acceptable Quality Resolution Pattern
1	4.0	2.5
2	4.5	2.8
3	5.0	3.2
4	5.6	3.6
5	6.3	4.0

* The ability to reproduce to three (3) film generations is the minimum number required for archival film security copies.

a. Where there is handwritten and typed or printed material combined on a document, the Quality Index Method may be used to determine resolution by referring to the requirements for the lower case “e” of at least 2.0 mm in height as set forth in 3a-3c above. If no 2.0 mm or smaller lower case “e” can be referred to, the procedure for handwritten documents given in number 5 below will be followed.

b. The Department reserves the right to inspect the height of the lower case “e”. If the “e” is less than 2.0 mm in height, a different resolution pattern is required, the pattern to be determined by the Quality Index Method, which allows for differences in the height of the selected letter, lower case “e”.

5. In microfilm operations where the use of the Quality Index Method is not practical, such as in the filming of handwritten documents, the Reduction Ratio/National Bureau of Standards Pattern Tables listed below may be used to determine the resolution needed. The tables give the smallest resolution test pattern that must be read for each reduction ratio when documents with medium size handwriting are microfilmed. In some special cases, a smaller test pattern may be necessary to produce legible images, such as when characters on a document are written extremely small and thin. If a smaller pattern is needed, contact the Department for approval before using the pattern.

a. Microfilm Resolution Patterns for Records
of Archival (Perpetual) Value Requiring
Reproduction to 4 Generations **

Reduction Ratio	Smallest NBS Pattern Read
8X	10.0
10X	8.0
12X	7.1
16X	5.6
20X	5.0
24X	4.5
26X	4.5
28X	4.5
30X	4.0
32X	4.0
36X	3.6

** If the microfilm application requires a paper print from the third generation copy, the patterns listed are required for a legible print.

b. Microfilm Resolution Patterns for Records
of Long-term Value Requiring
Reproduction to 3 Generations

Reduction Ratio	Smallest NBS Pattern Read
8X	8.0
10X	6.3
12X	6.3
16X	5.0
20X	4.5
24X	4.0
26X	4.0
28X	4.0
30X	3.6
32X	3.6
36X	3.2

c. Microfilm Resolution Patterns for Records
of Long-term Value Requiring Reproduction
to 2 Generations

Reduction Ratio	Smallest NBS Pattern Read
8X	7.1

Reduction Ratio	Smallest NBS Pattern Read
10X	5.6
12X	5.6
16X	4.5
20X	4.0
24X	3.6
26X	3.6
28X	3.6
30X	3.2
32X	3.2
36X	2.8

6. First generation silver halide microfilm of engineering drawings¹ must have the minimum resolution for the reduction ratios listed in the chart below or the equivalent for intermediate reductions when the microfilm is to be used to reproduce 2 subsequent generations; that is, when the drawings are of archival value or must be reproduced to the third generation.

a. Microfilm Resolution Patterns for Engineering Drawings of Archival Value

8X	10.0
12X	8.0
16X	7.1
20X	5.6
24X	5.0
28X	4.5
30X	4.5
36X	4.0

7. If the pattern of the resolution chart can not be attained or is not technically feasible, the Department must be notified in writing requesting a waiver of this requirement whenever security or archival quality film is to be produced. The waiver should be obtained in writing before any additional records are filmed. Waivers shall be considered if there is no intention to destroy the original record after filming, if acceptable alternative standards are proposed for the microfilm records, or if the filmed copy was made before this standard was adopted.

Waivers shall apply only to the material and film in question and microfilming of permanent records of archival value shall not continue using the same equipment, supplies and procedures that produced less than the required standard for archival quality film. Waivers will not be granted for microforms produced by new equipment.

D. Density

1. Optical density is defined as the light absorbing quality of a photographic image (degree of opacity). Several specific types of density values for a photograph may be expressed, but background density, which is the measurement of the amount of light that is prevented from passing through the non-record area of an image expressed as a logarithm, is most commonly used for microfilm to indicate how dark or black the image is.

2. The background density of the processed camera roll required to reproduce the film to the sufficient number of generations shall depend on the material filmed.²

Description of Documents	Acceptable Background Density Range
a. periodicals, dense typing, and high quality printed books	1.00 to 1.30
b. pencil writing with a soft lead, documents with small writing	0.95 to 1.25
c. graph paper with pale, fine-colored lines and very small printing such as footnotes, faded printing, and pencil drawings	0.90 to 1.20
d. poorly printed faint documents and very weak pencil manuscripts and drawings	0.85 to 1.10
e. old, faded ink documents on discolored paper with very little contrast between the handwriting and the background	0.70 to 1.00

Description of Documents	Acceptable Background Density Range
f. high contrast drawings or writing on mylar filmed with back lighting	1.30 to 1.60
g. low contrast writing on mylar filmed with back lighting	1.00 to 1.30
h. non-white documents with black and non-black printing	0.80 to 1.10

3. Density requirements are target ranges. Minor variations from the acceptable density ranges for the above given categories at times may not have an adverse effect, but the more important the record and the greater the problem with legibility, the more critical it is to stay within the ranges provided. If there is a problem maintaining the density ranges, or if it is not technically feasible to do so, the Department must be notified in writing requesting a waiver of the requirement. The written waiver should be obtained before any additional records are filmed. Waivers shall be considered if there is no intention to destroy the original record after filming, if an acceptable alternative requirement yields better results than staying within a given range stated above, or if the filmed copy was made before this standard was adopted.

Waivers shall apply only to the material and film in question and microfilming of permanent records of archival value shall not continue using the same equipment, supplies, and procedures that produced less than the required standard for archival quality film. Waivers will not be granted for microforms produced by new equipment.

4. If positive images constitute the processed camera roll, the background density from good quality, high contrast, negative photostats must be between 0.04 to 0.16. Certain poor quality, low contrast photostats or blueprints may require a higher background density in order to enhance faint writing.

E. Base Plus Fog Density

1. Base Plus Fog Density is defined as the density of a film that has not been exposed, but which has been developed and fixed.

2. The base plus fog density or (D-min) of each processed camera roll shall be 0.10 or less.

F. Processing of Camera-Exposed Film

1. Each camera-exposed roll shall be processed in a microfilm processor that has a separate tank or container for the thiosulfate (fixer). The thiosulfate should contain an acceptable biotic inhibitor such as an iodine ion to help prevent the formation of blemishes.

2. The film shall be processed with sufficient water flow to be tested as prescribed in the Standards for Creation of Microform Records, Section 1230.14d (Microfilm Standards Attachment) or its latest revision.

3. If the processing is the reversal type, it must be the full photographic reversal and not partial-reversal in order to have a fixed silver archival record microfilm security copy for archival or long-term retention.

G. Control Strips

A Control Strip is a strip of stable film pre-exposed to a precision light source. In order to maintain uniformity of the developer in the processor, it is required that control strips be processed periodically (preferably on a daily basis) whenever security microfilm is processed and highly recommended for all processing.

H. Quality Testing of Processed Film

1. The security copy and reproduction duplicate film emulsion shall be protected at all times. After processing, camera and duplicate rolls shall be inspected on a rewind station equipped with rewinds and a lamp box and shall not be handled unless the operator or inspector is wearing white, lint-free gloves. To prevent scratching the emulsion, the camera-original film being tested will not be placed on or under rollers, nor shall reproduction duplicate microfilm copies of records of archival value be placed on or under rollers unless the camera silver emulsion microfilm or other acceptable security copy is in a temperature and humidity controlled environment and available for further reproduction.

2. The film shall be tested for background density and resolution and inspected for any possible defects that may affect the readability or legibility of the film. If density and resolution levels are not within the specified ranges for archival or long-term retention film, corrective action must be carried out to meet the standards.

3. The silver densitometric test and/or the methylene blue test (accepted methods for measuring residual thiosulphate in film) will be rendered on all processed microfilm of archival or long-term retention value, unless the security copy is authorized to be retained on non-archival film as stated in section 12-300 B.4a. above.

a. The silver densitometric test should be administered each day while processing silver emulsion film.

b. One methylene blue test should be administered at least every fifth consecutive day of processing silver emulsion film. The Department may require more or fewer tests depending on the quantity of rolls processed and other factors. If the test results are higher than 0.7 micrograms of residual thiosulphate per square centimeter for the methylene blue test in a clear area of the film and/or higher than 0.02 density difference for the silver densitometric test, all film processed since the last tests must be rewashed and another test performed in order to achieve satisfactory results.

If the test readings are not acceptable after the film is rewashed and the microfilm must meet archival quality standards, a duplicate should be made to use in place of the film in question unless it is necessary to refile the records in order to meet the required standards.

c. The tests used for determining the concentration of residual thiosulfate or other chemicals on processed film referred to above shall be those prescribed in the Standards for Creation of Microform Records, section 1230.14d (Microfilm Standards Attachment), or the latest revision.

d. If the Methylene Blue Method is used to measure the thiosulfate concentration on film, the test must be made within two weeks after the film was processed for the results to be accurate.

I. Certification of Microfilm Quality

All security microfilm copies of records of archival value required to be deposited with the Department shall have resolution and density reading tests, and content and legibility inspections results certified on the appropriate microfilm quality certification forms. All certifications are subject to verification by the Department's quality control technicians who will select sample microfilm copies and conduct separately made tests whenever appropriate or necessary. (See Appendix C-1 and C-2 for the certification report form and instructions.) All security copies of records of long-term value filmed in the course of recording government or public documents must be certified as to quality also. The procedure for obtaining certification of film of doubtful quality (alternative) shall apply only when more than one reproduction can produce a satisfactory microfilm record.

J. Splicing of Microfilm

1. When it is necessary to make corrections and insert retakes, the camera or duplicate security roll may be spliced using the heat splice or ultra sonic methods. The roll may have no more than eight splices per 100 feet of film, and the splices must be four inches apart to avoid problems in duplication of the film.

2. Pressure sensitive tape or film cement may not be used for splicing camera negative or duplicate security roll film of archival or long-term retention value.

K. Duplication

1. The camera silver emulsion original or archival record microfilm shall not be used for duplication except to make a silver emulsion reproduction duplicate, unless the Department determines the condition of the film and the circumstances require otherwise. The camera silver emulsion original shall not be inserted into a reader or viewer or loaded into a cartridge unless a second master copy is provided first for the security film deposit and the substitute master is capable of legible reproduction to the required number of generations for microfilm records of archival value.

2. All copies of archival record microfilm for distribution or research use shall be made from silver emulsion reproduction duplicates unless they are for in-house use or temporary interoffice

use. When this occurs, the archival quality master security copies must not be exposed to ammonia or other chemicals or fumes harmful to silver film.

3. Silver emulsion, diazo, or vesicular film duplicators that are properly maintained, operated and vented are acceptable for the reproduction of third generation reference or distribution microfilm copies.

4. The second generation reproduction duplicate film copy shall not be used on a microfilm reader for film editing or other purposes unless the original camera silver emulsion microfilm or security copy is available for further reproduction.

L. Security Microfilm

1. Security microfilm is defined as the camera silver original microfilm or the intermediate master silver film copy of a public record that has been determined to be of such importance for administrative, fiscal, legal, or historical reference or research that a copy of the record is produced on microfilm and stored under proper temperature and humidity control in a location away from the original record, later generations on film or a magnetic medium copy.

2. When records of archival value are filmed or created on film, the silver emulsion camera original must be forwarded for permanent storage in the Department's fire-resistant, temperature and humidity controlled film vault. Silver reproduction duplicates meeting the required standards can be accepted in place of the camera original with the approval of the Department.

3. Security microfilm of long-term retention value should also be stored in the Department's State Records Center microfilm vault for the specified period of time, if space is available. Similar storage areas with proper temperature and humidity controls may be substituted when approved by the Department in writing.

4. If the processed camera original silver emulsion black and white roll is to be retained permanently (perpetually), the Department shall determine whether the camera original film shall be used for reproduction of working copy or reference rolls without an intermediate reproduction duplicate.

M. Storage Requirements for Security Microfilm

1. Security microfilm shall be stored in a vault or other similar protective enclosure that is rated at least four hours fire resistant. The ideal temperature for security storage of wet process silver black and white microfilm security copies is 65 degrees Fahrenheit. The ideal relative humidity is between 30% and 40%. The temperature and relative humidity should not vary more than 5% in a 24 hour period, and the humidity must not drop below 30%. Minimally acceptable levels for temperature and relative humidity for storage of silver black and white security microfilm are a steady 70 degrees Fahrenheit and 50% relative humidity. Dehumidifiers using desiccants shall not be used.

2. Only wet process silver black and white gelatin film which meets the standards for permanent record film in the attached Standards for Creation of Microform Records will be stored in the Department's microfilm vault or other similar protective enclosure. Non-silver film such as diazo or vesicular, nitrate base film, color film, or other types of film not approved by the Department will not be stored together with silver-gelatin film. Neither shall non-silver, nitrate base, color, diazo, and vesicular films be stored in an enclosed area that shares the same ventilation system with another area where silver-gelatin film is stored. Dry silver film will not be stored in the same storage enclosure with wet process silver emulsion security film of permanently valuable (archival) records.

3. Containers or boxes used for storage of individual rolls of security microfilm must be either (1) stable, peroxide-free plastic; (2) acid-free (pH 6.5 to 8.5) and lignin-free cardboard boxes; or (3) noncorrosive metal such as anodized aluminum or stainless steel. Film is to be wound on stable, peroxide-free, noncorrosive reels. No rubber bands, paper, plastic ties or pressure sensitive tape shall be placed on the film or reels in the film containers. Individual reel boxes and film must be kept free of any fungus or mold. 105 mm microfiche must be stored in acid-free (pH 6.5 to 8.5), lignin-free envelopes.

N. Certification of Film

When archival records are converted to microfilm, the state agency, department, institution, or other political subdivision office shall certify or have certified by a duly qualified agent that the film

meets the quality standards for archival film (see Appendix D-1 and D-2). If any records are to be destroyed after microfilming, certification that the film meets the applicable standards must be completed by the agency or office and approved by the Department before the disposal is carried out.

O. Microfilm Working Copy (Duplicate)

1. The microfilm copy produced for office or research use shall be legible, and electronic retrievals, where applicable, shall operate properly. A paper printout copy made from the film must be legible.

2. Film may be silver or non-silver, safety base type.

3. Working copy film will not be stored with security film of archival or long-term retention value.

4. The working copy film should not be stored or used in direct sunlight or left over a source of heat when not in use in a reader.

HISTORY: Added by State Register Volume 12, Issue No. 3, eff March 25, 1988.

¹ Diazo, vesicular, other non-silver or dry silver microforms are not acceptable as security copies of engineering drawings of archival value.

² The camera roll for duplicating should not have a document background density range greater than .30 unless it is unavoidable because several different categories of documents are microfilmed on one roll.

12-203. Standards and Practices for Microfilming Records of Short-Term Retention Value.

A. Short-Term Value Records

SHORT-TERM RETENTION VALUE microfilm records are filmed records that have to be kept less than ten years as determined by a duly approved Records Series Retention/Disposition Schedule or the equivalent. The fiscal, legal, reference, or administrative value is of short-term duration, but for reasons such as volume or bulk, the paper records are converted to microfilm.

B. Camera Microfilm Resolution

1. Silver halide or other films legible on a microfilm reader and from a paper copy made from a reader-printer are acceptable.

2. Resolution charts should be filmed as an aid in maintaining equipment specifications.

C. Density

No test is required, but the film must be legible when viewed on a microfilm reader.

D. Base Plus Fog Density

No test required.

E. Processing

The film must be developed in a processor that will insure legibility of the film. There is no absolute requirement for the microfilm processor to have a separate tank or container for the thiosulfate (fixer) when processing film of short-term retention value, but it is advisable to take this extra precaution whenever possible if the film is expected to last for a few years.

F. Security Film

Security copy film must be safety base film of such quality as to be capable of producing two generations of legible film. Silver-gelatin film must be used for security copies to be stored in the State Records Center film vault. The security copy must meet the requirements for: (1) processing of camera exposed film and (2) storage requirements for security microfilm as outlined in the section for archival and long-term value film above.

G. Destruction of Records

Short-term value records that have been microfilmed or converted to film may be disposed of after the Microfilm Quality Certification for Records Disposition Form (see Appendix D-1 and D-2) has been completed and approved by the state agency or political subdivision office or agency and the

Department, as specified in a duly approved Records Series Retention/Disposition Schedule or its equivalent.

HISTORY: Added by State Register Volume 12, Issue No. 3, eff March 25, 1988.

Ch. 12, Art. 2, Attachment

MICROFILM STANDARDS ATTACHMENT

(50 Fed. Reg. 26935, June 28, 1985)

1228.188. Machine-readable records.

(a) *Magnetic tape.* Computer magnetic tape is a fragile medium, highly susceptible to the generation of error by improper care and handling. To ensure that permanently valuable information stored on magnetic tape is preserved, Federal agencies should schedule files for disposition as soon as possible after the tapes are written. When NARA has determined that a file is worthy of preservation, the agency should transfer the file to the National Archives as soon as it becomes inactive or whenever the agency cannot provide proper care and handling of the tapes (see Part 1234 of this chapter) to guarantee the preservation of the information they contain. The tapes to be transferred to the National Archives shall be on one-half inch 7 or 9 track tape reels, written in ASCII or EBCDIC, with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block, or file), blocked no higher than 30,000 bytes per block, at 800, 1600, or 6250 bpi. The tapes on which the data are recorded shall be new or recertified tapes (see Part 1234 of this chapter) which have been passed over a type cleaner before writing and shall be rewound under controlled tension.

(b) *Other magnetic media.* When a machine-readable file that has been designated for preservation by NARA is maintained on a direct access storage device, the file shall be written on new or recertified one-half inch 7 or 9 track tapes, written in ASCII or EBCDIC, with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block, or file), blocked no higher than 30,000 bytes per block, at 800, 1600, or 6250 bpi. This copy shall be transferred to the National Archives.

(c) *Documentation.* Documentation adequate for servicing and interpreting machine-readable records that have been designated for preservation by NARA shall be transferred with them. This documentation shall include, but not necessarily be limited to completed Standard Form 277, Computer Magnetic Tape File Properties, or its equivalent. Where it has been necessary to strip data of extraneous control characters (see paragraphs (a) and (b) of this section), the codebook specifications defining the data elements and their values must match the new format of the data. Guidelines for determining adequate documentation may be obtained from the Office of Records Administration (mailing address: National Archives (NI), Washington, DC 20408). Section 1228.198 is amended by removing in paragraph (b) the words "Regional Archives" and by revising paragraph (a) to read:

1228.198. Use of records transferred to the National Archives.

(a) In accordance with 44 U.S.C. 2108, restrictions lawfully imposed on the use of transferred records will be observed and enforced by NARA to the extent that they do not violate 5 U.S.C. 552. Statutory and other restrictions on transferred records remain in force until the records have been in existence for 30 years, unless the Archivist of the United States, after consulting with the head of the transferring agency, determines that the restrictions shall remain in force for a longer period of time for specific bodies of records. The regulations in Subchapters B and C of this title, insofar as they relate to the use of records in the National Archives or in a Federal records center, apply to official use of the records by Federal agencies as well as to the public. * * * * *

15. Parts 1230, 1232, 1234, and 1238 are added to read as follows:

PART 1230

MICROGRAPHICS

Authority: 44 U.S.C. 2907, 3302 and 3312

1230.1. Scope of part.

This part provides standards for using micrographic technology in the creation, use, storage, retrieval, preservation, and disposition of Federal records. Agencies should also consult 41 CFR Subpart 201-45.1 for GSA requirements relating to micrographic records management programs.

1230.2. Authority.

As provided in 44 U.S.C. Chapters 29 and 33, the Archivist of the United States is authorized to establish standards for the photographic and micrographic production and reproduction of records by Federal agencies with a view to disposal of the original records; to establish uniform standards within the Government for the storage, use, and disposition of processed microfilm records; and to establish, maintain, and operate centralized microfilming services for Federal agencies.

1230.4. Definitions.

For the purpose of this part, the following definitions shall apply;

Archival microfilm. Silver halide microfilm meeting the requirements of Federal Standard No. 125D, Film, Photographic and Film, Photographic Processed (for permanent records use); American National Standards Institute (ANSI) Standard PH1.25-1984 Safety Photographic Film, Specification for; PH1.28-1984 Photographic Film for Archival Records, Silver Gelatin Type on Cellulose Ester Base, Specifications for; PH1.41-1984 Photographic Film for Archival Records, Silver Gelatin Type on Polyester Base, Specifications for; when tested by ANSI Standard PH4.8-1984, Methylene Blue Method for Measuring Thiosulfate and Silver Densitometric Method for Measuring Residual Chemicals in Films, Plates, and Papers; and stored in accordance with ANSI Standard PH1.43-1983, Storage of Processed Safety Photographic Film, Practices for.

Computer Output Microfilm (COM). Microfilm containing data produced by a recorder from computer generated signals.

Facility. for equipment and operations required in the production or reproduction of microforms either for internal use or for the use of other organizational elements of the Federal Government.

(a) *Microfilm.* [Raw exposed and unprocessed] film with characteristics that make it suitable for use in micrographics;

(b) The process of recording microimages on film; and

(c) A fine-grain, high-resolution photographic film containing an image greatly reduced in size from the original.

Microform. A term used for any form containing microimages.

Microimage. A unit of information, such as a page of text or a drawing, that has been made too small to be read without magnification.

Permanent record. Any record (see definition in 44 U.S.C. 3301) that has been determined by the Archivist of the United States to have sufficient historical or other value to warrant its continued preservation by the Government.

Unscheduled records. Any record that has not been appraised by NARA, i.e., a record that has neither been approved for disposal nor designated as permanent by the Archivist of the United States.

SUBPART A

Standards for Creation of Microform Records

1230.10. Authorization.

(a) Agencies proposing to microfilm permanent records or unscheduled records shall submit Standard Form (SF) 115, Request for Records Disposition Authority, in accordance with Part 1228 of this chapter. The SF 115 shall provide for the disposition of original records and microforms.

(1) Agencies proposing microfilming methods and procedures meeting the standards in § 1230.14 shall include on the SF 115 the following certification: "This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 36 CFR Part 1230."

(2) Agencies having proposed microfilming methods and procedures that do not meet the standards in § 1230.14 shall include on the SF 115 a description of the system and standards proposed for use.

(b) The approved retention period for temporary records shall be applied to microform copies of those records; the original records shall be destroyed upon verification of the microfilm, unless legal requirements preclude early destruction of the originals. NARA approval is not required prior to implementation of this provision.

(c) Agencies proposing to retain and store the silver original microforms of permanent records after disposal of the original records shall include on the SF 115 a statement that storage conditions shall adhere to the standards of § 1230.20. Such agencies shall also indicate when the first inspection of microfilm required by § 1230.22 will be conducted.

1230.12. Preparation.

(a) The integrity of the original records authorized for disposal shall be maintained by ensuring that the original microforms are adequate substitutes for the original records and serve the purpose for which such records were created or maintained. Copies shall be complete and contain all record information shown on the originals.

(b) The records shall be arranged, identified, and indexed so that any individual document or component of the records can be located. At a minimum, the records shall include information identifying the agency and organization; the title of the records; the number or identifier for each unit of film; the security classification, if any; and the inclusive dates, names, or other data identifying the records to be included on a unit of film.

1230.14. Microfilming.

(a) *Film stock standards.* The film stock used to make microforms of permanent records for the purpose of disposal of the original shall conform to Federal Standard No. 125D and be on safety-base permanent record film as specified in ANSI PH1.25-1984, Safety Photographic Film, Specifications for; PH1.28-1984, Photographic Film for Archival Records, Silver Gelatin Type on Polyester Base, Specifications for; and tested according to PH1.29-1971, Curl of Photographic Film, Methods for Determining the; and PH1.31-1973, Brittleness of Photographic Film, Method of Determining the. Procedures for testing are covered in Federal Standard No. 170B, Film Photographic, Black and White, Classification and Testing Methods, which cites ANSI standards. To ensure protection for permanent records, agencies using microfilm systems which do not produce silver halide originals meeting these standards shall submit with the SF 115 required by § 1230.10 a schedule for the production of silver duplicates meeting the standards.

(b) *Index placement.* All indexes, registers, or other finding aids, if microfilmed, shall be placed in the first frames at the beginning of a roll of film or in the last frames of a microfiche or microfilm jacket. Computer-generated microforms shall have the indexes following the data on a roll of film or in the last frames of a microfiche or microfilm jacket. Other index locations may be used only if dictated by special system constraints.

(c) *Original permanent microfilm records.* Systems that produce original permanent records on microfilm with no paper original; e.g., COM, shall be designed so that they produce microfilm which meets the standards of this section.

(d)(1) *Microfilm Processing.* Microfilms of permanent records where the original will be disposed of shall be processed so that the residual thiosulfate ion concentration will not exceed 0.007 grams per meter in a clear area. Agencies or services that conduct tests for Federal agencies shall meet this requirement by performing the methylene blue test specified in ANSI PH4.8-1984.

(2) If the processing is to be of the reversal type, it shall be full photographic reversal; i.e., develop, bleach, expose, develop, fix, and wash.

(e)(1) *Quality Standards.* The method for determining minimum resolution on microforms of source documents shall conform to the Quality Index Method for determining resolution and anticipated losses when duplicating as described in the Association for Information and Image Management (AIIM) Recommended Practice MS104.

(i) For permanent records, a Quality Index of five is required at the third generation level.

(ii) For nonpermanent records, a Quality Index of five is required at the level of the specific number of generations used in the system.

(iii) Resolution tests shall be performed using the NBS 1010a Microcopy Resolution Test Chart or equal and the patterns will be read following the instructions provided with the chart.

(iv) The character used to determine the height used in the Quality Index formula shall be the smallest character used to display record information.

(2) The background photographic densities on microforms shall be appropriate to the type of documents being filmed. Recommended background densities are as follows:

Classification	Description of documents	Background density
Group 1	High-quality printed books, periodicals, and dense typing.	1.1-1.3
Group 2	Fine-line originals, letters typed with a worn ribbon, pencil writing with a soft lead, and documents with small printing.	1.0-1.1
Group 3	Pencil drawings, faded printing, graph paper with pale, fine colored lines, and very small printing such as footnotes.	.90-1.0
Group 4	Very weak pencil manuscripts and drawings, and poorly printed, faint documents.	.80-.90
Group 5	COM	1.2-1.5

The procedure for density measurement is described in AIIM Recommended Practice MS104-1972.

(3) Computer Output Microforms shall meet the AIIM Standard MSI-1971, Quality Standards for Computer Output Microfilm.

(f)(1) *Microforms and formats.* The following formats are mandatory standards for microforms produced by or for Federal agencies:

(i) The formats described in ANSI Standard MS14-1978, Specifications for 16 and 35mm Microfilms in Roll Form, shall be used for microfilming source documents on 16mm roll film. A reduction ratio of 24:1 shall be used whenever document size permits.

(ii) The formats described in ANSI Standard MS14-1978, Specifications for 16 and 35mm Microfilms in Roll Film, shall be used for microfilming source documents on 35mm roll film. When microfilming on 35mm film for aperture card applications, format 2 prescribed in MIL-STD 399A, Military Standard Microform Formats, shall be mandatory.

(iii) Format 3 prescribed in MIL-STD 399A shall be used for aperture cards.

(iv) For microfilming source documents on microfiche, the formats prescribed in MIL-STD 399A and the standards and specifications referenced therein shall be used where appropriate for the size of documents being filmed.

(v) Mandatory Federal COM format standards are contained in Federal Information Processing Standards (FIPS) Publication Number 54.

(2) The outside dimensions for microfilm jackets shall be 148.00 + 0.00 - 1.00mm × 105.00 + 0.00 -0.75mm.

(g) *Microfilm duplicating.* The production of more than 250 duplicates from an original microform, i.e., one roll of microfilm 100 feet in length or one microfiche, requires the approval of the Joint Committee on Printing, as set forth in the Government Printing and Binding Regulations. Administrative records and accounting reports are exempted from this requirement.

SUBPART B

Standards for the Maintenance, Use, and Disposition of Microform Records

1230.20. Storage.

Nonpermanent microform records can be safely maintained under the same conditions as most paper records. The following standards as specified in ANSI PH1.43-1983 are required for storing permanent record microforms:

(a) *Roll form.* Microforms stored in roll form shall be wound on cores or reels made of noncorroding materials such as nonferrous metals or inert plastics. Other metals may be used provided that they are coated with a corrosion-resistant finish. Plastics and coated metals that may

exude fumes during storage shall not be used for confining film on reels or cores. If paper bands are used, the paper shall meet the specifications of ANSI PH1.53-1984.

(b) *Storage containers.* Storage containers for microforms shall be made of inert materials such as metal or plastic. Containers made of paper products should be avoided unless the conditions prescribed in ANSI Standard PH1.53-1984 are met. The containers shall be closed to protect the microforms from environmental impurities and improper humidities.

(c) *Storage rooms.* Storage rooms or vaults for archival microforms shall be fire-resistant and must not be used for other purposes such as office space, working areas, or storage of other materials. The National Fire Protection Association (NFPA) publication NFPA 232, Protection of Records, provides further guidance. Protection from damage by water shall be accomplished by storing permanent record microforms above reasonably anticipated flood stages.

(d)(1) *Environmental Conditions Required.* The relative humidity of the storage room or vault shall range from 20 to 40 percent with an optimum of 30 percent. Rapid and wide-ranging humidity changes will be avoided and shall not exceed a 5 percent change in a 24-hour period.

(2) Temperature shall not exceed 70 ° F. Rapid and wide-ranging temperature changes shall be avoided and shall not exceed a 5 percent change in a 24-hour period. A storage temperature of 35 ° F, or below should be used for color film.

(3) Solid particles, which may abrade film or react with the image, shall be removed by mechanical filters from air supplied to housings or rooms used for archival storage. The mechanical filters are preferably of dry media type having an arrestance or cleaning efficiency of not less than 85 percent as determined by the stain test described in ASHRAE Standard 52-68 (11).

(4) Gaseous impurities such as peroxides, oxidizing agents, sulphur dioxide, hydrogen sulfide, and others which cause deterioration of microforms shall be removed from the air by suitable washers or absorbers. Archival microforms shall not be stored in the same room with nonsilver gelatin films. They also shall not be stored in another room using the same ventilation system because gases given off by the other films may damage or destroy the images on the silver archival films.

1230.22. Inspection.

(a) Master films of permanent record microforms and records microfilmed to dispose of the original record shall be inspected every 2 years during their scheduled life. The inspection shall be made using a 1 percent randomly selected sample in the following categories: 70 percent—microforms not previously tested, 20 percent—microforms tested in the last inspection, and 10 percent—control group. The control group shall represent samples of microforms from the oldest microforms filmed through the most current. The results of the inspection shall be reported to the Office of Records Administration, National Archives (NI), Washington, DC 20408, 30 days after the inspection is completed. Reports shall include (1) the quantity of microform records on hand; i.e., number of rolls and number of microfiche; (2) the quantity of microforms inspected; (3) the condition of the microforms; (4) any defects discovered; and (5) corrective action taken.

(b) The elements of the inspection shall consist of (1) an inspection for aging blemishes following the guidelines in the National Bureau of Standards Handbook 96, Inspection of Processed Photographic Record Films for Aging Blemishes; (2) a rereading of resolution targets; (3) a remeasurement of density; and (4) a certification of the environmental conditions under which the microforms are stored, as shown in § 1230.10.

(c) *An inspection log shall be maintained.* Information to be contained in the log shall include (1) a complete description of all records tested (title; number or identifier for each unit of film; and inclusive dates, names, or other data identifying the records on the unit of film); (2) the record category; i.e., newly tested, previously tested, or control group; (3) the date of inspection; (4) the elements of inspection; (5) the defects uncovered; and (6) the corrective action taken. In addition, the log shall contain the results of all archival film tests required by § 1230.14.

(d) An agency having in its custody a master microform that is deteriorating, as shown by the inspection, shall prepare a silver duplicate to replace the deteriorating master.

(e) Agencies are responsible for the inspection of agency microfilm records transferred to Federal records centers.

1230.24. Use of microform records.

(a) The master microform shall not be used for reference purposes. Duplicates shall be used for reference and for further duplication on a recurring basis or for large-scale duplication, as for distribution of records on microform. Agency procedures shall ensure that master microforms remain clean and undamaged during the duplication process.

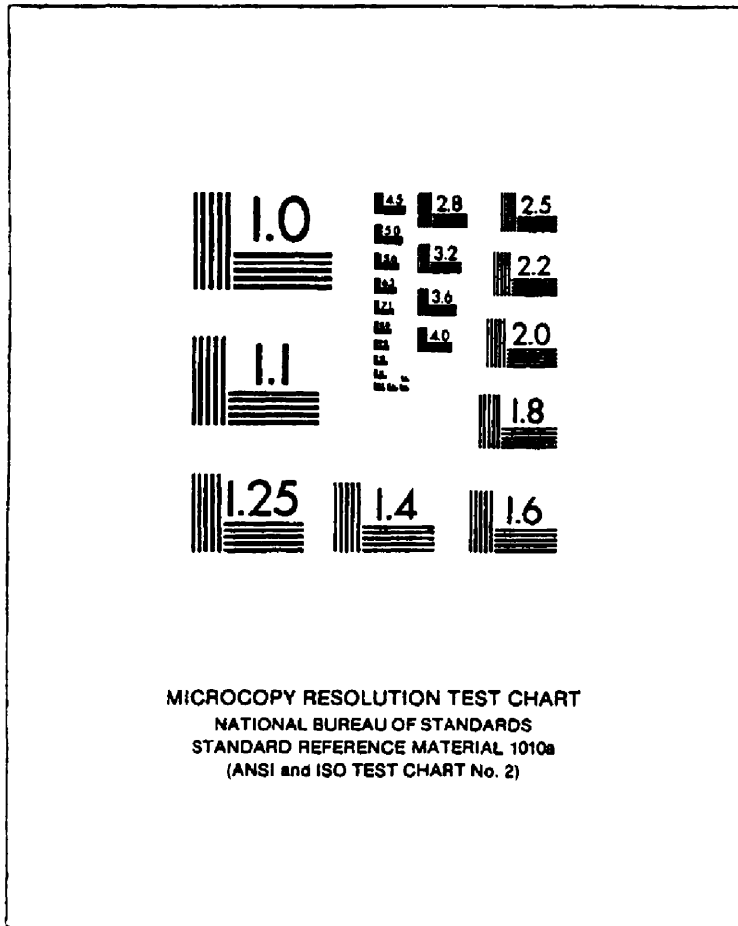
(b) Agencies retaining the original record in accordance with an approved records disposition schedule may apply agency standards for the use of microform records.

APPENDIX 1

ROLL NO.

**REDUCTION
RATIO**

APPENDIX 2



MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS
STANDARD REFERENCE MATERIAL 1010a
(ANSI and ISO TEST CHART No. 2)

THIS IS A SAMPLE COPY OF THE MICROCOPY RESOLUTION TEST CHART. IT IS NOT TO BE USED FOR FILMING.

NATIONAL BUREAU OF STANDARDS #1010-1963-A

THIS CHART (SET OF FIVE) IS FOR USE WITH

PLANETARY CAMERAS.

APPENDIX A

DECLARATION OF INTENT
AND PURPOSE

I, _____, the records officer or authorized representative
(Name)

of _____ do hereby declare that the record series
(Agency or political subdivision and Office)

microfilmed herein, are actual records of the _____

created during its normal course of business. The destruction or other disposition of these microphotographed records is only to be accomplished in accordance with the Code of Laws of South Carolina, 1976, Title 30, Chapter 1, sections 30-1-10 through 30-1-140 (Public Records) and Code of Laws of South Carolina, 1976; 1981 Cumulative Supplement, Article 9, section 19-5-510 (Uniform Business Records as Evidence Act) and Article 11, section 19-5-610 (Uniform Photographic Copies of Business and Public Records as Evidence Act) and approved Records Series Retention/Disposition Schedule or the approved equivalent and after inspection of the microfilm to assure completeness of coverage, legibility of content and adherence to technical quality requirements.

DATE _____, 19____ Signature _____

PLACE _____ Title _____
CITY STATE

SLR-1 (82)

APPENDIX B



South Carolina Department of Archives and History
1430 Senate Street
Columbia, S.C.
P.O. Box 11, 669
Capitol Station 29211-1669
803-758-5816

CERTIFICATE OF AUTHENTICITY

This is to certify that the microphotographs of the records of: _____
South Carolina

consisting of _____

beginning with _____

and ending with _____

are complete and accurate reproductions of the records delivered to this Department for microfilming.

Date Produced

Microfilm Camera Operator

Place (City & State)

APPENDIX C-1

MICROCOPY QUALITY CERTIFICATION REPORT
INSTRUCTIONS

APPENDIX C-1
County/City : _____
Office : _____

THESE CHECKS ARE ALL REQUIRED ON THIS FORM. FAILURE TO COMPLETE THIS FORM WILL RESULT IN THE RETURN OF SECURITY FILM TO THE APPROPRIATE OFFICE. PLEASE HAND SIGN AND NOT TYPE YOUR NAME BELOW AND INCLUDE THE DATE. Submitted by: _____ Title: _____ Date: _____	(1) Microcopy I.D.#	Each microcopy should be assigned a security number. A single continuing numbering sequence should be maintained for all records which will be filmed so that the number assigned to a roll is not duplicated in the future.
	(2) Contents of Microcopy	This column should indicate the title, type, and number of the microfilm record (VOLUMES). If only a portion of a volume is included on film the specific page numbers which were filmed should also be included in this column. If individual papers of files were filmed this column should include the name of the record along with the numbers of the files, cases or packets which were filmed. If no numbers are designated indicate the names which appeared on the first and last file folders which were filmed.
	(3) Resolution Test	Measurement of resolution requires the camera operator to film MICROFILM RESOLUTION TEST CHARTS at the beginning and end of each roll of film. The minimum acceptable resolution is 100 lines/millimeter.
	(4) Density Test	As an aid in measuring microfilm density camera operators should include REFLECTANCE CARDS at the beginning and end of each roll. Acceptable document background density should be between 1.0 and 1.2 wherever possible.
	(5) Residual Thiosulfate	Tests for residual thiosulfate must be completed within two weeks from the date on which the film was developed. Acceptable thiosulfate levels are greater than zero but not more than 1.0 microgram/square centimeter. Acceptable thiosulfate ion levels are 0.7 micrograms/square centimeter or less. Your vendor should indicate if test is for thiosulfate or for thiosulfate ion.
	(6) General Technical Inspection	A general technical inspection should assure that the film is free of the following elements: A) Scratches or abrasions B) Chemical residue C) Spots or blemishes D) Improper framing or spaces between frames E) Impermanent or inferior splices (tape or glue) If inspected film does not contain any of these elements write GOOD in this column.
	(7) Content	A frame by frame inspection of a duplicate copy of the microfilm is required for completion of this column and the next column (LEGIBILITY). Content inspection should insure that the microfilm copy contains the following: A) Correct title B) Appropriate certificates C) Roll Notes (Where necessary) D) Correct sequence of documents E) Explanation of blank or missing pages F) Rulers filmed in same frame with plate & maps If microfilm meets these requirements write SATISFACTORY in this column.
	(8) Legibility	This column should indicate whether the microfilmed images are clearly in focus. Any filmed images which have poor legibility should be compared with the original record. (NOTE: The best microfilm camera can not produce a satisfactory image from an extremely discolored or faded document or photostat). If the original record is in poor condition re-record the information and film the better copy. (Public Records Act, Title 30; Chapter 1, Section 30-1-70). If filmed images are easily read write SATISFACTORY in this column.

TECHNICAL INSPECTION --- TO BE COMPLETED BY FRAME INSPECTION OR PHOTO STAT FOR ALL ARCHIVES SECURITY ROLL ONLY.
 DATE : _____
 COMPLETED BY _____
 COUNTY/ OFFICE STATE.

APPENDIX C-2

MICROCOPY QUALITY CERTIFICATION REPORT

S.C. DEPARTMENT OF ARCHIVES AND HISTORY
(See instruction sheet)

County/City: _____
Office: _____
Date: _____

Technical Inspection					Visual Inspection		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
Microcopy I.D.#	Contents of Microcopy	Resolution Test	Density Test	Residual Thiosulfate	General Technical Inspection	Content	Legibility

Submitted by: _____ Title: _____ Date: _____

Quality Inspected by Archives _____ Title: _____ Date: _____

APPENDIX D-1

MICROFILM QUALITY CERTIFICATION FOR RECORD DISPOSITION
PART I—RECORDS OFFICER

State Agency or Political Subdivision

Division, Section, Office

I certify that the microfilmed copied of the records series identified below meet the "Standards for the microfilming of Public Records" issued by the S.C. Department of Archives and History in accordance with the Code of Laws of South Carolina, 1976, Section 30-1-90 and Section 30-1-130.

I further certify that the microfilmed records have been visually inspected on a microfilm reader and are legible and correct.

An official security microfilm copy is being stored by this agency or political subdivision office as required by the approved Records Series Retention/Disposition Schedule or its approved equivalent.

Yes () No ()

Record Series Title _____ Retention/Disposition Schedule Number _____

Microcopy Identification Number _____ Inclusive Dates and/or Case Numbers _____

The destruction or disposition of the records microphotographed as indicated above is recommended pursuant to the approved Records Series Retention/Disposition Schedule or its approved equivalent.

Date _____ Signature and Title of State Agency or Political Subdivision Office Representative _____

PART II—MICROFILM QUALITY VERIFICATION

The following tests have been performed on the microfilm by *(this agency) (political subdivision office or local agency) (Archives Microfilm Services Division) (commercial microfilm service bureau) to meet the "Standards for the Microfilming of Public Records" issued in accordance with the Code of Laws of South Carolina, 1976, Section 30-1-90 and Section 30-1-130.

	Min. - Max.	Reduction
Resolution Pattern	_____	_____
Density	_____	Type test, if made:
Residual Thisulfate	_____	(methylene blue)
		(silver densitometric)*

Date _____ Signature and Title of Agency or Political Subdivision Office Representative Authenticating Test _____

*Cross out incorrect entries

APPENDIX D-2

PART III—ARCHIVES MICROFILM DIVISION

Destruction of the original (paper) records listed in Part I *(is) (is not) recommended. If destruction is not recommended, state reason _____

A microfilm security copy is required by the approved Records Series retention/Disposition Schedule or its approved equivalent and is: (Check appropriate box)

- () Transferred to permanent custody of the Department of Archives and History
- () On deposit in the:
 - () State Records Center
 - () S.C. Archives
 - () Other location (Specify location) _____
- () A security microfilm copy is not required

Date _____ Microfilm Division Supervisor _____

PART IV—ARCHIVES APPROVAL

The microfilmed records listed in Part I meet the applicable requirements of the "Standards for the Microfilming of Public Records" issued in accordance with the Code of Laws of

South Carolina, 1976, Section 30-1-90 and Section 30-1-130 and the destruction of the original records is approved.

Date	Archives Director
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PART V—DISPOSITION OF RECORDS

The original (paper) records listed in Part I have been destroyed

No Cubic Feet Destroyed	Date of Destruction	Signature and Title of Person Destroying Records
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PART VI—REMARKS

*Cross out incorrect entry

APPENDIX E

Page ____ of ____ Pages

RECORDS TRANSMITTAL AND RECEIPT	TO BE COMPLETE BY RECORDS CENTER
	DATE RECORDS RECEIVED
INSTRUCTION SEND ORIGINAL AND TWO COPIES TO THE RECORDS CENTER	SIGNATURE
	TITLE
FROM: (NAME AND ADDRESS OF AGENCY TRANSFERRING RECORDS)	TO: SOUTH CAROLINA DEPARTMENT OF ARCHIVES AND HISTORY STATE RECORDS CENTER 1919 BLANDING STREET COLUMBIA, S.C. 29201
1. CITY SECURITY CLASSIFICATION AND/OR RESTRICTION ON USE OF RECORDS (if any)	
2. SQUARE FEET OF SPACE CLEARED	3. FILING EQUIPMENT EMPTIED
4. CU. FT. OF RECORDS TRANSFERRED	
A. OFFICE B. STORAGE	A. FILE CABINETS (No.) B. TRAN. FILES (No.) C. SHELVING (LIN. FT.)
5. NAME OF AGENCY RECORDS OFFICER	6. BUILDING AND ROOM NO.
7. TELEPHONE	
8. DATE RECORDS TRANSFERRED	9. AGENCY REPRESENTATIVE TRANSFERRING RECORDS
10. TITLE	
BOX NUMBER	13. DISPOSAL AUTHORITY (SCHEDULE NUMBER AND DISPOSITION DATE)
SRC AGENCY	12. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES

ARTICLE 3
GENERAL RETENTION SCHEDULE FOR STATE ADMINISTRATIVE RECORDS

12-300. Introduction and General Matters; Application of Schedule.

The following general records retention schedule contains minimum retention periods for the official copy of the agency's records. These retentions and dispositions apply regardless of physical format, i.e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, state agencies must complete and submit a report of records destroyed form to the State Archives after eligible records have been destroyed. These forms are available from the Department's Division of Archives and Records Management. State agencies must also contact the State Archives to transfer permanent records to the State Archives for archival retention. Before disposing of public records under this general schedule, state agencies are responsible for ensuring that records are no longer required for federal or state audits, for legal purposes, for litigation, for fiscal information, and/or for any other action. This general schedule supersedes all schedules approved previously for the same records series. However, state agencies may opt out of this general schedule, and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary or in order to avoid conflict with other laws and regulations.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-301. Annual Accountability Reports.

A. Description: Used to determine whether an agency is effectively achieving its legislative mission and program objectives. This record series is prepared by all state agencies and submitted to the Budget and Control Board for distribution to the General Assembly and the Governor's Office. Information includes an agency's mission statement, program objectives, work performance measurement data, analysis of program cost allocations, and related information. The record copy of this series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Budget.

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

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-302. Meeting Minutes (Executive Levels).

A. Description: Used to document the meetings of an agency's executive staff which includes the director, the deputy director, and the division directors. Information includes agenda, place, date, list of attendees, and a summary of discussions and decisions. Also included are informational attachments which are closely related to the meeting minutes.

B. Retention:

(1) Agency: 3 years.

(2) State Archives: Permanent.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-303. Meeting Minutes (Non-Executive Levels).

A. Description: Used to document the meetings of agency staff below the agency director, deputy director, and division director levels. Meetings may also include non-agency attendees. Information includes agenda, location, date, list of attendees, attachments, and a summary of discussions and decisions.

B. Retention: 2 years; destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-304. Contracts.

A. Description: Used to document the contractual relationship between agencies and service providers. Information includes the contract with description of the services to be provided, dates of the contract, signatures, and correspondence.

B. Retention: 3 years after cancellation or expiration of the contract; destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-305. Administrative Correspondence Files (Executive Levels).

A. Description: Correspondence is related to the administration of an agency or division. Communications concern coordination of programs, agency policy, and responsibilities of a non-routine nature that impact on the agency or its divisions. These letters are usually found at the agency director, deputy director and division director levels.

B. Retention:

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

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-306. Administrative Files (Executive Levels).

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

B. Retention:

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

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

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

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

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-308. Administrative Regulation Background Files.

A. Description: Used for the general operation of agency programs. Information includes regulations; instructions; other issuances that establish methods to administer an agency's mission, functions, and responsibilities; and other related information.

B. Retention:

(1) Agency: Until superseded.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-309. Agency Annual Reports.

A. Description: Published report of agency activities made annually to the General Assembly. Information includes financial summaries, objectives, goals, and other data concerning the agency

during the fiscal year. Most annual reports contain an organizational chart, along with brief narratives, and statistical information concerning each major section and division of the agency.

B. Retention:

- (1) Agency's Copy: Until no longer needed for reference.
- (2) State Archives: Permanent (2 copies)
- (3) State Library: (15 copies)

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-310. Agency Publications.

A. Description: Printed material published by state agencies for internal and external distribution. This series includes directories, manuals, research reports, surveys, and other agency publications (except annual report).

B. Retention:

- (1) Agency's Copy: Until no longer needed for reference.
- (2) State Archives: Selection of needed documentation. Permanent.
- (3) State Library: (15 copies).

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-311. Agency Organizational Charts.

A. Description: Reflect the organizational structure of the agency and its divisions. Information includes a diagram which shows a systematic and symbolic arrangement of an agency's divisions and program areas by name and function.

B. Retention:

- (1) Agency's Copy: Until no longer needed for reference.
- (2) State Archives: Selection of needed documentation. Permanent.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-312. Attorney General Opinions.

A. Description: Official opinions issued by the Attorney General or his assistants. These are legal interpretations written upon request of an agency to guide in enforcing and obeying the law. Also included is related correspondence. The record copy of this series is scheduled for permanent retention by the State Archives through the Attorney General's office.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-313. Calendars.

A. Description: Used to keep track of work related events and commitments of agency staff members. Information includes daily appointment books, calendars, and other records indicating dates for meetings and work activities.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-314. Computer Utilization Summaries.

A. Description: Generated to determine staff use of an agency's computer systems. Information details the total time the system is used, amount of individual staff time the system is used, and total time work stations are used (including job queue and printers).

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-315. Conferences, Workshops, And Seminars (Agency Sponsored).

A. Description: Files concerning each conference, workshop or seminar sponsored by the agency. Information includes registration material, letters, brochures, lists of restaurants, hotel listings, and other related information.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-316. Deeds and Leases to State Property Files.

A. Description: Document deeds and leases to real property owned or used by the state. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence. The record copies of deeds and leases are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of General Services.

B. Retention: Until property is sold, disposed of, or relinquished, and is no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-317. General Correspondence (Non-Executive Levels).

A. Description: Routine correspondence created or retained below the levels of agency director, deputy director and division director. Letters and memoranda reflect communications regarding program procedures, general work activities, and responses to information requests.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-318. Information Technology Plans.

A. Description: Prepared by state agencies outlining their anticipated needs for information technology. Plans reflect information requirements, equipment needs, service specifications, cost, and technology purchase requests. The record copy of this series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Research and Statistics.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-319. Internal Management Policy and Procedure Files.

A. Description: Policies, procedural directives and manuals developed by the agency to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

B. Retention:

(1) Agency: Until superseded, updated, or no longer needed for reference.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-320. Legislative Reference File.

A. Description: Records pertaining to bills, prospective legislation and laws. Information includes bill and supporting material concerning proposed legislation, such as newspaper clippings, reports, and correspondence. The series also includes copies of approved legislation.

B. Retention:

(1) Agency: Until no longer needed for reference.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-321. Litigation Case Files.

A. Description: Document judicial proceedings, which involve the agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information. Portions of this series are scheduled for permanent retention by the State Archives through the Attorney General's office. Court records in this series are also available in the court having jurisdiction over these cases.

B. Retention:

(1) Agency: 6 years after the case is closed. Microfilm optional.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-322. Mailing Lists.

A. Description: Used to record the names and addresses of clients and other persons with whom the agency has regular contact. Information includes mailing lists, and registers concerning employees, officials, and constituents, whom agency staff communicate with regularly.

B. Retention: Until superseded; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-323. Meeting Minutes (Boards And Commissions Of State Agencies).

A. Description: Records of official proceedings of state agency governing bodies. Information includes agenda, date, place, list of attendees, and a summary of discussion and decisions. Official minutes also include all informational attachments such as reports, surveys, proposals, studies and charts distributed to members for discussion, and for use in making decisions on agency policy, planning and administrative matters.

B. Retention:

(1) Agency: 3 years. Microfilm optional.

(2) State Archives: Permanent.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-324. Motor Vehicle Insurance.

A. Description: Record of motor vehicle insurance retained by an agency. It includes insurance policies which list effective policy dates, amounts of coverage, number of vehicles covered, and rate. Also included are notes, correspondence and other related information.

B. Retention: 1 year and until renewal of insurance policy; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-325. Motor Vehicle Operations And Maintenance Files.

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

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-326. Permanent Improvement Files.

A. Description: Files concern construction of and permanent improvements to the agency's facilities. Information includes project proposal, capital improvement requests, authorizations to

execute construction contracts, cost estimates, construction contracts, related memoranda, correspondence, blueprints, and specifications.

B. Retention:

(1) Records created before 1980:

- (a) Agency: Until completion of construction project and no longer needed for reference.
- (b) State Archives: Selection of needed documentation. Permanent.

(2) Records created in 1980 and later: Until completion of construction project and no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-327. Photographs.

A. Description: Photographic proofs and negatives of agency activities. Photographs may include identification according to time, place, and agency activity.

B. Retention:

- (1) Agency: Until no longer needed for reference.
- (2) State Archives: Selection of needed documentation. Permanent.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-328. Property Inventories.

A. Description: Itemized lists of fixed assets (except land and buildings) completed by state agencies. Information includes inventories of equipment, furniture, and other similar property.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-329. Public Relations File.

A. Description: Information concerning agency publicity. Included are press releases, biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

B. Retention:

- (1) Agency: Until no longer needed for reference.
- (2) State Archives: Selection of needed documentation. Permanent.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-330. Disaster/Emergency Preparedness and Recovery Plans.

A. Description: Document the plans for protection and reestablishment of agency services and equipment in case of disaster. Information includes plan, procedures, checklists, and emergency phone numbers and addresses.

B. Retention: Until superseded by revised plan; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-331. Records Management Files.

A. Description: Files related to an agency's records management program. Included are records retention schedules, guidelines, information concerning records inventory and scheduling, records transfers, microfilm applications, disposal notices, and other related data.

B. Retention:

- (1) Record Copy: In State Archives as scheduled.

(2) Agency's Copy: Until superseded and no longer needed for reference; destroy.

HISTORY: Added by *State Register Volume 16, Issue No. 6, eff June 26, 1992.*

12-332. Speeches (Executive Levels).

A. Description: Drafts and final copies of speeches given by an agency director, deputy director and division directors. Speeches may concern policy issues, strategic planning, legislation concerning the agency, and other related topics.

B. Retention:

(1) Agency: Until no longer needed for reference.

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

HISTORY: Added by *State Register Volume 16, Issue No. 6, eff June 26, 1992.*

12-333. Speeches (Non-Executive Levels).

A. Description: Drafts and final copies of speeches given by employees below the agency director, deputy director and division directors' level. Speeches concern program procedure, work activities, and related topics.

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

HISTORY: Added by *State Register Volume 16, Issue No. 6, eff June 26, 1992.*

12-334. Surveys/Maps.

A. Description: Developed by an agency to carry out its mission and function. Information concerns roads, boundaries, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

B. Retention:

(1) Agency: Until no longer needed for reference. Microfilm optional.

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

HISTORY: Added by *State Register Volume 16, Issue No. 6, eff June 26, 1992.*

12-335. Telephone Logs.

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

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

HISTORY: Added by *State Register Volume 16, Issue No. 6, eff June 26, 1992.*

12-336. Work Reports.

A. Description: Reports of work activities performed by personnel carrying out regular or special duties. Series does not include published project reports or reports to the Governor or General Assembly. These documents reflect dates, person responsible for report, and a running account of activities performed.

B. Retention: 2 years or until summarized or superseded; destroy.

HISTORY: Added by *State Register Volume 16, Issue No. 6, eff June 26, 1992.*

ARTICLE 4

GENERAL RETENTION SCHEDULE FOR STATE PERSONNEL RECORDS

12-400. Introduction and General Matters; Application of Schedule.

The following general records retention schedule contains minimum retention periods for the official copy of the agency's records. These retentions and dispositions apply regardless of physical format, i.e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, state agencies must complete and

submit a report of records destroyed form to the State Archives after eligible records have been destroyed. These forms are available from the Department's Division of Archives and Records Management. State agencies must also contact the State Archives to transfer permanent records to the State Archives for archival retention. Before disposing of public records under this general schedule, state agencies are responsible for ensuring that records are no longer required for federal or state audits, for legal purposes, for litigation, for fiscal information, and/or for any other action. This general schedule supersedes all schedules approved previously for the same records series. However, state agencies may opt out of this general schedule, and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary or in order to avoid conflict with other laws and regulations.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; State Register Volume 26, Issue No. 6, Part 1, eff June 28, 2002.

12-406. Employer Status Reports (Unemployment Compensation).

A. Description: Reports from an individual agency to the Employment Security Commission which are used by the Employment Security Commission to determine the liability or non-liability of agency for payment of unemployment compensation. Information includes the Employer Status Report, Notice of Liability sent to the agency from the Employment Security Commission, Notice of Contribution for the next calendar year, and related memoranda and correspondence concerning changes in agency unemployment compensation accounts and liability. The record copy of this series is scheduled by the State Archives through the Employment Security Commission.

B. Retention: 6 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; State Register Volume 26, Issue No. 6, Part 1, eff June 28, 2002.

12-407. Employment Applications (Not Hired).

A. Description: Completed employment applications and personal resumes of applicants who were not hired by agency. Information includes applicant's name, address, Social Security Number, position applied for, educational background, work experience, and other related information.

B. Retention: 2 years from the date of rejection or making of the record; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-408. Employment Data Analysis By Sex and Race.

A. Description: A statistical breakdown of information concerning state employees by type, number, salary, and percentages of minority personnel. Information includes type of employees such as officials/administrators, professionals, technicians, office/clerical, service, maintenance, racial classifications, total work force, and work force summary.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-409. Equal Employment Opportunity Report.

A. Description: Documents the job classification and compensation of all agency personnel. Information includes class code, slot, name, Social Security Number, employee number, pay rate, state/federal funding, race and sex.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-410. Equal Employment Opportunity Reporting and Personnel Research Forms.

A. Description: Forms completed by applicants for state employment as part of their employment application. Information includes statistics on job applicants which are reported annually to the State Human Affairs Commission. The form, which is detached from the employment application, lists the

applicant's name, date, Social Security Number, date of birth, position applied for, race, sex, and marital status.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-411. Grievance Files.

A. Description: Document grievance proceedings initiated by state employees. Information includes copies of each grievant's original grievance filing, copies of the decisions rendered at each level of the grievance procedure, copies of the grievance and appeal procedures for the agency and for all state employees, and copies of the final decision rendered by the State Employee's Grievance Committee. Portions of this series are scheduled by the State Archives through the State Budget and Control Board's Office of Human Resources.

B. Retention: 10 years after resolution of all grievance issues; destroy

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; State Register Volume 26, Issue No. 6, Part 1, eff June 28, 2002.

12-412. Job Announcements (Vacancies).

A. Description: Announcements concerning job openings in state government. Information includes title of position, salary or grade range (merit system classification), description of job duties, closing date, and to whom applications should be directed.

B. Retention: 2 years after position is filled or announcement is superseded or updated; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-413. Job Classifications.

A. Description: A listing of all job positions classified by the Office of Human Resources. Information includes position qualifications, pay grades, and duties for positions in state service. The record copy of this series is scheduled by the State Archives through the State Budget and Control Board's Office of Human Resources.

B. Retention: Until termination of position; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; State Register Volume 26, Issue No. 6, Part 1, eff June 28, 2002.

12-414. Leave Records.

A. Description: Record of the amount of leave earned and taken by agency employees. Information includes employee's name, type of leave (annual, sick, other), service date, Social Security Number, amount of leave earned and charged, and leave balances for the period covered.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-415. Leave Slips.

A. Description: Forms completed by agency employees to request time off from work. Information includes employee's name, Social Security Number, type of leave, number of days or hours requested, date requested, and employee's signature.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-416. Personnel Administrative File.

A. Description: File concerns administration of personnel policy. Information includes correspondence, reports, memoranda, and other records regarding personnel procedures.

B. Retention: Until superseded, updated, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-417. Personnel Files (Active & Terminated).

A. Description: Personnel files of current and former employees of the agency. Information includes employment applications, letters of recommendation, employee awards, resumes, performance appraisals, leave records, Employee Profile, Comptroller General's Payroll Advice, position descriptions, insurance information, dual employment information, resignation and termination records, correspondence, and other related information.

B. Retention: 15 years after termination of employment; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-418. Personnel Policies and Procedures.

A. Description: Policies and procedures issued by the agency or the State Budget and Control Board's Office of Human Resources. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, termination procedure, workmen's compensation plan, and other procedures issued by an agency, and/or the Office of Human Resources. Portions of this series are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Human Resources.

B. Retention:

(1) Agency: Until no longer needed for reference.

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

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; State Register Volume 26, Issue No. 6, Part 1, eff June 28, 2002.

12-419. Statewide Personnel Information And Reporting System Files.

A. Description: Used to monitor employment, salary adjustment, performance reviews, terminations, and other personnel activity. Reports include: Alphabetical Listing of Employees Sequenced by Agency, Employee Name; Employee Roster Sequenced by Grade, Class Code, and Name; Temporary Employment Roster; Gross Salary Change Report; Termination Analysis, Performance Review Summary Report; Report on Salary Change Code-Merit Increase; Reviews Report-Classified Positions-Review Sequence; Vacancies Report-All Positions; and other related records.

B. Retention: Until superseded or updated; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-420. Time And Attendance Records.

A. Description: Records concerning time worked by agency employees during a pay period. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-421. Vacancies File.

A. Description: Documents position vacancies in agency. Information includes agency name, grade, classification title, salary range, hours worked per week, and pay rate of position.

B. Retention: Until superseded or updated; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-422. Affirmative Action Plans and Progress Reports.

A. Description: Affirmative Action Plans prepared by state agencies and Progress Reports used by the State Human Affairs Commission to monitor the implementation of these plans. Affirmative Action Plans reflect an agency's projected policies, procedures, and practices to achieve the goal of a non-discriminatory employment system. Also included are statistics, analysis of the current and projected work force composition by race, sex, and comments. The semi-annual Progress Reports

consist of updated employment data analysis by race and sex, a summary of personnel actions which reflect a breakdown of agency positions by race, sex, analysis, and comments. Also included is correspondence concerning the Affirmative Action Plans and their implementation. Portions of this series are scheduled for permanent retention by the State Archives through the State Human Affairs Commission.

B. Retention: 3years; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; State Register Volume 26, Issue No. 6, Part 1, eff June 28, 2002.

12-423. Log and Summary of Occupational Injuries and Illnesses.

A. Description: Record of work related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee's name, occupation, department, description of injury, or illness, fatalities, non-fatal injuries, injuries with lost workdays, injuries without lost workdays, and other related information.

B. Retention: 5 years following the end of the calendar year to which they relate; destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; State Register Volume 26, Issue No. 6, Part 1, eff June 28, 2002.

ARTICLE 5

GENERAL RETENTION SCHEDULES FOR COUNTY RECORDS

INTRODUCTION AND GENERAL MATTERS

12-500. Introduction and General Matters; Application of Schedule.

The following general schedules contain minimum records retention periods for the official copy of the records. These retentions and dispositions apply regardless of physical format, i.e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, county governments must complete and submit a report of records destroyed form to the Department of Archives and History after eligible records have been destroyed. These forms are available from the Department's Division of Archives and Records Management. Before disposing of public records under these general schedules, county governments should insure that the records have no further audit, legal, or fiscal value. These general schedules supersede all schedules approved previously for the same records series. However, county governments may opt out of these general schedules and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary, or in order to avoid conflict with other laws or regulations.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 1

REGISTER OF DEEDS

12-501.1. Grantor and Grantee Index to Conveyances.

A. Description: A finding aid to instruments in the conveyance book series. Information includes name of grantee and grantor, book and page number where document is recorded, day and year of execution, month, day and year of recordation, number of acres or lots and a description of the land.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.2. Conveyances (Deeds, Titles to Real Estate).

A. Description: Documents real property transactions plus infrequent entries involving personal property. Information includes grantor, grantee, location and description of land, monetary consider-

ation, encumbrances (if any), signature of grantor, notary, and witnesses (or facsimiles thereof), date recorded, and plats (where applicable).

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.3. Mortgagor and Mortgagee Index to Real Estate Mortgages.

A. Description: A finding aid to instruments in the real estate mortgage book series. Information includes name of mortgagee and mortgagor, book and page number where document is recorded, and the date.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.4. Real Estate Mortgages and Satisfactions.

A. Description: Records the transfer of property, serving as a security for a debt which becomes void when the debt is paid according to the terms of the mortgage. Information includes name of mortgagor and mortgagee, description of the property, date of instrument, date of recording and satisfaction of mortgage (where applicable).

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.5. Index to Plats.

A. Description: A finding aid to plats. Information includes name of owner and surveyor, date filed, date surveyed, volume and page number, property location, description, map number.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.6. Plats.

A. Description: Documents the legal survey and mapping of lands for grants and conveyances. Information includes location, boundaries and divisions, date of survey, certificate of surveyor, scale, property owners, date of recording, and plat.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.7. Index to Miscellaneous Records.

A. Description: A finding aid to instruments in the miscellaneous record series. Information includes name of party, book and page number.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.8. Miscellaneous Records.

A. Description: Various instruments filed with the register of mesne conveyance or clerk of court as register of mesne conveyance. These include charters, contracts, options, agreements, powers of attorney, covenants, articles of association, articles of mergers between corporations, notices of forthcoming mergers, assignments of contract to mortgages, limited partnership agreements, and notices of intent to petition.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.9. Index to Uniform Commercial Code Financing Statements.

A. Description: A finding aid for liens on personal property under the Uniform Commercial Code adopted for South Carolina as of January 1968. Information includes name of debtor, date of personal debt, date of maturity character of debt, and description of personal property pledged.

B. Retention: 1 year after all entries have been terminated or lapsed, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-501.10. Uniform Commercial Code Financing Statements.

A. Description: Original papers recording liens on personal property under the Uniform Commercial Code adopted for South Carolina as of January 1968. These replace chattel mortgages. Information includes file number, debtor's name and address, secured party, filing date, time, number, and officer, types of property covered, signature of party and signature of clerk.

B. Retention:

(1) Financing statements where transmitting utility is the debtor: 1 year after termination statement has been filed, then destroy. If a microfilm or other photographic record of the financing statement and any related statements (continuation, assignment, release) exist, originals may be destroyed immediately after receipt of termination statement. Microfilm or other photographic records may then be destroyed one year after termination statement has been filed.

(2) Other financing statements: 1 year after statement has lapsed or termination statement has been filed, then destroy. If a microfilm or other photographic record of the financing statement and any related statements (continuation, assignment, release) exist, originals may be destroyed immediately after statement has lapsed or after receipt of termination statement. Microfilm or other photographic records may then be destroyed one year after statement has lapsed or termination statement has been filed.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992; Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.11. Charters.

A. Description: Consists of information on charters which have been recorded in the office of the Secretary of State. Information includes name of organization, incorporators, date, place of activities, capital, stock, increases in capital stock and cancellations.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.12. Chattel Mortgages and Indexes.

A. Description: Defunct series containing original papers recording liens on personal property by chattel mortgages. Information includes debtor's name and address, secured party, filing date, time, number, officer, types of property covered, signature of party, signature of notary. These have been replaced by Uniform Commercial Code Financing Statements.

B. Retention:

(1) Records concerning chattel mortgages for rural electric cooperatives and Public Service Commission regulated utilities: Until termination statement is filed, then destroy.

(2) Other records: Destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.13. Index to Federal Tax Liens.

A. Description: Finding aid to federal tax liens. Information includes name of taxpayer, address of taxpayer, date of filing, hour of filing, and amount of tax with interest.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.14. Federal Tax Liens.

A. Description: Standard forms filed in the office against personal property as a means of collecting delinquent federal taxes. Information includes period ending, type and amount of taxes owed, amount of penalty, amount of interest, total taxes, name/address of taxpayer, warrant number, date of notice and demand, date signed, and signature of tax official.

B. Retention: 10 years and 30 days after date of assessment or last extension, whichever is longer, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.15. Index to State Tax Liens.

A. Description: Finding aid to state tax liens. Information includes name of taxpayer, address of taxpayer, date of filing, hour of filing, and amount of tax with interest.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.16. State Tax Liens.

A. Description: Standard forms filed in the office against personal property as a means of collecting delinquent state taxes. Information includes period ended, type and amount of taxes owed, amount of penalty, interest, total tax, name/address of taxpayer, warrant number, date of notice and demand, date assigned, and signature of tax official.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.17. Index to Mechanics Liens.

A. Description: Serves as the principal finding aid for locating mechanics liens. Information includes name of plaintiff, name of defendant, and file number.

B. Retention: 10 years after final entry has been executed, discharged, released, or dissolved, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-501.18. Mechanics Liens.

A. Description: Records transcripts of mechanics' and contractor's claims filed as statutory liens on property to secure payment of debt for materials or labor used thereon. Information includes name of defendant, name of plaintiff, description of lien, recording date and time, book numbers and page number.

B. Retention: 10 years after final judgement to execute the lien, discharge, release or dissolution has been entered upon the registry, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 2 SHERIFF/DETENTION

12-502.1. Incident Reports.

A. Description: Records the original report of a felony or incident and pertinent facts surrounding the offense. Information includes incident type, case number, NCIC entry, incident code, premise type, incident location, incident date, time date, reporting area, complaint, victim information, subject (suspect) data, arrest data, vehicle data witness data, narrative, and UCR data administrative section.

B. Retention: 5 years, or until of no further legal or administrative value whichever comes later, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-502.2. Criminal History Records.

A. Description: Records complete cumulative original history on any subject arrested for a crime by the Sheriff's department. Information may include any/all of the following: name, date of birth,

physical description, FBI number, address, employment, marital status, education, date of arrests and releases, identification information (mugshots, fingerprints), facts surrounding investigation, final disposition.

B. Retention: Until death of the subject or 75 years, whichever comes first, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-502.3. Writ Book (Receipt Book for Civil Papers Served).

A. Description: Record of initial and intermediate civil processes served including writs, citations, subpoenas, notices, injunction, or warrants (19th century volumes may include criminal processes). Information includes parties names, attorneys, kind of writ, date of entry, by whom served, date of service, kind of service, sheriff's costs, general remarks.

B. Retention:

(1) Pre-1921 volumes: Permanent. Microfilm optional.

(2) Post-1920 volumes: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-502.4. Execution Books.

A. Description: Record of all final civil processes received by the sheriff for executions against property to satisfy judgements issued from the court. Information includes kind of process, when lodged, name of parties, debt and interest, attorneys' names, sheriff's receipts, date of levy, plaintiff's attorneys (Pre-1900 volumes may contain tax executions).

B. Retention:

(1) Pre-1921 volumes: Permanent. Microfilm optional.

(2) Post-1920 volumes: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-502.5. Tax Execution Books.

A. Description: Record of delinquent taxes turned over for execution. Information includes number of tax execution, name of defaulter, date of entry, amount of taxes and penalties collected (later volumes may contain property valuations).

B. Retention:

(1) Pre-1901 Tax Execution Books: Permanent. Microfilm optional.

(2) Post-1900 Tax Execution Books:

(a) When Corresponding Auditor's and Treasurer's Tax Duplicates are Both Missing: Permanent. Microfilm optional.

(b) When Corresponding Auditor's or Treasurer's Tax Duplicates Exist: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-502.6. Sale Book.

A. Description: Record of all relevant information pertaining to property sold by the sheriff for satisfaction of judgement or liquidation of confiscated and stolen goods. Information includes parties, date of advertisement, when sold, description of property, amount, and by whom sold.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-502.7. Jail Book.

A. Description: Record of persons incarcerated in the county jail. Information includes name of prisoner, offense, date of commitment, by whom committed, bond, releasing officer, date released, how released, and remarks.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-502.8. Juvenile Booking Records.

A. Description: Documents juveniles arrested and booked by county law enforcement. Information includes date, name, alias, address, nearest relative, relative's address, charge, arresting officer.

B. Retention: 3 years after subject reaches majority, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.9. Juvenile Case Files.

A. Description: Documents juveniles taken into custody. Information includes evidence from SLED, fingerprint reports, exhibits, and statements.

B. Retention: 3 years after subject reaches majority, then destroy, unless there is legal reason to retain further.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.10. Case Files.

A. Description: Compilation of all relevant data necessary for the creation of a case against a defendant(s) on a particular crime. Information includes detailed investigative data on the offense and the defendant(s) compiled on several standard forms such as Incident Report and Booking Report.

B. Retention: 30 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.11. Evidence Case Files.

A. Description: Property invoice and receipt showing evidence taken from crime scene and suspects. Information includes case number, crime type, victim name and address, suspect name and address, location, examination requested, lab case number, item number, quantity, description of property, chain of custody, and final release.

B. Retention:

(1) Death Penalty Cases: Until death of defendant or state Supreme Court rules on the case, whichever comes first, then destroy.

(2) Other cases: 1 year after the final action in the case, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.12. Booking Reports.

A. Description: Record of all persons arrested and booked by the Sheriff's office. Information includes agency identification, case number, name, sex, date of birth, docket number, age, height, weight, hair, eyes, social security number, visible scars and marks, NCIC identification number, address, phone number, alias, drivers license number, occupation, next of kin and address, booking officer's name, current date, charge data, medical data, release date, time, and arresting officer.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.13. Arrest Cards.

A. Description: Card system which serves as a record of arrests in the sheriff's department. Information includes race, height, sex, date of birth, social security number, age, date and place of birth along with case number, date arrested, charge, and disposition.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.14. Fingerprint Files.

A. Description: Records fingerprints of persons arrested by the sheriff's department. These files are utilized for investigative and identification purposes. Information includes date, name and address of defendant, date of birth, social security number, race, sex, height, weight, eyes, hair, date

arrested, charge/offense, signature of defendant, signature of officer, fingerprint impressions, information for FBI on reverse side.

B. Retention: Until notification of death of subject or 75 years, whichever comes first, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.15. Mug Shots.

A. Description: Photographs of individuals who have been arrested and charged with various criminal offenses. These photographs are used by law enforcement personnel, victims, and witnesses to aid in identification of suspects. Information includes person's name, address, description, date, and photograph.

B. Retention: Until superseded or of no further value, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.16. Inmate Medical Forms.

A. Description: Medical screening record created upon the incarceration of an inmate and compiled throughout the incarceration of the inmate. Information includes Receiving Screening Form, Display Medical Screening, nurse's and physician's notes, records from Emergency Room or other treatment facility, log of prescribed medication, distribution of medication, and log of taking the medication.

B. Retention:

(1) Adult Medical Records: 10 years after medical incident, then destroy.

(2) Juvenile Medical Records: 13 years after medical incident, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.17. Inmate Request Forms.

A. Description: Record of inmate requests. Information includes date of request, inmate's name, cell location, date of birth, type of request.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.18. Inmate Visitor Log.

A. Description: Record of each inmate's visitors. Information includes date, inmate's name, time in/out, visitor's name, relation to inmate.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.19. Inmate Accounting Records.

A. Description: Listing of the inmates assigned to each cell. Information includes shift number, shift time, date, time of report, cell identification, max, act, booking number, name of inmate and comments.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.20. Arrest Warrants.

A. Description: Sheriff's office copies of orders issued by judges or magistrates to arrest a subject for suspicion of a crime. Information includes name of county, name and address of defendant, date, description, description of offense, location of judge, date warrant issued, warrant number, witnesses, sex, race, social security number, height, weight, date of birth, defendant, preliminary hearing date, bail amount, disposition, and judge's signature. This series is summarized in the Index to Arrest/Booking Reports.

B. Retention: Until copy of the warrant is served, then forward the original to the issuing official.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.21. Daily Shift Report.

A. Description: Record of daily activities during each shift. Information includes employees working, shift, census report, custodial report, shift supervisor's signature.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.22. Training Files.

A. Description: Summary training information of all commissioned personnel. Information includes appointment/commission; copies of application for Police Academy, including photo copies of High School Diplomas, GED or official transcript, certified copy of driver history, NCIC I and II, pre-placement medical history, and birth certificate; certification letter from Police Academy; list of training completed, including firearms, emergency vehicle operations, blood borne pathogens, cores, legal, baton certification, cap-stun certification, crime to courts (including written and practical exercises); any other outside agency training received while employed by the Sheriff's office; hepatitis B testing and results; equipment issue; equipment order; and disciplinary actions which relate to training.

B. Retention: 5 years after termination of employment, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.23. Dispatch Records.

A. Description: Records each time an officer is dispatched in response to a citizen's call. Information includes complainant's name, complainant's address, and complainant's phone number.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.24. Complaint Cards.

A. Description: Documents the complaints received by the Sheriff's Department. Information includes complaint number, nature/code complaint, date received, name of complainant, home address and telephone number, time received, action taken, time dispatched, and officer assigned.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.25. Polygraph Records.

A. Description: Sheriff's Department copies of the South Carolina Law Enforcement Division's record of the testing of subjects who submit to a polygraph test in an effort to determine truthfulness regarding facts in an investigation of a criminal act. Information includes date of examination, name of subject, graphic responses to questions, and signature of examiner/operator.

B. Retention: 5 years after case is closed, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.26. SLED Lab Reports.

A. Description: Report from SLED explaining preliminary examination of evidence submitted from the sheriff's department regarding crimes that have been committed. Information includes date, reference (case number, victim's name, subject, offense, local case number), content, signature of analyst, date, and location. The original is retained by SLED permanently.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.27. Property Receipts.

A. Description: Records collection of personal property taken from abandoned vehicles, recovered stolen vehicles, and other stolen property. Information includes date, time, case number, description of property, name and address of owner (if available).

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.28. Radio Logs.

A. Description: Document all incoming and outgoing radio communications. Information includes date, time, broadcast from, broadcast to, signal number, message, dispatcher name, on duty time, and off duty time.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.29. Summons and Arrest.

A. Description: Standard state form including the following information: driver's name, address, occupation, state licensed, license number, vehicle number, state, make of vehicle, year, name of trial officer, street and number, city, date of trial, time of trial, violation, section number, nature of offense, owner of vehicle, address of owner, date of arrest, date of violation, case, disposition, description of accused, sentence of court, committed to, arrest as a result of accident, certified correct, date, offense code, test refused, blood alcohol level, amount of fine, and amount of suspense.

B. Retention:

(1) DUI Offenses: 10 years after trial date, then destroy.

(2) Non - DUI Offenses: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-502.30. Uniform Crime Reports.

A. Description: Copy of the monthly statistics sent to South Carolina Law Enforcement Division outlining criminal activity within the county. Information includes date, case number, description of crime, subject name, victim name, officer number, received by, received from, receipt number, and released to date.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 3 COUNTY COUNCIL/ADMINISTRATION

12-503.1. County Council Meeting Tapes.

A. Description: Cassette tape recordings of county council meetings used in preparing county council minutes. Information includes date of meeting, meeting time, meeting place, council members present, order of business, business discussed and decisions made.

B. Retention: 2 years, then destroy/re-use, provided paper copies of the minutes have been produced.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.2. County Council Minutes.

A. Description: Record of proceedings at meetings of the county council which includes written descriptions of the financial and administrative business conducted. Information includes dates of meetings, names of councilmen present, claim approvals, petitions, bids, proposals, and other matters discussed by or brought to the attention of the council.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.3. Ordinances.

A. Description: Original ordinances passed by the county council representing local laws and regulations which pertain to the county only. Information includes ordinance number, ordinance, date, and signatures of the chairman and council clerk.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.4. Resolutions.

A. Description: Record of official actions authorized by county council through the passage of resolutions. Information includes resolution number, resolution, date, signature of chairman, and signature of county clerk.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.5. Annual Budgets.

A. Description: Printed copies of annual budgets showing projected receipts and expenditures from various offices. Approved budget appropriations are listed for each department.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.6. Audit Reports.

A. Description: Printed reports documenting the annual audit of county funds. These reports, prepared by an outside accounting firm, are categorized by the various county offices and further classified by accounts to which they relate. This series also includes semiannual and special audits. Information includes balance sheet, summary of revenue and expenditures, cash balances, statement of taxes, statement of delinquent taxes, statement of other receipts, statement of fines and fees.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.7. General Ledgers.

A. Description: One or more series of financial ledgers providing final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all county funds and accounts, including receipts and expenditures from all revenue sources, both public and private. For computer generated ledgers, must include annual accounting code data and computer system documentation needed to access accounting information.

B. Retention:

(1) Computer Generated Ledgers: Permanent. Microfilm.

(2) Non-Computer Generated Ledgers: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.8. Claims.

A. Description: Cancelled claims which were issued as payment for goods and services required by the county. Information includes date, person presenting, check number, claim number, amount, and approval signatures.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.9. Paid Invoices.

A. Description: Filed copies of invoices submitted by various vendors supplying goods and services to the county. These invoices are filed together with copies of the county checks and/or claim forms containing descriptions of the items purchased. Information includes Invoice: vendor name, address,

date of purchase, purchase order (if any), invoice number, item(s) or service(s) purchased, amounts, total. Check Copy: vendor name, address, date of check, amount check number. Claim Form: date, account number(s), description of item(s), amount(s), approval, and signature(s).

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.10. Purchase Orders.

A. Description: Office copies of purchase orders for goods and services paid for by the county, or for goods and services yet to be delivered to the county. Information includes vendor number, project number, date of purchase order, department, vendor name and address, shipping instructions, quantity ordered, general ledger account number, unit price, extended price, purchasing agent signature, individual who signs for receipt of goods/services and date received, and notations regarding any shortages in shipment.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.11. Receipts.

A. Description: Copies of receipts issued to persons turning over money. Information includes receipt number, date, from whom received, amount, purpose, and signature of clerk.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.12. Banking Records.

A. Description: Cancelled checks and deposit slips written by the county along with the statements issued by the bank. Information includes checks: date, to whom paid, amount, check number, authorized signature; bank statements: list of checks for one month period, dates, beginning balance, ending balance; deposit slips: date, amounts of deposits, and total deposit.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-503.13. Agenda Packets (Council, Boards, and Commissions).

A. Description: Record of items submitted for consideration to the county council and other boards and commissions. Information includes meeting number, date, locale and time; order and description of proposed business.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-503.14. Various Board and Commission Minutes.

A. Description: Meeting minutes of various boards and commissions, including records of proceedings and written descriptions of business conducted. Information includes dates of meetings, names of members present, and other matters discussed.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-503.15. General Correspondence and Subject Files.

A. Description: Copies of incoming and outgoing correspondence to and from the office with businesses and other government offices and citizens, studies, reports, memorandums, statistics, policies, and manuals. For the purpose of retention scheduling, the files are broken down as follows:

(1) Policy and Program Records. These records document the formulation and adoption of policies and procedures and the implementation or management of the programs or functions of the office or department. Included are such records as correspondence with citizens and government officials regarding policy and procedures development or program administration; annual or ad hoc

narrative or statistical reports on program activities, achievements or plans; organizational charts and mission statements; studies regarding department or office operations; circular letters, directives or similar papers addressed to subordinate units or staff concerning policies, procedures, or programs; and records related to significant events in which the department or office participated. Records may include photographs, published material, audio tape, or other record forms.

(2) General Administrative Records. These records are of a general facilitative nature created or received in the course of administering programs. Included are such records as correspondence of a routine or repetitive type, such as request for information; reference materials, sometimes of a technical nature, used, but not created by, the office; daily, weekly, or monthly office activity reports which are summarized in annual reports or which relate to routine activities; personnel data on office staff which are duplicated in personnel office files; purchase orders, travel expense statements or similar financial papers which are duplicated in fiscal office files; daily or weekly work assignments for office staff; suspense or follow up files which duplicate copies of papers filed elsewhere; circular letters, directives or similar papers received from other offices; and rough drafts or notes created in compiling reports or studies.

(3) General Housekeeping Files. These records are of a general “housekeeping” nature created or maintained by an office which do not relate directly to the primary program responsibility of the office. Included are such records as charitable fund raising drive materials; custodial services request; emergency evacuation procedures; notices of holidays; parking space assignment lists; telephone installation requests; and lists showing the distribution of keys.

B. Retention:

(1) Policy and Program Records: Permanent. Microfilm optional.

(2) General Administrative Records: 5 years, then destroy.

(3) General Housekeeping Files: Until no longer needed for reference, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

**SUBARTICLE 4
FINANCE**

12-504.1. Audit Reports.

A. Description: Printed reports documenting the annual audit of county funds. These reports, prepared by an outside accounting firm, are categorized by the various county offices and further classified by accounts to which they relate. This series also includes semiannual and special audits. Information includes balance sheet, summary of revenue and expenditures, cash balances, statement of taxes, statement of delinquent taxes, statement of other receipts, statement of fines and fees.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.2. General Ledgers.

A. Description: One or more series of financial ledgers providing final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all county funds and accounts, including receipts and expenditures from all revenue sources, both public and private. For computer generated ledgers, must include annual accounting code data and computer system documentation needed to access accounting information.

B. Retention:

(1) Computer Generated Ledgers: Permanent. Microfilm.

(2) Non-Computer Generated Ledgers: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.3. Annual Budgets.

A. Description: Printed copies of annual budgets showing projected receipts and expenditures from various offices. Approved budget appropriations are listed for each department.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.4. Payroll Register.

A. Description: Documents wages paid to county employees for services rendered. Information includes name of employee, social security number, date of check, hourly or salaried amount, overtime, number of hours worked, volunteered and other deductions.

B. Retention:

(1) Year End Payroll Registers: 60 years, then destroy.

(2) Other Payroll Registers: 1 year, then destroy

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.5. Payroll Check Registers.

A. Description: Check registers summarizing the information on payroll checks issued. Used for balancing accounts, internal fiscal control, and external audits. Information includes employee name, social security number, amount of check, state and federal income tax deductions, other deductions, and year-to-date totals per pay period.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.6. South Carolina Retirement System Quarterly Report.

A. Description: Quarterly report of contributions made by county employees to the South Carolina Retirement System. Information includes employer's name, address, date of quarter, employee's name, active member register numbers, non-member notations, retirement contributions and social security numbers.

B. Retention: 60 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.7. Deduction Registers.

A. Description: Summarizations of information on deductions from payroll checks. Used for balancing accounts, internal fiscal control, and external audits. Information includes employee name, social security number, state and federal income tax deductions, and year-to-date deductions per pay period.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.8. Account Payable Check Registers.

A. Description: Documents check payments to vendors/contractors for services/materials sold to the county. Information includes date, vendor number, purchase order number and date, account number, amount, date of invoice, transaction date, transaction number, and control number.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.9. Banking Records.

A. Description: Cancelled checks and deposit slips written by the county along with the statements issued by the bank. Information includes checks: date, to whom paid, amount, check number, signature of finance officer; bank statements: list of checks for one month period, dates, beginning balance, ending balance; deposit slips: date, amounts of deposits, and total deposit.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.10. Claims.

A. Description: Office copies of documents establishing a claim on the county for goods and services. It may also include copies of checks and invoices.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.11. Revenue Sharing Claims.

A. Description: Claims presented to the finance office and paid from Federal and State Revenue sharing funds. Information includes claim number, date filed, name, address, amount, charge to, and date approved.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.12. Receipts (Receipt Carbons).

A. Description: Copies of receipts issued by the office to persons turning over funds. Information includes date, number, from whom received, amount, purpose, and authorizing signatures.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.13. W-2 Forms.

A. Description: Employer's copy of employee's total earnings and withholdings for the calendar year reported to the Internal Revenue Service. Information includes employer's identification number, employer's name and address, employee's social security number, federal income tax withheld, FICA taxes withheld, total FICA wages and state income tax withheld.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-504.14. Budget Files.

A. Description: Preparation materials used in the formulation of the county budget. Information includes budget requests and supplemental information justifying budget requests.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-504.15. Chart of Accounts.

A. Description: Used to provide a cost accounting system to satisfy legal and stewardship requirements connected with handling public funds. Information includes balance sheet accounts, revenue accounts, and expenditure accounts.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-504.16. Fixed Assets.

A. Description: Provides an inventory of fixed assets (office equipment, furniture, motor vehicles, weapons, radios, computers, etc.) for each department. Information includes department name, item description, account number, invoice number, vendor number, check number; completed by, asset description, serial number, class code, asset number, department location, department sub-location, comments, acquisition information: date, cost, code, and condition; vehicle number, employee assigned vehicle, key number, inspection month, fuel code, insurance code, odometer reading, license number, and odometer code.

B. Retention: 3 years after property disposal, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-504.17. Grant Files.

A. Description: Background application information and action taken on federal and state grants awarded to the County. Information includes grant number, date, amount, Federal or State grant, filing guidelines, grant application, contracts, correspondence, reimbursement requests, progress reports, and final reports.

B. Retention:

(1) Applications, Grant Contract Agreements, and Annual and Final Grant Project Reports for Significant Projects: Permanent. Microfilm optional.

(2) Other Records: 3 years after completion of grant project, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-504.18. Journal Entries.

A. Description: Various types of journal entries created by the finance department, used to review and adjust various accounts before transferring information to the General Ledger. Information includes name of department, account number, description, voucher number, date, reference number, debit, credit, and date.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-504.19. Balance Sheets.

A. Description: Monthly summary of accounting data, assets, liabilities, and net worth. Information includes account number, assets, reserve and fund balances, liabilities, totals, and net worth.

B. Retention: 1 year, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-504.20. Trial Balances.

A. Description: Summary information of receipts and expenditures from various accounts used in balancing the General Ledger. Information includes date, account number, name, month to date balance, and year to date balance. For computer generated ledgers this annual accounting code data and computer system documentation is needed to access accounting information.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-504.21. Landfill Billing Invoices and Weight Tickets.

A. Description: Used to bill for services at the county landfill. Information includes invoice number, date, description, weight, and total amount due.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 5 PURCHASING

12-505.1. Requisitions.

A. Description: Request forms from the various county offices and departments which describe goods or services to be ordered by the purchasing department. Information includes number, department, delivery location, date, date required, item number, quantity, description, known suppliers, and authorizing signature.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-505.2. Purchase Orders.

A. Description: Office copies of purchase orders for goods and services paid for by the county, or for goods and services yet to be delivered to the county. Information includes vendor number, project

number, date of purchase order, department, vendor name and address, shipping instructions, quantity ordered, unit of issue, description of goods/services ordered, general ledger account number, unit price, extended price, purchasing agent signature, individual who signs for receipt of goods/services and date received, and notations regarding any shortages in shipment.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-505.3. Paid Invoices.

A. Description: Filed copies of invoices submitted by various vendors supplying goods and services to the county. These invoices are filed together with copies of the county checks and/or claim forms containing descriptions of the items purchased. Information includes invoice: vendor name, address, date of purchase, purchase order (if any), invoice number, item(s) or service(s) purchased, amounts, total; check copy: vendor name, address, date of check, amount, check number; and claim form: date, account number(s), description of item(s), amount(s), approval signature(s).

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-505.4. Bids.

A. Description: Record of each bid submitted by vendors selling goods and/or services to the county. Information includes request for quotation, bid spread sheet and bid award letter.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-505.5. Vendor Files.

A. Description: Listing of vendors with whom the county currently conducts business. Information includes vendor's name, number, address and federal identification number.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-505.6. Contracts.

A. Description: Contracts made between the county and another party. Information includes date, type of contract, explanation of agreement, signature of parties, and notarization.

B. Retention: 3 years after contract expires, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 6 PERSONNEL

12-506.1. Application File (Not Hired).

A. Description: Application forms submitted by persons applying for jobs with the county who were not hired. Information includes name, address, education and work experience.

B. Retention: 2 years from the date of rejection, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-506.2. Employment Files.

A. Description: Forms and materials relating to individuals employed with the county. Files include salary information, attendance and leave records, workmen's compensation reports, performance evaluations, and complete employment history.

B. Retention: 5 years after termination of employment, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-506.3. Time Cards.

A. Description: Record of hours worked by county employees. Information includes employee name, date, and hours worked.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-506.4. Time Sheets.

A. Description: Verification of the number of hours worked by each employee. Information includes employee's name, employee number, hourly wage, days and hours worked and department head approval.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-506.5. State and Local Government Information Reports (EEO-4).

A. Description: Annual report monitoring internal programs for insuring equal employment opportunities. Information includes number of employees by job categories, by race, by sex, by salary and number of part-time and newly-hired employees during the fiscal year.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-506.6. Earnings Record.

A. Description: Summarized list of earnings for each county employee. Information includes social security number, name, gross pay, net pay, federal taxes, state taxes, local taxes, FICA, and retirement deductions.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-506.7. Deduction Registers.

A. Description: Summarizations of information on deductions from payroll checks. Used for balancing accounts, internal fiscal control, and external audits. Information includes employee name, social security number, year to date tax deductions.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-506.8. Leave Records.

A. Description: Record of leave balances for each employee. Information includes name, social security number, leave accrued, leave used, and balances.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-506.9. Employee Insurance Files.

A. Description: Record of insurance coverage selected by employees of the county. Information includes Certificate of Election, Notice of Election Form, Rejection Notice, and coverage termination form.

B. Retention: 3 years after inactive, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-506.10. Log and Summary of Occupational Illnesses and Injuries.

A. Description: Record required by the Occupational Safety and Health Act of 1970, used to record pertinent information concerning work-related deaths, injuries, and illness. Information includes annual average employment, total hours worked, nature of business, month of OSHA inspection, recordable injuries and illness, occupational illness and injury, and title, signature, phone number, date, and comments of person preparing report. These reports are forwarded to the South Carolina Department of Labor.

B. Retention: 5 years, then destroy, unless needed for further reference.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-506.11. Workman's Compensation Records.

A. Description: Case files containing records and reports generated as a result of employment related accidents involving county employees. Information includes date, employee name, address, claim number, description of injury and accident, date of accident, insurance company.

B. Retention:

- (1) Employer's First Report of Injury: 3 years after settlement, then transfer to employee files.
- (2) Other Records: 3 years after settlement, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-506.12. Grievance Hearing Files.

A. Description: Materials relating to the reviewing, hearing and disposing of employee grievances and appeals of adverse personnel actions and disciplinary measures. Information includes letters of appeal, documentation from department heads, copies of complaints, investigations reports, hearing transcripts or summaries and related correspondence.

B. Retention: 5 years after settlement of issue, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 7 AUDITOR

12-507.1. Auditor's Tax Duplicates.

A. Description: Detailed schedule and assessment of all taxable property in the county. Information includes name and address of taxpayer, number and value of all types of taxable personal property, number and value of acres and buildings in the country, number and value of lots and buildings in cities, total personal property, total real property, total tax levy, tax map number, total taxes, and remarks.

B. Retention:

- (1) Pre-1921 Tax Duplicates: Permanent. Microfilm optional.
- (2) Post-1920 Tax Duplicates:
 - (a) When Corresponding Treasurer's Tax Duplicates are Missing: Permanent. Microfilm optional.
 - (b) When Corresponding Treasurer's Tax Duplicates Exist: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.2. Auditor's Tax Duplicates (Motor Vehicles).

A. Description: Record of personal property tax assessments for motor vehicles in the county. Information includes name and address of registered owner, make of vehicle, vehicle identification number, tag number, district, receipt number, assessed value, and total taxes.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.3. Tax Returns.

A. Description: Individual returns of all taxable real and personal property in the county. These returns are used by the county auditor to compile the tax duplicate books each year. Information includes name and address of taxpayer, school or tax district, city property, country property, personal property, South Carolina Tax Commission assessments, total, real estate acquired since last return, real estate transferred or sold since last return, signature of taxpayer, and signature of county auditor.

- B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.4. Auditor's Conveyance Books.

A. Description: Auditor's record of county land conveyances which is used for tax assessment and assessment change purposes. Information includes township, date of sale, date of entry, name of seller, name of purchaser, number of acres, number of lots, number of buildings, price paid, assessed value, percentage of valuation, and remarks.

- B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.5. Vehicle Registration.

A. Description: Auditor's copies of vehicle registrations which are used for tax assessment purposes. Information includes date, license number, serial number, weight, body, model, year make, title number, county, school district, class, annual fee, name, address, and total.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.6. List of Boat Owners.

A. Description: Lists printed and distributed by the South Carolina Wildlife and Marine Resources Department's Division of Boating which include the names and addresses of all boat owners in the county along with a description of the boats owned by them. Information includes owner's name, street address, city, state, zip code, number, make, year, length, hull, and type.

- B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.7. Abstracts of Duplicates.

A. Description: Auditor's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of the information contained in the auditor's tax duplicate books.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.8. Abstracts of Real Property.

A. Description: Auditor's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of real estate returned for taxation in the county.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.9. Abstracts of Personal Property.

A. Description: Auditor's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of personal property returned for taxation in the county.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.10. Abstract of Additional.

A. Description: Auditor's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of additional taxes assessed and paid in the county.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.11. Abstracts of Abatements.

A. Description: Auditor's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of abatements granted to taxpayers in the county.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.12. Abstracts of Penalties.

A. Description: Auditor's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of penalties imposed upon delinquent taxpayers in the county.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.13. Homestead Exemption Applications.

A. Description: Copies of applications filed by persons who have been residents of the state for at least one year, are sixty-five years of age and over, or are totally and permanently disabled, or are legally blind who are seeking homestead tax exemptions. Information includes control number, TMS number, date of application, applicant's name and address, birth date, social security number, if property is jointly owned name of joint owner, whether spouse, telephone number of applicant, location of dwelling, whether permanent home, whether any commercial property or multi-family dwelling on property, whether mobile home, whether property has been leased or rented in past year or will be leased or rented during the year for which the homestead is claimed, number of persons who share ownership if jointly owned, whether located within a municipality, name of municipality, source of proof of age, type of disability, signature of applicant, signature of county auditor, date, and homestead exemption application number.

B. Retention: 3 years after inactive, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-507.14. Abatements.

A. Description: Record of abatements granted to taxpayers in the county. Information includes a detailed assessment of taxes on an individual's property, both real and personal.

B. Retention:

(1) Abatements for Manufacturing Plants: Permanent. Microfilm optional.

(2) Abatements for other Taxpayers: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.15. Abstracts of Annual Settlements.

A. Description: Auditor's copies of the abstracts which are forwarded to the Comptroller General each year. The abstracts summarize the annual settlements of the Auditor's and Treasurer's records.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.16. Affidavit and Notification of Sales of Motor Vehicles.

A. Description: Auditor's copy of the form supplied by automobile dealerships documenting sale of motor vehicles. Information includes date, amount of purchase, name of dealership, make of car, and name of buyer.

B. Retention: 1 year, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.17. Affidavit of Motor Vehicle High Mileage.

A. Description: Claim for high mileage discounts on personal property taxes for qualifying vehicles. Information includes total miles, vehicle make, model, year, identification number, signature of owner, date filed, and notary statement.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.18. Auditor's Monthly Reports.

A. Description: Copies of the Auditor's monthly reports submitted to the treasurer showing record of fees collected. Information includes amounts, types of fees collected, and signature of auditor.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.19. Business Personal Property Returns.

A. Description: Record of personal property tax returns for businesses in the county. These are used by the county auditor to compile the tax duplicate books. Information includes name of owner, property location, tax district, type of business, cost of furniture, fixtures, and equipment, accumulated depreciation for income tax purposes, net book value, 10% cost of all items which have depreciated more than 90%, signature of owner, phone number, and date.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.20. Business Personal Property Assessment Records.

A. Description: Auditor's copies of personal property assessments made by the South Carolina Tax Commission for businesses in the county. Information includes file number, document location, address, business location, school location, furniture and fixture assessments, penalty, grand total, and date.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.21. Supplemental Tax Returns.

A. Description: Tax returns that list property tax assessments which were not included on the original return. The information is the same as the regular tax returns and is contained in the auditor's tax duplicates.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.22. Rollbacks.

A. Description: Rollback of tax assessments due to changes in the use of the property to a lower assessment usage. Information includes parcel number, legal owner, owner's name, address, soil types, market value, remarks, date and initials, district tax year, assessment, and previous owner.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.23. Homestead Exemption Records.

A. Description: Records documenting homestead exemptions in the county. Information includes lists of persons who have applied for the exemption, reports of homestead tax exemptions and property values, records pertaining to state reimbursement for homestead exemptions, supplemental homestead exemption lists, homestead corrections lists, and uncompleted homestead exemptions.

B. Retention: 3 years, or until superseded, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.24. Military Personnel Automobile Tax Exemptions.

A. Description: Tax exemption forms showing vehicles owned by military personnel who are stationed in the county, but are legal residents of other states and are subject to taxes in the state of legal residence. Information includes owners name, address, vehicle year, make, model, VIN number, date, social security number, signature of owner, signature of commanding officer.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.25. Mobile Home Records.

A. Description: Records created by the Auditor pertaining to mobile homes in the county. Types of records may include mobile home moving permits, mobile home permits, and mobile home titles.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.26. Refunds.

A. Description: Record of refunds extended for real and personal property tax overpayments. Information includes receipt number, license plate number, vehicle information, name, address, assessment, refund due amount, check number, dates, and signatures.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.27. Property Tax Returns on Aircraft.

A. Description: Record of property tax returns on aircraft owners in the county. Information includes name of registrant, address, owner's name, purchase date, registration date, aircraft home and base address, make of aircraft, serial number, model of aircraft, year of aircraft, estimated market value and signature of person giving information.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.28. List of Deceased County Residents.

A. Description: Record of deceased county residents over age 17 sent to the Auditor. Lists originate from the County Probate Judge's Office, Health Department, and Comptroller General. Information includes name of deceased, social security number, date of death, and address.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.29. Address Changes.

A. Description: Record of address changes sent by county residents or returned mail by the post office. Information includes name, old address, and new address.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-507.30. Vehicle Listing.

A. Description: Computer printout list of all automobiles in the county. Information includes name, street, city, state, zip, license number, year, make, body, issue date, type, vehicle ID number, value plus ten percent, and signatures.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

**SUBARTICLE 8
TREASURER**

12-508.1. Treasurer's Tax Duplicates.

A. Description: Schedule of all taxable real and personal property in the county with collections included. Information in the record is similar to that contained in the auditor's tax duplicate books with the exception of the payment date, which is found in the treasurer's tax duplicate books only. Information includes name of taxpayer; township or school district; address; date of payment; number and value of acres, lots, and building; value of all taxable real estate; value of all taxable personal property; total value of all taxable property; total tax levies; tax map number; and total for collection.

B. Retention:

(1) Pre-1921 Tax Duplicates:

(a) When Corresponding Auditor's Tax Duplicates Exist: Destroy.

(b) When Corresponding Auditor's Tax Duplicates are Missing: Permanent. Microfilm optional.

(2) Post-1920 Tax Duplicates: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.2. Treasurer's Tax Duplicates (Motor Vehicles).

A. Description: Record of personal property tax assessments and collections for motor vehicles in the county. Information includes name and address of registered owner, make of vehicle, vehicle identification number, tag number, district, receipt number, assessed value, total taxes, and date of payment.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.3. Tax Receipts.

A. Description: Treasurer's copies of the receipts issued to taxpayers upon payment of county property taxes. Information includes receipt number, valuation of real property, total real, total personal, total tax levy, property tax, poll tax, road tax, dog tax, total taxes, penalty, total costs, total, name, address, location, district, and number and value of acres, lots and buildings.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.4. Abstract of Annual Settlements.

A. Description: Treasurer's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts summarize the annual settlements of the auditor's and treasurer's records.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.5. Abstract of Personal Property.

A. Description: Treasurer's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of personal property returned for taxation in the county.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.6. Abstract of Additional.

A. Description: Treasurer's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of additional taxes assessed and paid in the county.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.7. Abstract of Executions.

A. Description: Treasurer's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of delinquent taxes which went into execution for collection by the delinquent tax collector.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.8. Abstract of Nulla Bonas.

A. Description: Treasurer's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of property in the county for which no taxes could be collected.

- B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.9. Annual Budgets.

A. Description: Printed copies of annual budgets showing projected receipts and expenditures from various offices. Approved budget appropriations are listed for each department.

- B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.10. Audit Reports.

A. Description: Printed reports documenting the annual audit of county funds. These reports, prepared by an outside accounting firm, are categorized by the various county offices and are further classified by the funds or accounts to which they relate. This series also includes semiannual and special audits. Information includes balance sheet, summary of revenues and expenditures, cash balances, statement of taxes, statement of delinquent taxes, statement of other receipts, statement of fines and fees.

- B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.11. General Ledgers.

A. Description: One or more series of financial ledgers providing final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all county funds and accounts, including receipts and expenditures from all revenue sources, both public and private. For computer generated ledgers, must include annual accounting code data and computer system documentation needed to access accounting information.

- B. Retention:

- (1) Computer Generated Ledgers: Permanent. Microfilm.
- (2) Non-Computer Generated Ledgers: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.12. General Cash Books.

A. Description: Monthly records of receipts and disbursements of state, county, and school taxes. Information includes debit (receipts): month, year, date, name, receipt numbers, explanation, state, county, schools, total; and credit (disbursements): date, name, claim numbers, explanation, state, county, schools, and total.

- B. Retention:

- (1) When Corresponding General Ledgers Are Missing: Permanent. Microfilm optional.

(2) When Corresponding General Ledgers Exist: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.13. Banking Records.

A. Description: Cancelled checks and deposit slips written by the county along with the statements issued by the bank. Information includes checks: date, to whom paid, amount, check number, signature of county treasurer; bank statements: list of checks for one month period, dates, beginning balance, ending balance; deposit slips: date, amounts of deposits, and total deposit.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.14. Receipt Books.

A. Description: Copies of receipts issued by the treasurer to persons turning over funds to him. Information includes date, number, from whom received, amount, purpose, and signature of treasurer.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.15. Cancelled Bonds and Coupons.

A. Description: Bonds and interest coupons issued by the county which have matured and been cancelled. Information includes county, title, amount, interest percentage, date issued, principal due date, interest payment dates, description, bond number, and authorizing signature.

B. Retention: One bond and one coupon from each series Permanent. Destroy remainder 10 years after cancellation.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.16. Homestead Exemption Applications.

A. Description: Copies of applications filed by persons who have been residents of the state for at least one year, are sixty-five years of age and over, or are totally and permanently disabled, or are legally blind who are seeking homestead tax exemption. Information includes control number, TMS number, date of application, applicant's name and address, birth date, social security number, if property is jointly owned name of joint owner, whether spouse, telephone number of applicant, location of dwelling, whether permanent home, whether any commercial property or multi-family dwelling on property, whether mobile home, whether property has been leased or rented in past year or will be leased or rented during the year for which the homestead is claimed, number of persons who share ownership if jointly owned, whether located within a municipality, name of municipality, source of proof of age, type of disability, signature of applicant, signature of county auditor, date, and homestead exemption application number.

B. Retention: 3 years after inactive, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-508.17. Abatements.

A. Description: Record of tax assessment reductions for real estate taxes and personal property which were incorrect or no longer owed. Information includes year, date, receipt number, name, address account number, district, tax assessment, amount of tax abated, reason for abatement and authorizing signature.

B. Retention: 5 years then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.18. Abstract of Delinquent Taxes.

A. Description: Treasurer's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of delinquent taxes assessed and paid for one fiscal year.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.19. Abstract of Personal Property.

A. Description: Treasurer's copies of the abstracts which are forwarded to the Comptroller General each year. These abstracts contain summary totals of personal property returned for taxation in the county.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.20. Bankruptcy Files.

A. Description: Files of bankruptcy cases involving property located in the county. Information includes legal court documents, legal papers, attached signatures, copies of tax assessment on property and other legal papers. This information is filed with the United States Bankruptcy Court.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.21. Delinquent Tax Receipts.

A. Description: Receipts for taxes not yet paid by property owners in the county. Information includes lot number, property number, year delinquent, delinquent amount, tax due, location of property, and name and address of property owner.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.22. Nulla Bonas List.

A. Description: Lists of persons owing taxes that could not be collected. Information includes year, district, number, name, amount, and total.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.23. Claims.

A. Description: Claims submitted to the Treasurer's Office requesting refunds of personal or vehicle taxes. Information includes receipt number, owner name, tax year, millage, property description, amount of taxes paid, date paid, reason for refund, owners' signature, mailing address, telephone number, social security number, refund information and signature of approving authority.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.24. Daily Abstract of Property and Poll Tax Collected.

A. Description: Daily record of property and poll taxes collected within each school district. Information includes date, school district number, name of person, amounts paid, bank deposit amount and name of bank.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.25. Investment Records.

A. Description: Reports all investments made by the county. Information includes type of investment, fund number, account number, document number, purchase date, and remarks. This information is summarized in the General Ledger.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.26. Magistrate Reports of Fines and Fees.

A. Description: Magistrates' monthly report to the county treasurer of fines and fees collected by their offices. Information includes record of fees, names, dates, criminal and traffic dockets with amounts, offenses, officers, dispositions, and receipt numbers.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.27. Rollbacks.

A. Description: Rollback tax differences computed when use of property changes upon conveyance of property to a new owner. Information includes name/address, tax map number, tax district, date, class, percent, acres/lots, number of improvements, assessed value, years, market value, use value, value tax, rollback tax, year.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.28. Refund for Overpayment of Taxes.

A. Description: Record of refunds granted for overpayment of taxes. Information includes date, receipt number, refund amount, name and address of taxpayer, and description/purpose of refund.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-508.29. Vehicle Tax Collection Register.

A. Description: Record of taxes collected on vehicles owned by county residents. Information includes date, receipt number, name, district, levy, date, make, body, identification number, taxes and total taxes.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 9 TAX COLLECTOR

12-509.1. Tax Execution Books.

A. Description: Record of delinquent taxes turned over for execution. Information includes number of tax execution, name of defaulter, date of entry, amount of taxes, and penalties collected. Later volumes may contain property valuations.

B. Retention:

(1) Pre-1901 Tax Execution Books: Permanent. Microfilm optional.

(2) Post-1900 Tax Execution Books:

(a) When Corresponding Auditor's and Treasurer's Tax Duplicates Are Both Missing: Permanent. Microfilm optional.

(b) When Corresponding Auditor's or Treasurer's Tax Duplicates Exist: 10 years, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-509.2. Delinquent Tax Sales Book.

A. Description: Documents the seizure, levy, and sale of property for the non-payment of taxes. Information includes name of delinquent taxpayer, address, description of property seized, record of taxes due on described property, district, acres or lots, buildings, value, and amount due, total, date of auction, date made out, signature of tax collector, dates advertised, total taxes, purchaser, advertising costs, bid price, amount overbid, mileage costs, redeemed by, date, auctioneer, deed made, total tax, and costs.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-509.3. Abatement Lists.

A. Description: List maintained by the tax collector of those county taxpayers receiving abatements on their taxes. Information includes record type, date, receipt number, abatement reason, name, and amount.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-509.4. Delinquent Tax Digest.

A. Description: Schedule of all taxable real estate and personal property in the county which has not been collected and is now considered delinquent. Information includes name and address of property owner, description of property, tax year, receipt number, map and parcel number, number of acres, number of lots, number of buildings, assessment value, and total tax amount.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-509.5. Nulla Bonas.

A. Description: Record documenting a request for change, addition, or deletion of taxes. Information includes date, taxpayer's name and address, year, receipt number, new receipt number, reason for change, old/new receipt number, original/new assessment, initials of staff person working with original receipts, date and owners signature.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-509.6. Delinquent Tax Settlement Records.

A. Description: Copies of paid tax executions issued to taxpayers upon payment of taxes and penalties. Information includes tax execution receipt, name and address of owner, description of property, tax receipt number, taxes and penalties due, total amount due.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 10 TAX ASSESSOR

12-510.1. Property Record Cards.

A. Description: Cards arranged by tax map sheet, block, and lot numbers which record past and present ownership, appraisal information, as well as current assessments for each parcel of property in the county. Information includes property use, record number, tax district, tax map sheet number, block number, lot number, location, subdivision or parcel number, lot size, ownership, address, deed references, sales price, aerial photo number, sheet, parcel, acreage, plat reference, assessment, acreage per planimeter.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-510.2. Aerial Photographs.

A. Description: Aerial photographs of all real estate in the county. These photographs are used by the assessor's office for composing the tax maps.

B. Retention: Permanent.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-510.3. Tax Maps.

A. Description: Originals and copies of maps graphically representing each parcel of property in the county. Information includes location, boundaries of individual parcels, tax map sheet numbers, block numbers, lot numbers, revisions, and scale.

B. Retention: Permanent.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-510.4. Soil Maps.

A. Description: Maps used by assessors to help determine assessment values for agricultural real property to be valued based on use. Information includes soil map numbers and contour lines with code numbers that are used to identify soil types.

B. Retention: Until superseded or no longer used, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-510.5. Applications for Special Assessment on Agricultural Real Property.

A. Description: This series contains applications from those granted special tax assessments on real property used for agricultural purposes. Information includes name shown on property tax record, social security number, tax map sheet reference, location of tract of land, number of acres, tax district, purpose of use, portion used for non-agricultural purposes, signature of owner or agent, date, and information on soil class of timber and crop land.

B. Retention: Until superseded or no longer valid, then destroy.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-510.6. Appraisal Records.

A. Description: Used to determine appraisal values of all parcels of land in the county. Information includes parcel number, building, heat area, heat pump, electric, baseboard, add-ons, fireplace, garage, carport, basement finished/unfinished, yard improvements, concrete paving, asphalt paving, parcel identification number, class, type, date of appraisal, lump sum adjustment.

B. Retention:

(1) Non-Computer Generated Appraisal Records: Permanent. Microfilm optional.

(2) Computer Generated Appraisal Records: Permanent. Microfilm.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-510.7. Property Transfer Records.

A. Description: A record of property conveyances in the county, used to update tax records. Information includes name, address of seller and buyer, map number, deed reference, plat book reference number, sales price, amount sold (acreage, lots, buildings) and school district.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-510.8. Appeals of Assessment.

A. Description: Record of appeals and proceedings created as the result of an appeal from a property owner concerning the amount of taxes assessed. Information includes name, tax map number, address, and reason for appeal.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-510.9. Assessment Change.

A. Description: Record of corrections made on assessment tax errors. Information includes tax map number, name/address of property owner, location of property, mobile home class/appraisal/assessment, class, acres/lots, appraisal acres or lots, improvements.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-510.10. Notice of Classification, Appraisal, and Assessment.

A. Description: Records notifying taxpayers of property assessments. Information includes market value, ratio, assessment, tax map number, prior market value, percent of increase, property location, subdivision, legal description, mailing address, reason for change, tax district, and date of notice.

B. Retention: 1 year, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-510.11. Rollbacks.

A. Description: Used in creating the rollback tax bill which records a reduction in property taxes due to changes in the use of the property to a lower assessment usage. Information includes names, dates, map numbers, acreage, market value, use value, assessments, roll back amounts, and applicable year.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-510.12. Multiple Lot Discount Applications.

A. Description: Applications submitted for a multiple lot discount. Information includes tax year, name of subdivision, total number of lots, total number of lots unsold, plat reference, deed book, deed book page, location, tax maps, tax district, improvements, mills per lot, and financing.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-510.13. Mobile Home Records.

A. Description: Records created by the Assessor pertaining to mobile homes in the county. Type of records may include mobile home license applications, mobile home moving permits, mobile home record cards, mobile home decal applications, mobile home transfers, mobile home listings, mobile home values lists, and mobile home assessment forms.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 11

BUILDING/PLANNING AND DEVELOPMENT

12-511.1. Plans and Specifications.

A. Description: Consists of blueprints and other graphic illustrations of designs submitted by contractors for the construction, reconstruction or alteration of buildings within the county. These plans and accompanying specifications are submitted to ensure compliance with the county's building codes. Documents include site plan, scale of floor plan, elevation plan, electrical plan, typical wall section and foundation, and specifications.

B. Retention:

(1) Public Building Projects: Permanent. Microfilm optional.

(2) Other Building Projects: 1 year after issuance of certificate of occupancy, then destroy, unless needed for further reference.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-511.2. Building Permits.

A. Description: Documents permission granted by the county to construct buildings that comply with established building codes. Information includes permit number, name and address of real estate owner, location of building, type of work (i.e. new, alteration, repair, etc.) description of building,

name of architect and of contractor, tax map number, zoning classification, water system, usage of property and signature of zoning administrator.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-511.3. Planning and Zoning Commission Minutes.

A. Description: Minutes of Planning and Zoning Commission meetings which include written descriptions of the administrative business conducted. Information includes dates of meetings, names of members present, matters discussed, and agenda packets.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-511.4. Maps, Blueprints, and Drawings.

A. Description: Maps, blueprints, and drawings submitted for building projects under construction. Information includes blueprints, maps, and drawings for commercial and residential projects.

B. Retention:

(1) Blueprints and/or Sepia for Public Building Projects: Permanent. Microfilm.

(2) Other Maps and Drawings for Public Building Projects: Permanent. Microfilm optional.

(3) Other Maps, Blueprints, and Drawings: Until no longer needed for reference, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-511.5. Permits - Gas, Electrical, Mechanical, Plumbing.

A. Description: Records documenting permission granted by the county to perform electrical, mechanical, plumbing and gas work that complies with codes. Information includes application form, date, issued by, permit number, TMS number, decal number, fees, land owner, acreage, tax district, address of applicant, phone number, site address, directions, subdivision, business name, lot, block, type of work, heating/cooling, type of fuel, contractor, state license number, phone number, cost, completion date, signature of owner, contract or agent.

B. Retention: 3 years after completion of project, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-511.6. Sign Permits.

A. Description: Records documenting permission granted by the county to erect a sign. Information includes application form, date, issued by, permit number, site address, business name, phone number, cost, completion date and signature of owner.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-511.7. Septic Tank Permits.

A. Description: Documents permission granted by the county to builders or developers for installing septic tank systems that meet the county's building codes. Information includes tank size, size of drainfills, and property location.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-511.8. Inspection Records.

A. Description: Documents inspections conducted to buildings under construction within the county to insure compliance with county building codes. Information includes builder's representative requesting each inspection, date performed, outcome of inspection, date completed, date utilities released, and notes from office staff to inspector.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-511.9. Subdivision Files.

A. Description: Records documenting the planning and approval stages in the development of a subdivision in the county. Information includes subdivision plats, correspondence and approvals from the Planning Commission.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-511.10. Zoning and Variance Materials.

A. Description: Materials relating to zoning and variance requests within the county. Information includes copy of request, notes, resolutions passed, maps, charts, and opposition.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 12 VETERANS AFFAIRS

12-512.1. Index to Veterans Files.

A. Description: Serves as a finding aid to the Veterans Files. The index is arranged alphabetically by name of veteran and contains the following information: name, address, service number, date of entry into service, discharge date, and numerical references for veterans files.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

12-512.2. Veterans Files.

A. Description: Records used to assist ex-servicemen in securing the benefits to which they are entitled under the provisions of federal legislation and under the terms of insurance policies issued by the federal government for their benefit. Various types of forms account for most of the documents contained in these files although some correspondence is included.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 16, Issue No. 6, eff June 26, 1992.

SUBARTICLE 13 MAINTENANCE GARAGE/FLEET MAINTENANCE

12-513.1. Maintenance and Repair Records.

A. Description: Record of maintenance and repairs performed on county owned vehicles. Information includes department, FRS class code, vehicle type/number, date in, time in, odometer reading, date completed, time completed, down time, hours, activity type, year, make, engine size, vehicle identification number, model, license number, transmission type, repair order instruction, mechanic number, hours, labor charge, labor total, driver comments, driver employee number, parts issued record, petroleum products issued, parts total, labor total, grand total, approved by, part number and description, price, accessories, total accessories, outside repairs, total outside repairs, vendor costs, name, address, city, customer order number, date, phone, order written by, terms, description of work, amount, gallons of gas, quarts of oil, pounds of grease, total labor, total parts, accessories, tax, total.

B. Retention: Until vehicle is disposed of or no longer in use, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-513.2. Fuel System Reports.

A. Description: Report of the regular and diesel fuel dispensed at the county fuel depot. Information includes equipment number, date, time, employee number, card number, mileage, product code, quantity, expense charged and totals for equipment numbers.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-513.3. Work Orders.

A. Description: Work orders for the repair and maintenance of vehicles and equipment. Information includes type of service requested, parts and labor required.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-513.4. County Vehicle Accident Files.

A. Description: Documents accidents involving county vehicles. Information includes dates of accident, department involved, parties involved, vehicle county number, damage estimates, and settlements.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 14

LIBRARY

12-514.1. Library Board Meeting Minutes and Agendas.

A. Description: Record of proceedings at meetings of the Library Board. Information includes dates and times of meetings, members present, informational items, Director's Report Summary, Public Service Report Summary, financial information, policy approvals and motions made by the Board.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-514.2. Patron List.

A. Description: List of all library card holders. Information includes name and address, telephone number, place of employment (if applicable), school (if applicable), and signature of cardholder or parent.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-514.3. Shelf List.

A. Description: Record of each volume in the library. Information includes call number, author, title, publication date, acquisition date, description of book, and type book.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 15

EMERGENCY SERVICES

12-515.1. Patient Care Form.

A. Description: Records consist of DHEC forms completed by the attending paramedic listing the drug usage and other relevant data on the emergency call. Also includes payment authorization/billing forms. Records may be used by attorneys in litigation. Information includes patient identification, address, sex, race, date of birth, hospital transported to, disposition, safety equipment, patient status, incident location, preliminary impression, treatment procedure, drug used, site of trauma, advanced procedures, vital signs, comments, chief complaint, observation at scene, time record, DHEC permit number, auto plate number, attendants signature and billing information.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-515.2. Dispatch Cards for 911 Emergency Calls.

A. Description: Forms documenting emergency calls dispatched to the Fire Department, the Sheriff's Department, the Police Department or to Emergency Medical Services. Information includes dispatch number, location, incident type, caller name, call back number, unit and dispatch information or unit and response information.

B. Retention: 3 year, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-515.3. 911 Phone Logs.

A. Description: Record of incoming calls to 911. Information includes name, address, phone number, time and date of call.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-515.4. Radio Logs.

A. Description: Log of the calls received, calls dispatched, and other radio traffic. Information includes date; time; verbal communications; complainant's name, address and phone number; and responding officer's unit number.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-515.5. EMS Accounts Receivable.

A. Description: Record of billing to health insurance companies and uninsured patients for emergency medical service. Information includes date, account number, charges, amount paid, balances, type of service, description of illness, ordered by, total miles driven, insurance company information, medicare information, medicaid information, transported from, transported to, paramedic, EMT, driver, and service/supplies.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 16 ANIMAL CONTROL

12-516.1. Animal Complaint Forms.

A. Description: Record of animal complaints and action taken. Information includes request made by (name, address, city), directions, nature of complaint, actions taken, date, phone number, and complaint number.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-516.2. Animal Control Release Form.

A. Description: Records documenting the release of all animals from the owner to the Animal Control Office relinquishing all rights of ownership to the animal. This contract specifies that after 24 hours the animal will become the property of the county. Information includes name, address, signature, date, type of animal, breed, sex, animal's name (if any), reason for giving up animal, stray or unwanted and temperament.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-516.3. Adoption Agreement.

A. Description: Record of animals adopted from Animal Control. Information includes adopter's information: name, address and phone number of person adopting the animal; Animal information: age, description, breed and sex of animal; adoption rules; date; signature; and fee.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-516.4. Euthanasia Drug Usage.

A. Description: Records used to track the amount of drugs used per animal, as well as number of euthanized animals. Information includes date, number of cc's used, weight of animal, type of animal, control number, initials and time of day.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-516.5. Animal Violation Ticket.

A. Description: Notification of violation of the Animal Control Ordinance. Information includes type of violation, violation date, time, location, breed of animal, color of animal, officer's name, owner's name and address, signature of officer and date.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 17 VOTER REGISTRATION AND ELECTIONS

12-517.1. Ballots.

A. Description: Consists of printed ballots from general elections. Information includes name of candidate, office running for, and space for write-in candidate.

B. Retention:

- (1) Marked Ballots for Uncontested Elections: 2 years after certification of election, then destroy.
- (2) Marked Ballots for Contested Elections: 2 years after decision on contested results is made, then destroy.
- (3) Unmarked Ballots: 30 days after election, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.2. Poll Managers Applications and Tests.

A. Description: Record of individuals seeking position of certified poll manager, as well as poll manager test and test score. Information includes name, birth date, mailing address, telephone number, occupation, precinct, voter registration number, social security number, political party, applicant signature, test score, and date of application.

B. Retention: 5 years after date of test, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.3. Petitions and Petition Summary Sheets.

A. Description: Used to nominate candidates for office, to certify political parties, to propose an ordinance, to call for referenda on ordinances, to call for a referendum, or to change the existing form of government. Information includes petition: county, purpose of petition, signature and address of voters, registration certificate of voter, and precinct of voter; and petition receipt: name of candidate, name of office, date of election, number pages, total number signatures, date submitted, time submitted, signature of election commission member or clerk, number of signatures needed for petition approval, number of signatures found to be valid, number of signatures submitted on petition, signature of member of registration board or clerk, and date.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.4. Absentee Ballot Requests (Applications for Absentee Ballots).

A. Description: Documents official requests for sending out absentee ballot applications. Information includes request number, date, party, name of voter, voter's address, home address, precinct

number, registration number, name of requester and address, name/address of voter's relative, phone number, comments, application number and date mailed.

B. Retention: 2 years after date of election, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.5. Election Material (Used).

A. Description: Materials used by the election commission during an election to document the collection of ballot box keys and to verify the election was run correctly. Information includes plastic key to ballot boxes, spoiled ballots, ballot box verification form name/address of verifier, red seal number (plastic key), type of election, name of witness, date, and computer diskettes used to tabulate election results.

B. Retention: 2 years after date of election, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.6. South Carolina Election Commission Voter List.

A. Description: Listing of all registered voters in the county. Information includes election number, election date, county code, precinct code, names, certificate numbers, addresses, social security numbers, date of birth and descriptions.

B. Retention: 4 years after date of election, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.7. Inactive Voter List (Outdated Voter List).

A. Description: Listing of outdated registrations. Information includes names, certificate number, address, social security number, date of birth, occupation, registration, date, sex, race, height, weight and color of hair and eyes.

B. Retention: 2 years after date of election, then destroy

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.8. Election Results.

A. Description: Computer printout listing the precinct totals for candidates for political office. Information includes number of votes for each candidate and the total votes cast for election.

B. Retention: Permanent. Microfilm.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.9. Federal Post Card Application and Registration.

A. Description: Post cards printed by the federal government used to mail information in to Voter Registration. Information includes name, social security number, home address, mailing address, date of birth and signature.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.10. Political Maps.

A. Description: Maps created by the Research and Statistical Services Office showing political boundaries and political numbers of political subdivisions.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.11. Computer Printout Tallies.

A. Description: Computer printouts generated by the State Election Commission showing a breakdown by race of the statistical data on various subdivisions. Information includes Decode, School

Tally, City Council Tally, County Council Tally, Congressional District Tally, Senate District Tally, House District Tally, and Race Breakdown.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-517.12. Application to Register to Vote.

A. Description: Documents persons registering to vote in county elections. Records are active and inactive; inactive-deceased; inactive-convicted; inactive-moved; and inactive-over 5 years. Information includes name, sex, race, social security number, address, date of birth, certificate number, and precinct assigned to.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 18 CORONER

12-518.1. Index to Inquisitions.

A. Description: Serves as a finding aid to the Coroner's inquisition records. Information includes name of deceased, date of death, date of inquisition, and reference number of inquisition.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-518.2. Inquisitions Records.

A. Description: Records Coroner's inquests into sudden, violent, or unusual deaths. Information includes date of inquest, name of deceased, ages, cause, and manner of death.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-518.3. Case Files.

A. Description: Contains some or all of the following documents relating to deaths reported to the Coroner: coroner's report, law enforcement report, autopsy report, evidence report, burial permits, death certificate, forensic request and report, investigative notes, photographs, medical and dental records, subpoenas, and newspaper clippings. Information includes names and addresses, times, dates, places, signatures, and titles.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

ARTICLE 6 GENERAL RETENTION SCHEDULES FOR MUNICIPAL RECORDS

INTRODUCTION AND GENERAL MATTERS

12-601. Introduction and General Matters; Application of Schedules.

The following general schedules contain minimum records retention periods for the official copy of the records. These retentions and dispositions apply regardless of physical format, i.e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, municipal governments must complete and submit a report on records destroyed form to the Department of Archives and History after eligible records have been destroyed. These forms are available from the Department's Division of Archives and Records Management. Before disposing of public records under these general schedules, municipal governments should insure that the records have no further audit, legal, or fiscal value. These general

schedules supersede all schedules approved previously for the same records series. However, municipal governments may opt out of these general schedules and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary, or in order to avoid conflict with other laws or regulations.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 1 ADMINISTRATIVE

12-601.1. Deeds (Conveyances).

A. Description: Deeds for property acquired by and disposed of by the municipality. Information includes date, name, location and description of property, cost, and signatures of buyer, seller and witnesses. Correspondence, plats and abstracts of title may also be included in the file.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.2. Right of Ways.

A. Description: Files documenting right of ways obtained by the municipality for projects such as streets, sewer lines, storm drains, and pole lines. Information includes the name of the project, from whom purchased, and legal documents and correspondence associated with the purchase of the property.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.3. Easements.

A. Description: Agreements allowing the use of property by another party. Types of easements include encroachments, utility drainage, and sewer and water line installation and maintenance. Information include description of property, location, description of project, conditions of easement, and signatures. Easements may be to or from the municipality.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.4. Annexation Files.

A. Description: Files that documents the annexation of land by the municipality. Included are maps, ordinances of annexation, petitions for annexations, surveys of the proposed annexation (including population figures, number and type dwellings of proposed annexation), correspondence, street number lists, street numbering warrants, and violation letters.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.5. Cancelled Bonds and Coupons.

A. Description: Various bonds and interest coupons issued by the municipality which have matured and been cancelled. These bonds were issued to finance various municipal projects such as water and sewer construction, street paving, etc. Information includes name of bank, control number, date, addressee, bond issue, year, maturity year, quantity, denomination, amount, and date received.

B. Retention:

(1) 1 copy of bond and coupon from each series: Permanent.

(2) Other records: 10 years after cancellation, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.6. Grant Files.

A. Description: Background application information and action taken on federal and state grants awarded to the municipality. Information includes filing guidelines, grant applications, contracts, correspondence, reimbursement requests, progress reports, and final reports.

B. Retention:

(1) Applications, Grant Contract Agreements, and Annual and Final Grant Project Reports for Significant Projects: Permanent. Microfilm optional.

(2) Other Records: 3 years after completion of grant project, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.7. Contracts.

A. Description: Contractual agreements between the municipality and another party. Information includes date, parties, type of contract, explanation of agreement, signatures of parties, notarization.

B. Retention: 3 years after expiration of contract, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.8. Cemetery Records.

A. Description: Created by the caretakers to document purchase of burial sites and persons interred in municipal cemeteries. Information includes who was buried, on what date, price paid for the plot, date plot was purchased, and veteran status of deceased.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.9. Fixed Assets Inventory File.

A. Description: Catalog of all fixed assets owned by the municipality. Information includes municipal owned assets by department, method of acquisition, purchase authority, fund origination, physical location.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.10. Maps and Blueprints.

A. Description: Maps created by the municipality as well as those received from other sources. Types of maps include zoning maps, municipal and county maps, maps from utility companies, highway maps, and land use maps.

B. Retention:

(1) Blueprints, sepia, and/or electrostatic copies on mylar: Permanent. Microfilm.

(2) Other Records: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.11. Scrapbooks.

A. Description: Scrapbooks of municipal events including newspaper clippings, announcements, photographs, special programs, and other related information.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.12. Historical File.

A. Description: Files containing historical information concerning the municipality and important periods of history. Information includes minutes of local organizations, financial documents, maps, newspaper clippings, photographs, compiled histories of the municipality, information on historic homes and properties, information concerning foreign wars and unusual conditions (Hugo files), and any other documentation of the history of the municipality.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-601.13. General Correspondence and Subject Files.

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

(1) Policy and Program Records: These records document the formulation and adoption of policies and procedures and the implementation or management of the programs or functions of the office or department. Included are such records as correspondence with citizens and government officials regarding policy or procedures development or program administration; annual or ad hoc narrative or statistical reports on program activities, achievements or plans; organizational charts and mission statements; studies regarding department or office operations; circular letters, directives or similar papers addressed to subordinate units or staff concerning policies, procedures or programs; and records related to significant events in which the department or office participated. Records may include photographs, published material, audio tapes, or other record forms.

(2) General Administrative Records: These records are of a general facilitative nature created or received in the course of administering programs. Included are such records as correspondence of a routine or repetitive type, such as requests for information; reference materials, sometimes of a technical nature, used, but not created by, the office; daily, weekly or monthly office activity reports which are summarized in annual reports or which relate to routine activities; personnel data on office staff which are duplicated in Personnel Office files; daily or weekly work assignments for office staff; suspense or follow-up files which duplicate copies of papers filed elsewhere; circular letters, directives or similar papers received from other offices; and rough drafts or notes created in compiling reports or studies.

(3) General Housekeeping Files: These records are of a general "housekeeping" nature created or maintained by an office which do not relate directly to the primary program responsibility of the office. Included are such records as: charitable fund raising drive materials; custodial services requests; emergency evacuation procedures; notices of holidays; parking space assignment lists; telephone installation requests; and lists showing the distribution of keys.

B. Retention:

(1) Policy and Program Records: Permanent. Microfilm optional.

(2) General Administrative Records: 5 years, then destroy.

(3) General Housekeeping Files: Until no longer needed for reference, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-601.14. Election Records.

A. Description: Record of elections and results of elections. Information includes declaration of results, oath of office, statements of candidacy, registration, newspaper notices, petitions for nomination of council members and mayor.

B. Retention:

(1) Results and Certifications: Permanent. Microfilm optional.

(2) Other Records: 2 years, and until all contested elections have been decided and all appeals exhausted, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-601.15. Monthly Reports.

A. Description: Reports of office activities performed during the month. Information includes department name, month and list of activities for each month.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 2
BUILDING INSPECTIONS/PLANNING/ZONING

12-602.1. Zoning Commission Minutes.

A. Description: Record of proceedings at meetings of the Zoning Commission. Information includes meeting dates, members of board present, variance requests, old business, new business, and adjournment.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.2. Planning Commission Minutes and Attachments.

A. Description: Record of proceedings at meetings of the Planning commission. Information includes dates and time of meeting, members present, agendas, minutes, action taken on development permit applications, any matters relating to planning and development issues, and attachments including petitions, maps, studies, and planning reports forwarded to the Commission for discussion.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.3. Building Permits.

A. Description: Forms documenting permission granted by the municipality to construct buildings that comply with established building codes. Information includes permit number, name and address of real estate owner, location of building, type of work (i.e. new, alteration, repair, etc.) description of building, name of architect and of contractor, tax map number, zoning classification, water system, usage of property and signature of zoning administrator.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.4. Building Permit Log.

A. Description: Finding aid for building permits issued in the municipality. Information includes permit number, applicant's name, location of building, date issued.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.5. Plans and Specifications.

A. Description: Blueprints and other graphic illustrations of designs submitted by contractors for the construction, reconstruction or alteration of buildings within the municipality. These plans and accompanying specifications are submitted to ensure compliance with building codes. Documents include site plan, scale of floor plan, elevation plan, electrical plan, typical wall section and foundation, and specifications.

B. Retention:

(1) Blueprints of Public Building Projects: Permanent. Microfilm.

(2) Other Records of Public Building Projects: Permanent. Microfilm optional.

(3) Non Public Building Projects: 1 year after issuance of certificates of occupancy, then destroy, unless needed for future reference.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.6. Inspectors' File—Mechanical (Construction).

A. Description: Records documenting examinations made to mechanical construction, reconstruction, alteration, and repair projects within the municipality to insure compliance with Southern

Standard Mechanical Code and all applicable codes. Information includes copy of Mechanical Permit, Inspection Reports, and correspondence.

B. Retention: 2 years after completion of project, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.7. Inspectors' File—Electrical (Construction).

A. Description: Records documenting examinations made to electrical construction, reconstruction, alteration, and repair projects within the municipality to insure compliance with the National Electrical Code and all other applicable codes. Information includes copy of the Electrical Permits, Inspection Reports, and correspondence.

B. Retention: 2 years after completion of project, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.8. Inspectors' File—Gas Piping (Construction).

A. Description: Records documenting examinations made to gas piping, construction, reconstruction, alteration, and repair projects made within the municipality insuring compliance with the Southern Standard Gas Code and all other applicable codes. Includes Inspection Reports, Gas Piping Permit, and correspondence.

B. Retention: 2 years after completion of project, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.9. Inspectors' File—Plumbing (Construction).

A. Description: Records documenting examinations made to plumbing construction, reconstruction, alteration and repair projects within the municipality to insure compliance with the Southern Standard Plumbing Code and all other applicable codes. Information includes Plumbing Permit, Inspection Reports, and correspondence.

B. Retention: 2 years after completion of project, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-602.10. Certificate of Occupancy.

A. Description: Certifications made by the department that a building complies with municipal codes and is safe for occupancy. Information includes type of building, permit number, type of construction, owner of building, address, contractor name, date built and certified in compliance with code.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-602.11. Subdivision Files.

A. Description: Records used in the review of subdivision plans to insure construction is according to plan. Information includes correspondence, copies of subdivision Declaration of Covenants, Conditions, Easements, and Restrictions, Field Investigation Reports and Final Inspection/Acceptance of Completed Work notifications, Inspection, Investigation Reports and Permits to Operate from the Department of Health and Environmental Control, cost proposals, plats, drawings, information on contractors, and related notes.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-602.12. Subdivision Maps/Plats.

A. Description: Plats of subdivision lots in the municipality, submitted by the property owner and recorded in the county register of deeds office. Information includes location, boundaries and divisions, date of survey, certificate of surveyor, scale, property owners, date of recording and plat.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 3 BUSINESS LICENSE

12-603.1. Business License Applications.

A. Description: Applications submitted by persons seeking to operate businesses in the municipality. Information includes name of business, location, classification, license number, gross sales for preceding calendar year, type of application, date, fee, Federal ID number or social security number.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-603.2. Business Licenses.

A. Description: Records documenting authorization for businesses to operate within the municipality. Information includes name of business, type of business, date of license and authorizing signature.

B. Retention:

(1) Business Licenses for Earliest Extant Year and Every Other Year Thereafter: Permanent. Microfilm optional.

(2) Other Business Licenses: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

SUBARTICLE 4 COUNCIL

12-604.1. Council Meeting Recordings.

A. Description: Voice recordings of municipal council meetings used in preparing the Council Meeting Minutes. Information includes date of meeting, meeting time, meeting place, council members present, order of business, business discussed and decisions made.

B. Retention: 2 years, then destroy/re-use, provided paper copies of minutes have been produced.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-604.2. Council Minutes.

A. Description: Record of proceedings at meetings of the municipal council which includes written descriptions of the financial and administrative business conducted. Information includes dates of meetings, names of council members present, claim approvals, petitions, bids, proposals, other matters discussed by or brought to the attention of the council, and attachments.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-604.3. Agenda Packets.

A. Description: Record of items submitted for municipal council's consideration. Information includes meeting number, date, locale and time; order and description of proposed business.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-604.4. Ordinances.

A. Description: Original ordinances passed by the municipal council representing local laws and regulations which pertain to the municipality only. Information includes ordinance number, ordinance, date, and signatures of the chairman and council clerk.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-604.5. Resolutions.

A. Description: Record of official actions authorized by municipal council through the passage of resolutions. Information includes resolution number, resolution, date, signature of chairman, and signature of municipal clerk.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

SUBARTICLE 5 FINANCE

12-605.1. Annual Budgets.

A. Description: Printed copies of annual budgets showing projected receipts and expenditures from various offices. Approved budget appropriations are listed for each department.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.2. Budget Files.

A. Description: Preparation materials used in the formulation of the municipal budget. Information includes budget requests and supplemental information justifying budget requests.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.3. Audits Reports.

A. Description: Printed reports documenting the annual audit of municipal funds. These reports, prepared by an outside accounting firm, are categorized by the various municipal offices and further classified by accounts to which they relate. This series also includes semiannual and special audits. Information includes balance sheet, summary of revenue and expenditures, cash balances, statement of taxes, statement of delinquent taxes, statement of other receipts, statement of fines and fees.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.4. General Ledgers.

A. Description: One or more series of computer and non-computer generated financial ledgers providing final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all municipal funds and accounts, including receipts and expenditures from all revenue sources, both public and private. For computer generated ledgers, this series includes annual accounting code data and computer system documentation needed to access accounting information.

B. Retention:

(1) Computer Generated Ledgers: Permanent. Microfilm.

(2) Non-Computer Generated Ledgers: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.5. Trial Balances.

A. Description: Summary information of receipts and expenditures from various municipal accounts used in balancing the General Ledger. Information includes account number, account name, beginning balance, total assets, total liabilities, adjustments, expected revenue, month-to-date receipts, month-to-date percent, year-to-date percent, uncollected balance, and a breakdown of each depart-

ment's expenses. For computer generated ledgers this annual accounting code data and computer system documentation needed to access accounting information.

B. Retention:

- (1) Computer Generated Year-to-Date Trial Balance: Permanent. Microfilm.
- (2) Non-Computer Generated Year-to-Date Trial Balance: Permanent. Microfilm optional.
- (3) Other Trial Balances: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.6. Bids.

A. Description: A record of each bid submitted by vendors selling goods and/or services to the municipality. Information includes request for quotation, bid spread sheet, and bid award letter.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.7. Requisitions.

A. Description: Request forms from the various municipal offices and departments which describe goods or services to be ordered by the municipality. Information includes number, department, delivery location, date, date required, item number, quantity, description, known suppliers, and authorizing signature.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.8. Purchase Orders.

A. Description: Purchase orders for goods and services paid for by the municipality, or for goods and services yet to be delivered to the municipality. Information includes quantity, commodity, service unit, price, total price, number, page number, name of company or business, address, date, item number, delivery location, total items, and signature of purchasing agent.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.9. Accounts Payable Check Registers.

A. Description: Record of check payments to vendors/contractors for services/materials sold to the municipality. Information includes date, vendor number, purchase order number and date, account number, amount, date of invoice, transaction date, transaction number, and control number.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.10. Paid Invoices.

A. Description: Filed copies of invoices submitted by various vendors supplying goods and services to the municipality. These invoices may be filed together with copies of checks and/or claim forms. Information includes Invoice: vendor name, address, date of purchase, purchase order (if any), invoice number, item(s) or service(s) purchased, amounts, total. Check Copy: vendor name, address, date of check, amount check number. Claim Form: date, account number(s), description of item(s), amount(s), approval, and signature(s).

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.11. Claims.

A. Description: Office's copies of documents establishing a claim on the municipality for goods and services. Information includes control number, date filed, who is making claim, amount, and authorized approval.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.12. Banking Records.

A. Description: Cancelled checks and deposit slips written by the municipality along with the statements issued by the bank. Information includes (1) checks: date, to whom paid, amount, check number, authorized signature; (2) bank statements: list of checks for one month period, dates, beginning balance, ending balance; and (3) deposit slips: date, amounts of deposits, and total deposit.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.13. Receipts (Receipt Carbons).

A. Description: Copies of receipts issued by municipal offices to persons turning over funds. Information includes date, number, from whom received, amount, purpose, and authorizing signatures.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.14. Daily Cash Books.

A. Description: Daily records of receipts and disbursements of municipal funds. Information includes date, purpose, amount, date paid, date received, fund for which written.

B. Retention:

(1) When Corresponding General Ledgers are Missing: Permanent. Microfilm optional.

(2) When Corresponding General Ledgers Exist: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-605.15. Daily Collections Report.

A. Description: List of monies received on a daily basis for payments of municipal services. Information includes account number, name, payment date, amount of payment, allocation of funds .

B. Retention: 1 year, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

SUBARTICLE 6

FIRE

12-606.1. Annual Report to State Fire Marshal.

A. Description: Annual report sent to State Fire Marshal of status of Fire Department employees, equipment and finances. Information includes number of officers, number of men, number paid, names of trustees of Firemen's Insurance and Inspection Funds, name of Building Inspector, name of buildings and inspection code adopted by the municipality, total Firemen's Fund on hand, apparatus and value of Fire Department equipment and vehicles in serviceable condition, system of water supply and type of alarm system.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-606.2. Incident Report.

A. Description: Record of fire department related incidents (including fire, chemical spills, animal rescue and bomb scares) that have occurred in the municipality. These forms are completed each time a fire truck is used in answering a call. Information includes incident number, date, and time; situation found, action taken, fixed property, occupant name, owner name, method of alarm, number of fire personnel responding, information on the origins of and type of fire encountered, method of

extinguishment, information on the structure involved in incident, and signature of member making report.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-606.3. Fire Hose Record.

A. Description: Record of tests performed on hoses in the department to assure that the equipment is in good operating condition. Information includes manufacturer, guarantee test (pounds), new or used, survey date, date of test, fire station number, semi-annual test (pressure, OK or failure), location (truck number, stored), action-remarks, initial, hose number, size, and date received.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-606.4. Fire Hydrant Testing Report.

A. Description: Maintenance records of operating tests conducted on municipal fire hydrants. Information includes location, water available, hydrant number, SPM at 20 PSI, main size, type (2 way, 3 way), lateral size, lateral gated, height from ground, inspected (date, time, by whom), condition, out of service, in service, pressures (static, resi., flow), and remarks.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-606.5. Equipment Files.

A. Description: Record of the equipment of the Fire Department. Information includes type of equipment, cost, location, instructions for use, and related correspondence and documentation.

B. Retention: Until the equipment is sold or disposed of, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-606.6. Employee/Volunteer Training Records.

A. Description: Record of all training classes taken by fire department employees and volunteers. Information includes employee name; date; type of training such as typing, hazardous material, pump operations, basic fire fighting, and truck operations.

B. Retention: 3 years from the date on which training occurred, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-606.7. Arson Files.

A. Description: Record of fires caused by arson that occurred in the municipality. Information includes name, statements, investigative notes, date of occurrence, State Law Enforcement Division Lab Reports, and address of fire.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-606.8. Fire Inspection Reports.

A. Description: Documents safety inspections made by the fire department of businesses within the municipality. Information includes date, location of inspection, building function, occupancy, capacity, last inspection date, personnel conducting inspection, business phone, tenants name and phone number, description of structure, comments, violations and mandated corrections.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-606.9. Daily Logs.

A. Description: Summarizes daily activities of the fire department. Information includes fire calls, activities, time and date, employees worked, and employees off.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-606.10. Volunteer Personnel Files.

A. Description: Record of volunteers working for the fire department. Information includes applications, physicals, service awards, and related correspondence and documentation.

B. Retention: 5 years after termination of service, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 7 PERSONNEL

12-607.1. State and Local Government Information Reports (EEO-4).

A. Description: Annual report monitoring internal programs for insuring equal employment opportunities. Information includes name of municipality, address, type of government, identification, function, employment data, list of agencies in this function, name of person to contact regarding this form, title, address, area code and telephone number, date, typed name/title of authorized official, and signature. These reports are forwarded to the Equal Employment Opportunity Commission in compliance with federal civil rights statute.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.2. Personnel Files (Active and Inactive).

A. Description: Forms and materials relating to municipal employees. Files include applications, salary information, attendance and leave records, workmen's compensation reports, performance evaluations, and complete employment history.

B. Retention: 5 years after termination of employment, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.3. Application File (Not Hired).

A. Description: Application forms submitted by persons applying for jobs with the municipality who were not hired. Information includes name, address, education and work experience.

B. Retention: 2 years after rejection of application, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.4. Log and Summary of Occupational Injuries and Illnesses.

A. Description: Record required by the Occupational Safety and Health Act of 1970, used to record pertinent information concerning work-related deaths, injuries, and illness. Information includes annual average employment, total hours worked, nature of business, month of OSHA Inspection, recordable injuries and illness, occupational illness and injury, and title, signature, phone number, date, and comments of person preparing report. These reports are forwarded to the South Carolina Department of Labor.

B. Retention: 5 years following the end of the calendar year to which they relate, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-607.5. Workers Compensation Records.

A. Description: Consists of case files containing records and reports generated as the result of employment-related accidents involving municipal employees. Information includes Reports of Acci-

dents Involving Only Medical Attention, Physician's Report and Itemized Statement, Employer's First Report of Injury and Illness, Agreement as to Compensation, Conditional Waiver of Hearing, 60-Day Report, Status Report and Compensation Receipt, Supplemental Memorandum of Agreement As to Payment of Compensation, correspondence with South Carolina Workers Compensation Commission, physicians, attorneys, and employees, statements from physicians, copies of internal invoices, copies of receipts and statements for the purchase of medications, copies of purchase requisitions, copies of health insurance claim forms, copies of patient return reports and disposition forms from physicians, and handwritten notes.

B. Retention:

- (1) Employer's First Report of Injury: 3 years after settlement, then transfer to employee files.
- (2) Other Records: 3 years after case settlement, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.6. Grievance Hearing Files.

A. Description: Material relating to the reviewing, hearing and disposing of employee grievances and appeals of adverse personnel actions and disciplinary measures. Information includes letters of appeal, documentation from department heads, copies of complaints, investigation reports, hearing transcripts or summaries and related correspondence.

B. Retention: 5 years after termination of case, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.7. Payroll Register.

A. Description: Documents employment and wages paid to municipal employees for services rendered. Information includes name of employee, social security number, date of check, hourly or salaried amount, overtime, number of hours worked, volunteered and other deductions.

B. Retention:

- (1) Year End Payroll Registers: 60 years, then destroy.
- (2) Other Payroll Registers: 1 year, then destroy

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.8. Payroll Check Registers.

A. Description: Record of payroll checks issued. Used for balancing accounts, internal fiscal control, and external audits. Information includes employee name, social security number, amount of check, state and federal income tax deductions, other deductions, and year-to-date totals per pay period.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.9. South Carolina Retirement System Quarterly Report.

A. Description: Quarterly report of contributions made by municipal employees to the South Carolina Retirement System. Information includes employer's name, address, date of quarter, employee's name, active member register number, non-member notations, retirement contributions and social security numbers.

B. Retention: 60 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.10. South Carolina Police Officer's Quarterly Retirement Reports.

A. Description: Quarterly records of contributions made by municipal law enforcement officers to the South Carolina Police Officer's Retirement System. Information includes employer's name, address, active register numbers, social security number, employee's names, gross salary and contribution for class I, and gross salary contribution for class II, retirement and pre-death contributions, and total salary.

B. Retention: 60 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.11. Deduction Registers.

A. Description: Summarizations of information on deductions from payroll checks. Used for balancing accounts, internal fiscal control, and external audits. Information includes employee name, social security number, state and federal income tax deductions, and year-to-date deductions per pay period.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.12. Individual Taxpayer Report of Withholdings (W-2 Forms).

A. Description: Employer's copy of employee's total earnings and withholdings for the calendar year reported to the Internal Revenue Service. Information includes employer's identification number, employer's name and address, employee's social security number, federal income tax withheld, FICA taxes withheld, total FICA wages and state income tax withheld.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.13. Time Cards.

A. Description: Record of hours worked by municipal employees. Information includes employee name, date, and hours worked.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-607.14. Time Sheets.

A. Description: Verification of the number of hours worked by each employee. Information includes employee's name, employee number, hourly wage, days and hours worked and department head approval.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-607.15. Insurance Records.

A. Description: Record of insurance claims filed by municipal employees. Information includes name of patient, provider, dates of service and amount of payment request.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-607.16. Sick and Annual Leave Records.

A. Description: Record of leave taken by municipal employees. Information includes name of employee, social security number, date, leave date, number of days/hours, reason for leave and signature of employee.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 8 POLICE

12-608.1. Criminal History Cards.

A. Description: Card file maintained for a quick reference to information in criminal histories. Information includes name, date of birth, social security number, date of crimes/arrests, court decisions, address, race, sex, and height.

B. Retention: Until death of subject or 75 years, whichever comes first, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.2. Criminal Histories.

A. Description: Cumulative history on any subject arrested by the police department. Information includes last name, first name, middle name, alias, FBI number, social security number, race, sex, age, height, weight, eyes, hair, complexion, occupation, next of kin, date/place of birth, scars and marks, arrest dates, docket numbers, charges, and dispositions.

B. Retention: Until death of subject or 75 years, whichever comes first, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.3. Case Files.

A. Description: Compilation of all relevant data necessary for the creation of a case against a defendant(s) on a particular crime. Information includes detailed investigative data on the offense and the defendant(s) compiled on several standard forms such as Incident Report and Booking Report.

B. Retention: 30 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.4. Juvenile Files.

A. Description: Record of juveniles arrested in the municipality. Information includes an index on each individual which includes name, date of birth, race, sex, vital statistics, and date crime committed, photographs, warrants, a copy of the Arrest/Booking Report, and the Certified Driving Records for DUI.

B. Retention: 3 years after subject reaches majority, then destroy, unless there is legal reason to retain further.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.5. Radio/Telephone Logs.

A. Description: All incoming and outgoing radio and telephone communications. Information includes: officer(s) absent, assignment, officer's name, unit, radio test, complaint, phone number, location, nature, officer assigned, time recorded, time dispatched, time arrested, time served, status remarks, case number, dispatcher and supervisor signatures.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.6. Field Contact Cards.

A. Description: Cards filled out by police officers after interviewing suspicious persons during their shift. These persons may be known criminal suspects or other persons interrogated by the department. These persons have been questioned by the police, but may not have committed any crime. Information includes name, address, nickname, phone number, age, race, sex, height, weight, build, complexion, date of birth, scars, dress, description of car, location of stop, reason for stop, disposition.

B. Retention:

(1) Cards Concerning Criminal Suspect: 1 year, then transfer to case files.

(2) Other Cards: 1 year, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.7. Incident Reports.

A. Description: Records the original report of a felony or incident and pertinent facts surrounding the offense. Information includes incident type, case number, NCIC entry, incident code, premise type, incident location, incident date, time, date reporting area, complainant, victim information, subject (suspect) data, arrest data (if applicable), vehicle data (if applicable), witness data (if applicable), narrative, and UCR data administrative section.

B. Retention: 5 years or until of no further legal or administrative value, whichever comes later, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.8. Arrest Warrants.

A. Description: Warrants which authorize the arrest of individuals for various offenses committed. Information includes warrant number, name of person to be arrested, charge, date of offense, description of offense, name of affiant, date sworn, signature of issuing official.

B. Retention: Until copy of the warrant is served, then forward the original to issuing official.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.9. Arrest Dockets.

A. Description: A chronological listing of all arrests made and traffic citations issued by the police department. Information includes name, address, description, social security number, charge, court date, date and time of arrest, date and time of release, arresting officer's name, and releasing officer's name.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.10. Booking Reports.

A. Description: Record of all persons arrested and booked by the police department. Information includes agency identification, case number, name, race, sex, date of birth, docket number, age, height, weight, hair, eyes, social security number, visible scars and marks, NCIC identification number, address, phone number, alias, drivers license number, occupation, next of kin and address, booking officers name, current date, charge data, medical data, release date, time, and arresting officer.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.11. Uniform Traffic Collision Reports (Accident Reports).

A. Description: Standard state form containing the following information: date, county, day of week, time, type road, street address, city or town, driver name, address, date of birth, sex, race, license number, state, license restrictions, member of armed forces, wearing seatbelts, violations indicated, speed limit, estimated speed, year and make of vehicle, license plate number, state, year, validation number, total occupants this unit, owner's name, street or RFD, city and state, vehicle towed. There is a schematic drawing whereby action of vehicles and points of impact can be illustrated in addition to a narrative section. The investigating officer signs the form at bottom where he also completes information on charge(s), if any, and victim, injured or dead, if applicable. A copy of this report is sent to the South Carolina Department of Public Safety.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-608.12. Traffic Tickets.

A. Description: A standard state form recording traffic citations issued to motorists. Information includes: driver's name, address, occupation, state licensed, license number, vehicle license number, state, make of vehicle, year, name of trial officer, street and number, city, date of trial, time of trial, violation, section number, nature of offense, owner of vehicle, address of owner, date of arrest, date of violation, case, disposition, description of accused, sentence of court, committed to, arrest as a result of accident, certified correct, date, offense code, test refused, blood alcohol level, amount of fine, and amount of suspense.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.13. Parking Tickets.

A. Description: Copies of parking tickets issued to meter violators. Information includes date, time, tag number of vehicle, make of car, officer's name, place of violation, type of violation, ticket number.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.14. Officer's Daily Activity Report.

A. Description: Record of daily activities of officers used to record the officer's time on duty. Information includes name, badge number, vehicle information, mileage, and activities of officer during each hour on duty.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.15. Breathalyzer Operator Test Report (BA Form).

A. Description: Record of breathalyzer tests performed on defendants. Information includes defendant's name, address, driver's license number, date of arrest, name of arresting officer, name of BA operator, BA reading or refusal, and signatures.

B. Retention: 10 years after trial date, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.16. Receipts.

A. Description: This series is composed of carbon copies of receipts issued by the police department for money received. These receipts record money taken in for such things as payment of fines, fees collected for reports and records checks issued, and bond payments.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.17. Abandoned Vehicles Files.

A. Description: Record of all abandoned vehicles within the city limits. Information includes property owner, location of vehicle, make of vehicle, license number, private property, public property, removal date, and final disposition.

B. Retention: 2 years after disposition of vehicle, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.18. House Watch Patrol Check.

A. Description: Record of special and vacation watches to municipal property performed by the department at the request of residents. Information includes zone, departure date, return date, dispatcher initials, name and address of requestor, whether vacation watch or special watch, supervisor authorization, officer's number, date and time location was checked, date check ended, and remarks section.

B. Retention: 1 year, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-608.19. Personnel Training Files.

A. Description: Summary information on training courses attended by police department personnel. Information includes name of officer, social security number, date attended, course title/agency, hours and grade.

B. Retention: 3 years from the date on which training occurred, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-608.20. Requests For Services (Complaints).

A. Description: Records the receipt of complaints/requests to the police department and the subsequent dispatch of the police officer to the incident location. Information includes complaint number, signal code or police code, location, received by (radio, phone, other), action taken, operator, zone, complaint officer, shift call taken and time.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 9 PUBLIC WORKS

12-609.1. Maps and Blueprints.

A. Description: Maps and blueprints of major structures, additions, and renovations to buildings in the municipality. Information includes road names, lot numbers, sewer tap locations, interior, blueprints of buildings, etc.

B. Retention:

(1) Blueprints, sepia, and/or electrostatic copies on mylar: Permanent. Microfilm.

(2) Other Records: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-609.2. Encroachment Permits.

A. Description: Permits from the South Carolina Department of Highways and Public Transportation, giving the municipality permission to install water and sewer lines that encroach on state owned roads and highways. Information includes applicant's name and address, county, road/route, and road name permit application submitted for, type of public service line, description of location with reference to highway, applicant's name, date requested, special provisions and sketch plan.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-609.3. Maintenance Request Forms.

A. Description: Record of requested maintenance repairs on departmental equipment. Information includes date, item number, type of work requested, materials needed, date work completed.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-609.4. Work Orders.

A. Description: Copies of work orders for services requested by customers and subsequent services rendered by the municipality. Information includes account number, name and address of customer, service requested, service rendered (or explanation), date and signature of service person.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-609.5. Valve Records.

A. Description: Record of all valves in the municipality. Information includes drawings, location, and description of the valve.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-609.6. Vehicle Maintenance Report.

A. Description: Maintenance schedule on municipal owned vehicles maintained by the Public Works department. Information includes date, vehicle number, make, last service date, last service odometer reading, service schedule by days or miles, and current odometer reading.

B. Retention: Until disposal of vehicle, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-609.7. Vehicle Service File.

A. Description: Documents service history of all vehicles owned by the municipality. Information includes vehicle number, vehicle identification, make of vehicle, date of purchase, purchase cost, maintenance date, odometer/hours, expected life, group code, maintenance days, vehicle type, department number, fuel code, engine, transmission, brake system, rear end, clutch, fuel capacity, oil capacity, rating, description, purchase, current, previous, and when last serviced.

B. Retention: Until disposal of vehicle, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

SUBARTICLE 10

TAX

12-610.1. Tax Digests (Tax Duplicates).

A. Description: Computer and non-computer generated digests which document real property taxes collected by the municipality from residents and businesses in the municipality. Information includes name and address, code number, location, district, tax levy, receipt number, number of acres, number of lots, number of buildings, receipt number, value, percent exemption type property, total real tax, date of payment, and remarks.

B. Retention:

(1) Computer generated digests: Permanent. Microfilm.

(2) Non-computer generated digests: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-610.2. Tax Receipts.

A. Description: Copies of the receipts issued to taxpayers upon payment of property taxes. Information includes receipt number, valuation of real property, total real, total personal, total property tax, total taxes, penalty, total costs, name, address, location, district, and number and value of acres, lots and buildings.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

SUBARTICLE 11

UTILITIES

12-611.1. Utility Service Applications-Residence.

A. Description: Record of municipal residents' applications for municipal utility services. Information includes name, service address, mailing address, social security number, driver's license number, place and years of employment, work phone, home phone, spouses name and social security number, driver's license number, spouse's place and years of employment, spouse work phone, number of persons residing at service address, previous address, renting or buying, owner or rental address, phone number, name of nearest relative, and address.

B. Retention: 2 years after cancellation of service, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-611.2. Utility Service Applications-Business.

A. Description: Record of businesses applying for municipal utility services. Information includes name of application, business name and address, mailing address, social security number or federal identification number, home office or business, owners name, home addresses, telephone numbers-business and home, renting/leasing, buying, property owner's/rental agency name, business/home address, telephone number, applicant's signature and title.

B. Retention: 2 years after cancellation of service, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-611.3. Meter Books.

A. Description: Books used to record readings from customer meters. Information includes name, address, meter number, date set, date of meter reading, reading number and total consumption.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-611.4. Utility Payment Stubs.

A. Description: Stubs from utility bills that have been returned with payment. Information includes account number, address, and amount due.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-611.5. Utility Billing Register.

A. Description: Documents the payment/non-payment of utility services provided by the municipality. Information includes billing date, name, address, meter reading (previous and current), cost, tax, total charge, balance, number of bills printed, active meters, consumption totals.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-611.6. Delinquent Customer Files.

A. Description: Record of customers' accounts that are referred to a collection agency for collection of a delinquent utility bill. Information includes customer name and address, current reading, date, consumption of water, sewer, total, balance, late charges, payments, cut-on date, and cut-off date.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-611.7. Work Orders.

A. Description: Copies of work orders for utility service requested by customers and subsequently rendered by the municipality. Information includes account number, name and address of customer, service requested, service rendered (or explanation), date and signature of service person.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-611.8. Backflow Prevention Files.

A. Description: Files documenting the installation, maintenance and testing of the backflow prevention device. Information includes backflow prevention device test: name, address, location of device, valve test, signed, date; backflow prevention device certification: name, address, service address, file number, type of device, make, size, model number, serial number, tested by and approved by.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-611.9. Bacteriological Files.

A. Description: Copy of form sent to the Department of Health and Environmental Control reporting amounts of bacteria in the drinking water. Information includes system number, name of water system, analytical method, contaminant identification, sample type, compliance period begin, compliance period end, number of samples required, number of samples taken, number of samples total coliform-positive, number of samples fecal coliform-positive, number of repeat samples required, number of repeat samples taken, number of repeat samples total coliform-positive, number of repeat

samples fecal coliform-positive, number days turbidity exceeded 1 NTU, number samples collected due to elevated turbidity, laboratory identification, laboratory name, comments, signature, date and system number.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-611.10. Daily Operations Forms/Reports.

A. Description: Documents all daily testing done by the lab technician as required by South Carolina Department of Health and Environmental Control. Reports include daily chemical report, bacteriological sampling, distilled water standard plate count, BOD and seed criteria, chlorine, caustic, fluoride, and alum levels.

B. Retention:

(1) Chemical Reports: 10 years, then destroy.

(2) Bacteriological Reports: 5 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-611.11. Discharge Monitoring Reports.

A. Description: Documents discharge of wastewater for the municipality to insure that permitted amounts are not exceeded. Information includes permit number, discharge number, monitoring period, parameter, average, maximum units, minimum, average, frequency of analysis, sample type, name of principal executive officer, signature, telephone, date, comments and explanations of violations.

B. Retention: 10 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

ARTICLE 7

GENERAL RETENTION SCHEDULE FOR STATE FINANCIAL RECORDS

INTRODUCTION AND GENERAL MATTERS

12-700. Introduction and General Matters; Application of Schedule.

The following general records retention schedule contains minimum retention periods for the official copy of the agency's records. These retentions and dispositions apply regardless of physical format, i. e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. Before disposing of public records under this general schedule, agencies must ensure that records have met all applicable federal and/or state audit, legal, litigation, fiscal and other retention requirements. To destroy records in accordance with this regulation, state agencies must complete and submit a report of records destroyed form to the State Archives after eligible records have been destroyed. This form is available from the Department's Division of Archives and Records Management. State agencies must also contact the Department of Archives and History in order to transfer permanent records to the State Archives for archival retention. This general schedule supersedes all schedules approved previously for the same records series. However, state agencies may opt out of this general schedule, and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary or in order to avoid conflict with other laws and regulations. This general schedule does not apply to higher education institutions and state agencies whose accounting and financial records are not summarized in the Statewide Accounting and Reporting System.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

SUBARTICLE 1
ACCOUNTING RECORDS

12-701. Reconciliations.

A. Description: Used monthly to reconcile an agency's record of internal accounting balances with recorded accounting balances from the Comptroller General's Office and the State Treasurer's Office. Information includes cash, expenditure and revenue account balances by mini code, subfund and/or object code; Statewide Accounting and Reporting System data; cash, investment and debt account balances at the State Treasurer's Office, if applicable; an explanation of exceptions or discrepancies; and related information.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-702. Schedule of Federal Financial Assistance.

A. Description: Used annually to report the federal financial activity of a state agency to the State Auditor's Office. The State Auditor's Office uses this information to prepare the Statewide Schedule of Expenditure of Federal Awards. Information includes title of federal program or grant, project and phase code, grant number, starting fund balance, receipts, expenditures, other additions, other deductions and ending balance.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-703. Source Procurement File.

A. Description: Used to document procurements made when there is only one source for the required supply, service or construction item. This file contains Justification for Sole Source Procurement, Record of Sole Source Contracts, and quarterly reports of procurement actions. Information includes type of procurement, the basis for sole source determination, the reason no other vendor is suitable, date, name of governmental body, authorized signature and title. Also included is the purchase order number, item description, commodity code, dollar amount, each contractor's name, the amount and type of each contract, and a listing of supplies, services, or construction procured under each contract. Copies of quarterly reports concerning procurement actions are scheduled to be retained for five years by the State Budget and Control Board's chief procurement officers.

B. Retention: 3 years, destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-704. Trade-In Document File.

A. Description: Used to document trade-in sale transactions which reflect property that is traded-in as partial or full payment for an agency purchase. This file contains Request for Trade-In Document and Record of Trade-In Sales. Information includes agency's name, address, requestor's name, location of property, agency contact person for viewing property, indication whether trade-in is being applied to sole source and new purchase. Also included are commodity code, description, purchase date, make, model-serial number, trade-in value, net cost, new item, purchase order number and related information.

B. Retention: 3 years, destroy.

HISTORY: Added by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-705. Accounts Receivable Journal.

A. Description: Used to keep track of receipts and basic revenue for all agency accounts. Information includes: account number, batch date, invoice number, date, control number type, payment date, invoice, debits, credits and other related data.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-706. Appropriation Transfer.

A. Description: Authorization for the transfer of administrative and/or program funds between different programs, funds, subfunds, and objects of expenditure within the agency. Information includes agency number, agency batch number, object code, credited to, debited from, reason for transfer, requested by, date and signature of State Budget Analyst. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-707. Bank Deposits.

A. Description: Document the deposit of funds into agency bank accounts. Included in the series are bank deposit forms, deposit slips or receipts. Information may also include State Treasurer's Receipt, and letter of credit for recording federal deposits.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-708. Budget Publications.

A. Description: Reflect various phases in the development and approval of the state's annual budget. Information includes the South Carolina State Budget as submitted by the State Budget and Control Board, General Appropriations Bill(s), Analysis of Change documents, appropriation summaries, Appropriations Act and other related information. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently in the State Archives.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-709. Budget Working Papers.

A. Description: Used to prepare the agency's annual budget requests and budget detail. Information includes a copy of the agency's proposed budget, allocation schedules, Budget and Control Board recommendation forms, general budget memoranda, back-up material and supporting documents for Budget and Control Board agenda items and legislative committees appropriation items. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently in the State Archives.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-710. Cash Receipts File and Journal.

A. Description: Cash receipts received by an agency from customers for the sale of services and commodities. Also included is the Cash Receipts Journal. Cash receipts reflect amount of sale, description of services or items sold, amount of money received, and sale date. The Cash Receipts Journal reflects date, sale description, purchase authorization number, and voucher/receipt number.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-711. Chart of Accounts.

A. Description: Records of accounts received from the Comptroller General's Office which list line item accounts contained in the Annual Appropriations Act. Also included is the Preliminary Chart of Accounts which lists account titles, program number, mini-code, subfund, object code and amount of final appropriation. The record copy of this series is retained in the Comptroller General's Office, as scheduled.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-712. Contingency Check Register.

A. Description: Agencies' list of all checks that are payable for travel and vendor expenses. Information includes payee, department number, account number, transaction code, warrant number, warrant amount, check number and check amount.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-713. Detail Budget.

A. Description: Prepared by an agency during the first phase of the budget process to reflect all revisions necessary to balance budget allocations, as submitted to the Budget Division of the State Budget and Control Board. Information includes program level, budget code, detail of expenditure, fiscal year, actual total funds, operating budget, estimated total funds, appropriated general funds, estimated federal funds, estimated earmarked funds, and estimated restricted funds. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently in the State Archives.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-714. Disbursement Journal.

A. Description: A listing of disbursement vouchers prepared by the agency to authorize payment of expenses incurred. Information includes voucher number, date, amount of disbursement, and to whom payment was made.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-715. Disbursement Vouchers.

A. Description: Official copies of vouchers prepared by an agency and sent to the Comptroller General's Office to request payment for agency expenditures. Information includes disbursement voucher number, date, description of transaction, amount, and total. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-716. External Procedure Manuals.

A. Description: Guidelines used by state agencies to report financial transactions. Examples include Comptroller General's Generally Accepted Accounting Principles (GAAP) Closing Procedures Manual, Policies and Procedures of the State Comptroller General; Budget and Control Board's Budget Request Manual, Detail Budget Preparation Manual, State Procurement/Information Technology State Term Contracts Manual, and Information Technology Contract Catalogue.

B. Retention: Until updated, superseded or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-717. General and Subsidiary Ledgers.

A. Description: One or more series of computer or non-computer generated financial ledgers providing final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all agency funds and accounts, including receipts and expenditures from all revenue sources, both public and private. Electronic records include annual accounting code data and computer system documentation needed to access accounting information.

Since fiscal year 1981, accounting transactions have been captured in the Statewide Accounting and Reporting system of the Comptroller General's Office. Selected records generated by this centralized accounting and reporting system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention:

(1) Ledgers created in or before fiscal year 1980–1981: State Archives: Permanent.

(2) Ledgers created after fiscal year 1980–1981: 3 years, destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12–718. Generally Accepted Accounting Principles (GAAP) Closing Packages.

A. Description: Closing packages consist of GAAP forms submitted annually to the Comptroller General's Office to indicate year end adjustments for GAAP reporting. Information includes annual financial statement, the agency's name, due dates, purpose or objective, area of accounting data, any action to be taken, description, and dollar amount. Selected portions of this series are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12–719. Generally Accepted Accounting Principles (GAAP) Reporting System Working Papers.

A. Description: Working papers consist of notes, working drafts and copies of GAAP forms used to support all entries in an agency's closing package for GAAP reporting. Information includes date, computations, analysis, justifications, recommended adjustments for GAAP reporting, and other related information.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12–720. Information Technology (IT) Plans and Requests Files.

A. Description: Copies of IT Plans submitted by state agencies and institutions outlining their anticipated information technology needs, and requests from state agencies and institutions concerning information technology items not covered in the Annual IT Plan. The plans are submitted on an annual basis and when approved provide agencies and institutions with authority to request the procurement of information technology systems. The present plan includes executive summary, application, technical (equipment) descriptions and training requirements, organizational, budget summary and other related information. The requests include the technology request form and purchase requisition for the item/items. Also included in this series are related cover letters, comments by designated parties and approval or disapproval decisions. Selected portions of this series are scheduled to be retained permanently in the State Archives through the State Budget and Control Board, Division of Research and Statistical Services.

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

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12–721. Insurance Policies Files.

A. Description: Document agency insurance policies and related correspondence and memoranda. Policies concern group hospital insurance, automobile liability, fire and extended coverage, and tort liability. Contents include endorsements from the Insurance Reserve Fund, renewals, changes, copies of policies, correspondence, information from insurance seminars and a listing of office contents and their values.

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

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-722. Interdepartmental Transfer (IDT) Credit Invoices.

A. Description: Prepared by an agency to bill another state agency for services rendered. Also used to record transfers of funds between state government agencies. Information includes name of agency, mailing address, city, code number, month, year, date, itemization of payments, adjustments, total, invoice number, fiscal year, from department credit to division, warrant numbers and date, organizational number, account number, account title, fiscal year, transaction code and amount.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-723. Interdepartmental Transfer (IDT) Vouchers.

A. Description: Prepared and used by an agency to request transfer of funds to another agency to pay for services rendered. Information includes voucher number, date, payee, charged to, warrant number and date, authorization, official title of person authorizing payment, organizational number, fiscal year, account number, account with, transaction code, amount charged, and total amount charged. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-724. Journal Vouchers.

A. Description: Used to make any adjustments or corrections to accounting records for the agency. Information includes month, day, year, journal entry number, account number, department, fund, class, debit, credit, remarks, total, requested by, and authorized signature. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-725. Mail Receipts.

A. Description: Document registered and certified mail receipts received by an agency. Registered mail receipts reflect the following information: number of articles, addressee address, receipt date, values, surcharges, total number of pieces listed and received. Certified mail receipts indicate type of service, whether delivery is restricted, addresses, certification number, insured number, date post-marked and signature.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-726. Purchase Orders/Requisitions.

A. Description: Official copies of purchase orders/requisitions used by state agencies to authorize the purchase of supplies, equipment and services. Included are Purchase Orders, Purchasing Requisitions, and related invoices. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-727. Receipt Books.

A. Description: Record of funds received directly from patrons and applicants in payment of such expenses as billable services for patrons, licensing fees, examination charges, and other fees for which

the agency receives payment. Information includes receipt date, receipt number, receipt of, amount of payment, and account name and/or account number.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-728. Emergency Procurement File.

A. Description: Used to document the purchase of authorized emergency procurements. This file contains a Justification for Emergency Procurement, a Record of Emergency Contracts, and quarterly reports of procurement actions. Information includes type of emergency procurement, name of vendor, the basis for the emergency determination, date, the reason no other vendor is suitable, name of governmental body, and authorized signature. Also included are purchase order number, date, item description, commodity code and dollar amount, each contractor's name, the amount and type of each contract, and a listing of supplies, services, or construction procured under each contract. Copies of quarterly reports concerning procurement actions are scheduled to be retained for five years by the State Budget and Control Board's chief procurement officers.

B. Retention: 3 years, destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993. Amended by State Register Volume 26, Issue No. 4, eff April 26, 2002.

12-729. Small And Minority Business Reporting File.

A. Description: Reports prepared quarterly by an agency and used to ensure that businesses owned and operated by minorities are afforded the opportunity to fully participate in the overall procurement process of the state. Information includes Budget Expenditure-Construction/Renovation Information Forms and Procurement Information Forms.

B. Retention: 5 years after becoming inactive; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-730. State of South Carolina Comprehensive Annual Financial Report.

A. Description: Agency copies of published reports generated by the Comptroller General's Office and used to provide a comprehensive analysis of the financial activities and fiscal status of state government during the reporting period (fiscal year). Information contained in the report includes an introductory section, general purpose financial statements (overview), and a section titled Combining Financial Statements which includes information on special revenue funds, internal service funds, and fiduciary funds. Also included in the report is a statistical section which contains information concerning state expenditures, revenues, income and sales tax rates, demographic statistics, and net general obligation bonds and notes per capita. The report is generated annually for the fiscal year according to generally accepted accounting principles and distributed by the Comptroller General's Office. Copies of this series are scheduled to be retained permanently by the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-731. Statewide Accounting and Reporting System (STARS) Financial Reports.

A. Description: Generated by the Comptroller General's Office to record the STARS financial transactions of the agency. Examples of the reports include Appropriation Balances, General Fund Control and Cash Status Report, Agency Transaction Register, Appropriation Transaction Detail, Analysis of Expenditures by Minor Object (Program Level and Agency Wide), Summary of Expenditures (By Program and By Fund) and other related reports. Information in this series may be generated daily, weekly, monthly and annually. Portions of this record series are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention:

Daily and weekly reports: 1 month; destroy.

Monthly and annual reports: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-732. Surplus Property Disposal Reports.

A. Description: Filed by an agency with the State Budget and Control Board, Division of General Services Materials Management Office regarding surplus property. Information includes date acquired, cost, property category, description, manufacturer's identification number, and agency identification number.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-733. Transmittal Control Sheet.

A. Description: Prepared by agency to serve as a cover sheet for batches of documents sent to the Comptroller General's Office for processing. Information includes agency name and number, date, batch number, batch amount, batch type, payee names, and total value.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-734. Travel Vouchers.

A. Description: Vouchers prepared by an agency to claim reimbursement for employee travel expenses. Information includes name, address, social security number, agency and amount to be reimbursed. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-735. Vehicle Files.

A. Description: Documents purchase, ownership, insurance and maintenance of all vehicles of an agency. Information includes purchase requisitions, purchase orders, vehicle specifications, bid requests and other documents.

B. Retention: 3 years after disposition of the vehicle; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-736. Vehicle Trip Logs.

A. Description: Logs completed by agencies to monitor mileage traveled in state vehicles. Information includes agency name, driver name, beginning and ending odometer readings, and comments concerning problems with vehicle.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-737. Vendor Code Requests.

A. Description: Forms prepared by an agency to request a vendor code from the State Budget and Control Board, Division of General Services, when the agency wants to purchase goods or services from a vendor not presently listed in the state purchasing system. Information includes vendor name, address, and new number (assigned by the Division of General Services, State procurements).

B. Retention: Until superseded, updated, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-738. Vendor/Commodity Code Listing Books.

A. Description: Books concerning master code listings of vendors and commodities, listed in the state purchasing system. Information includes vendor name, address, and code number. The commodity book lists commodity description, unit of measurement, and code number.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-739. Warranties and Service Agreements.

A. Description: Document service and maintenance costs on agency equipment. Information includes equipment service contract, records of service performed on equipment, costs, and related correspondence and memoranda.

B. Retention: 3 years after termination of agreement; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

SUBARTICLE 2 PAYROLL RECORDS

12-744. Electronic Funds Transfer Authorizations.

A. Description: Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit. Information includes employee name, name of financial institution; copy of deposit slip and other related information. Copies of Electronic Funds Transfer Authorizations are being retained in the State Treasurer's Office, as scheduled.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-745. Employer Contribution Reports.

A. Description: Created by the South Carolina Employment Security Commission and used to verify earnings of the agency's employees. Information includes name and address of the employer, number of persons employed during the quarter, how remittance is paid, number of places of business in South Carolina covered by the report and signature, title, date of individual filling out the report, and other documents concerning taxable and non-taxable wages of employees. Copies of this series are retained in the Employment Security Commission, as scheduled.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-746. Health Dental And Optional Life Insurance Reports.

A. Description: Generated by the State Budget and Control Board, Division of Insurance Services to reconcile the monthly health, dental, and optional life insurance bills of the agency. Information includes agency name, address, group identification number, billing period, subscriber count, premium amount (employer/employee shares), source of funds, premium due and other related information. Copies of this series are retained in the State Budget and Control Board, Division of Insurance Services, as scheduled.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-747. Payroll Adjustment Forms.

A. Description: Forms authorize the agency to deduct money from employees wages. Information includes name, social security number, amount, description of deduction, payroll period beginning date and other related information. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years after termination of employment or cancellation of the authorization; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-748. Payroll Check Register.

A. Description: Generated by the State Treasurer's Office and used to record the agency's payroll disbursements. Information includes employee name, social security number, agency number, check number, and other related information. Copies of this series are retained in the State Treasurer's Office, as scheduled.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-749. Payroll Deductions.

A. Description: Deduction records generated by the Comptroller General's office and used by a state agency to reference types and amounts of deductions from paychecks. Information includes agency name, employee name, type of deduction, amount and other related information. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-750. Payroll List By Section.

A. Description: Payroll list for referencing each agency section. Information includes section, employee name, gross pay and other related information.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-751. Payroll Register (Regular).

A. Description: Generated by the Comptroller General's Office and used by a state agency to reference year-to-date pay and deductions from paychecks. Information includes employee name, social security number, gross pay, tax deductions, FICA, retirement, insurance, net pay, other deductions and related information. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-752. Payroll Vouchers.

A. Description: Used to verify the payroll and request payment to the Comptroller General for salaries of agency employees. Information includes name of agency, agency number, pay period, mini code, sub fund code, project code, object code, name and social security number, gross pay, perquisite, initials, multi-purpose code, gross payroll amount, signature and title of approving authority. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-753. Payroll Warrant Register.

A. Description: Generated by the Comptroller General's Office and used by state agencies to document payroll disbursements. Information includes warrant number, mini code, object code, employee name, social security number, gross pay, tax deductions, FICA, retirement, insurance, net pay and other related information. Record copies of this series are scheduled to be retained permanently by the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-754. Projected Payroll Biweekly Totals By Accounting System Breakdown.

A. Description: Used to project biweekly totals of the payroll for the agency. Information includes pay period dates, agency code number, mini code, sub fund, object code, and total amount of projected payroll expenditure from the account and other related information. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-755. Social Security Reports (Unified Wage Reporting Plan By Unit).

A. Description: Used to record social security information on employees. Information includes name, social security number, year-to-date taxable and nontaxable income, FICA, federal and state income taxes. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-756. Standard Retirement System Quarterly and Monthly Reports.

A. Description: Received from the State Budget and Control Board, Division of Retirement Systems indicating employee retirement contributions. Information includes employer, employee, social security number, active member register number, non-member number, contributions, service credit and other related information. Copies of this series are retained in the State Budget and Control Board, Division of Retirement Systems as scheduled.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

12-757. Workers' Compensation Insurance Files.

A. Description: Used to document the payment of workers' compensation insurance premiums. Information includes an interdepartmental transfer for payment of premiums; a form to the State Workers' Compensation Fund reflecting the total amount due and payment due date with attached memos; and a Workers' Compensation Insurance Quarterly Report reflecting the code, agency, source of funds, total salaries for the quarter, amount of payment due, totals, certified correct and authorizing signatures.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 17, Issue No. 6, eff June 25, 1993.

ARTICLE 8

GENERAL RETENTION SCHEDULE FOR STATE COLLEGES AND UNIVERSITIES

(Statutory Authority: 1976 Code, § 30-1-90 (B))

INTRODUCTION AND GENERAL MATTERS

12-800. Introduction and General Matters; Application of Schedule.

The following general records retention schedule contains minimum retention periods for the official copy of the institution's records. These retentions and dispositions apply regardless of physical format, i.e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or

duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, institutions must complete and submit a report of records destroyed form to the State Archives after eligible records have been destroyed. These forms are available from the Department's Archives and Records Management Division. Before disposing of public records under this general schedule, colleges and universities are responsible for ensuring that records are no longer required for federal or state audits, for legal purposes, for litigation, for fiscal information, and/or for any other action. This general schedule supersedes all schedules approved previously for the same record series. However, state colleges and universities may opt out of this general schedule and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary, or in order to avoid conflict with other laws or regulations.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 1 TRUSTEE BOARD

12-801.5. Trustee Board Meeting Minutes.

A. Description: Records of official proceedings of state college or university governing bodies. Information includes agenda, date, place, list of attendees, action taken on resolutions, and a summary of discussion and decisions. Official minutes also include all informational attachments such as reports, survey, proposals, studies and charts distributed to members for discussion, and for use in making decisions on institution policy, planning, and administrative matters.

B. Retention:

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 2 PRESIDENT

12-802.5. Administrative Correspondence.

A. Description: Concerns communications received and generated by the institution's president. Letters pertain to information requests, responses to those inquiries; matters related to the board of trustees; administrative and fiscal operations of the institution; consultations with presidents of various colleges or universities; information pertaining to professional organizations and educational authorities; and other related topics.

B. Retention:

- (1) Office: 3 years. Microfilm optional.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-802.6. Administrative Files.

A. Description: Document executive actions, decisions and interactions with key officials of the institution. Information in the form of memoranda, policy statements, and reports concerns accreditation requirements, budget material, department activities, faculty and student relations, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, personnel matters, academic requirements, student athletic issues, and other related topics. Also included are draft copies of speeches.

B. Retention:

- (1) Office: 3 years. Microfilm optional.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-802.7. Meeting Minutes of President's Executive Staff.

A. Description: Document meetings held by a state college or university president with his or her executive staff. Information includes agenda, location of meeting, date, names of attendees, attachments, a summary of discussion, and decisions made.

B. Retention:

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-802.8. Resource Files.

A. Description: Consist of manuals, informational bulletins, and guidelines required for long term reference in the administration of the institution. Information includes academic issues, copies of personnel policies, National Collegiate Athletic Association material, Commission on Higher Education activities, copies of state and federal laws or regulations governing the administration of public colleges and universities, fiscal procedures, institution organizational matters, student government activities, and other related subjects.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 3 PROVOSTS AND VICE PRESIDENTS

12-803.5. Administrative Correspondence.

A. Description: Correspondence is related to the administration of an institution or its major departments and divisions. Communications concern management activities, priorities for academic affairs, major business and finance matters, physical plant maintenance, important student related matters, and athletics administration. These letters are usually found at the institution's provost and vice president levels.

B. Retention:

- (1) Office: 3 years. Microfilm optional.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-803.6. Administrative Files.

A. Description: Document actions of a state college or university's provost or vice presidents. Information includes memoranda and reports concerning institution policy, organizational and program development records, and important fiscal data and personnel information. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state college or university. Also included are draft copies of speeches.

B. Retention:

- (1) Office: 3 years. Microfilm optional.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 4 ADMINISTRATIVE

12-804.5. Accreditation Reports.

A. Description: Used to record observations, recommendations and decisions of visiting accreditation committee members. These reports are received from study committees of accreditation associations for colleges and universities. Reports reflect suggestions and recommendations concerning an

institution's organizational structure and administration, educational programs, financial resources, faculty qualifications, library resources, student body characteristics, physical plant features and vital areas for institutions of higher learning. Also included are remarks prepared by institution officials to respond to the committee's observations and suggestions.

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.6. Meeting Minutes (Non-Executive Levels).

A. Description: Records of meetings held by non-executive level staff. Information includes agenda, place, date, list of attendees and a summary of discussions and decisions. Also included are informational attachments such as reports, proposals, memoranda and other information distributed to officials and staff for use in making decisions for an institution.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.7. Administrative Bulletins.

A. Description: Used to record and circulate information concerning policies, procedures, and administrative activities of a college or university. Information includes administrative directives, staff and faculty assignments, educational opportunities, new policies and policy changes, academic program requirements and other related information.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.8. Administrative Regulations.

A. Description: Issued by the Commission on Higher Education and used for the general operation of college or university programs. Information includes regulations, instructions or other issuances that establish methods to administer a college or university's mission, functions, and responsibilities.

B. Retention: Until superseded and no longer needed for reference, destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.9. Annual Reports.

A. Description: Published report of college or university activities made annually to the General Assembly. Information includes financial summaries, objectives, goals, and other data concerning the college or university during the fiscal year. Most annual reports contain an organizational chart, along with brief narratives, and statistical information concerning each major section and division of the college or university.

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.10. Attorney General Opinions.

A. Description: Official opinions issued by the Attorney General or his assistants. These are legal interpretations written upon request of a college or university to guide in enforcing and obeying the law. Also included is related correspondence. This series is scheduled for permanent retention by the State Archives through the Attorney General's office.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.11. Calendars.

A. Description: Used to keep track of work related events and commitments of college or university staff members. Information includes daily appointment books, calendars, and other records indicating dates for meetings and work activities.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.12. Central Supply Request.

A. Description: Document copies of central supply requests processed for a college or university. Information includes date, department account code, requisitioner, item number, quantity ordered, quantity issued, description, price, extension, deliver to, and location.

B. Retention: 3 years, destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.13. Committee Files.

A. Description: Document actions and recommendations of committees, established to provide advice on policy matters and other management topics. Information consists of letters, memoranda, and other paper work concerning budget matters, maintenance of facilities, curriculum development, utilization of state/federal funds, purchase or sale of property and other subjects related to the institution's administration, operation, and academic programs.

B. Retention:

(1) Office: 5 years.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.14. Computer Utilization Summaries.

A. Description: Generated to determine staff use of an institution's computer systems. Information details the total time the system is used, amount of individual staff time the system is used, and total time work stations are used (including job queue and printers).

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.15. Conferences, Workshops, And Seminars File (College or University Sponsored).

A. Description: Files concerning each conference, workshop or seminar sponsored by the college or university. Information includes registration material, letters, brochures, lists of restaurants, hotel listings, and other related information.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.16. Deeds And Leases To College or University Property.

A. Description: Document deeds and leases to real property owned or used by the state. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence.

B. Retention:

(1) Office: Until property is sold, disposed of, or relinquished.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.17. Grant Files (Active and Inactive).

A. Description: Used to retain information concerning financial grant assistance received by a state supported college or university. Files contain some or all of the following documents: statement of budget and expenditures, notices of grants awarded, financial status reports, authorization for transfer of grant funds, draft copies of detailed budgets for programs, copies of federal assistance applications, correspondence and memoranda. These documents concern construction of facilities, educational grants, student loan and work study programs, financial assistance for veterans and career professionals, and other related information.

B. Retention: 3 years after becoming inactive; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.18. General Correspondence and Reference File (Non-Executive Levels).

A. Description: Routine correspondence and reference materials created or retained by non-executive level staff. Letters and memoranda reflect communications regarding program procedures, general work activities, and responses to information requests. Also included are copies of policy and procedure statements, program information, reports and other related material.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.19. Information Technology Plans.

A. Description: Prepared by state colleges and universities to outline their anticipated needs for information technology. Plans reflect information requirements, equipment needs, service specifications, cost, and technology purchase requests. This series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Research and Statistics.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.20. Internal Management Policy and Procedure Files.

A. Description: Policies, procedural directives and manuals developed by an institution to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

B. Retention:

(1) Office: Until superseded, updated, or no longer needed for reference.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.21. Legislative Reference Files.

A. Description: Records pertaining to bills, prospective legislation and laws. Information includes bill and supporting material concerning proposed legislation, such as newspaper clippings, reports, and correspondence. The series also includes copies of approved legislation.

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.22. Litigation Case Files.

A. Description: Document judicial proceedings, which involve the college or university. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information. Court records in this series are available in the court having jurisdiction over these cases.

B. Retention: 10 years after the case is closed, destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.23. Mailing Lists.

A. Description: Used to record the names and addresses of clients and other persons with whom the college or university has regular contact. Information includes mailing lists, and registers concerning employees, officials, and constituents, whom college or university staff communicate with regularly.

B. Retention: Until superseded; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.24. Management Information Reports.

A. Description: Provide information concerning general administration, facilities management and student enrollment. Reports concern surveys, facility inventories, student enrollment figures and projections, and other related topics.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.25. Motor Vehicle Insurance.

A. Description: Record of motor vehicle insurance retained by a college or university. It includes insurance policies which list effective policy dates, amounts of coverage, number of vehicles covered, and rate. Also included are notes, correspondence and other related information.

B. Retention: 1 year and until renewal of insurance policy; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.26. Motor Vehicle Operations and Maintenance Files.

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

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.27. Motor Vehicle Purchase File.

A. Description: Used for reference and vehicle management. Information includes vehicle property receipt, purchase orders, bid worksheets, institution vehicle inventory forms, motor vehicle titles, vehicle insurance information, and other related information.

B. Retention: 3 years after vehicle is disposed of, destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.28. Organizational Charts.

A. Description: Reflect the organizational structure of a college or university and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of an institution's departments and program areas by name and function.

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Permanent (1 copy).

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.29. Permanent Improvement Files.

A. Description: Files concern construction of and permanent improvements to the college or university's facilities. Information includes project proposal, capital improvement requests, authorizations to execute construction contracts, cost estimates, construction contracts, related memoranda, correspondence, blueprints, and specifications. Portions of this series created in 1980 and later are scheduled for permanent retention by the State Archives through the State Engineer's Office of the State Budget and Control Board.

B. Retention:

(1) Records created before 1980:

(a) Office: Until completion of construction project and no longer needed for reference.

(b) College or University Archives: Selection of needed documentation. Permanent.

(2) Records created during and after 1980: Until completion of construction project and no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.30. Photographs.

A. Description: Photographic proofs and negatives of college or university activities. Photographs may include identification according to time, place, and college or university activity.

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.31. Property Inventories.

A. Description: Itemized lists of fixed assets (except land and buildings) completed by institutions. Information includes inventories of equipment, furniture, and other similar property.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.32. Public Relations File.

A. Description: Information concerning college or university publicity. Included are press releases, biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Selection of needed documentation. Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-804.33. Publications.

A. Description: Printed material published by state colleges or universities for internal and external distribution. This series includes directories, manuals, research reports, surveys, and other college or university publications (except annual report).

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Selection of needed documentation. Permanent.

HISTORY: Added by *State Register Volume 18, Issue No. 6, eff June 24, 1994.*

12-804.34. Contracts.

A. Description: Used to document contractual relationships between the college or university and service providers. Information includes the contract with description of their services to be provided, dates of the contract, signatures, and correspondence.

B. Retention: 3 years after cancellation or expiration of the contract; destroy.

HISTORY: Added by *State Register Volume 18, Issue No. 6, eff June 24, 1994.* Amended by *State Register Volume 27, Issue No. 5, eff May 23, 2003.*

12-804.35. Records Management Files.

A. Description: Files related to an institution's records management program. Included are records retention schedules, guidelines, information concerning records inventory and scheduling, records transfers, microfilm applications, disposal notices, and other related data. Portions of this series are scheduled for permanent retention by the State Archives.

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

HISTORY: Added by *State Register Volume 18, Issue No. 6, eff June 24, 1994.* Amended by *State Register Volume 27, Issue No. 5, eff May 23, 2003.*

12-804.36. Speeches.

A. Description: Drafts and final copies of speeches given by Administrative Services staff below the college or university president, provost, and vice presidents' level. Speeches concern program procedure, work activities, and related topics.

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

HISTORY: Added by *State Register Volume 18, Issue No. 6, eff June 24, 1994.*

12-804.37. Surveys/Maps.

A. Description: Developed by an institution to carry out its mission and function. Information concerns roads, boundaries, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

B. Retention:

(1) Office: Until no longer needed for reference. Microfilm optional.

(2) College or University Archives: Permanent.

HISTORY: Added by *State Register Volume 18, Issue No. 6, eff June 24, 1994.*

12-804.38. Telephone Logs.

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

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

HISTORY: Added by *State Register Volume 18, Issue No. 6, eff June 24, 1994.*

12-804.39. Telephone Bills.

A. Description: Provide a monthly statement of charges for telephone calls billed to a college or university. Information includes telephone number charged with call, account number, type of call, date of call, time, number of minutes, destination of telephone call, and charge.

B. Retention: 1 month after verification of charges; destroy.

HISTORY: Added by *State Register Volume 18, Issue No. 6, eff June 24, 1994.*

12-804.40. Work Order Request File.

A. Description: Document copies of work order requests for all program classifications of the institution. Information on the work order requests include date, site of work, service or modifications

requested, estimated cost, budget code to be charged, person coordinating the work, date needed, signature of requestor, signatures of approval, date request received by plant support, estimated completion date, and date completed.

B. Retention: 3 years, destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-804.41. Work Reports.

A. Description: Reports of work activities performed by personnel carrying out regular or special duties. Series does not include published project reports or reports to the Governor or General Assembly. These documents reflect dates, person responsible for report, and a running account of activities performed.

B. Retention: 2 years or until summarized or superseded; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 5

PERSONNEL (HUMAN RESOURCE MANAGEMENT)

12-805.6. Affirmative Action Plans and Progress Reports.

A. Description: Affirmative Action Plans prepared by state institutions and Progress Reports used by the State Human Affairs Commission to monitor the implementation of these plans. Affirmative Action Plans reflect college or university-projected policies, procedures, and practices to achieve the goal of a non-discriminatory employment system. Also included are statistics, analysis of the current and projected work force composition by race, sex, and comments. The semi-annual Progress Reports consist of updated employment data analysis by race and sex, a summary of personnel actions which reflect a breakdown of college or university positions by race, sex, analysis, and comments. Also included is correspondence concerning the Affirmative Action Plans and their implementation. Portions of this series are scheduled for permanent retention by the State Archives through the State Human Affairs Commission.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.8. Dual Employment File.

A. Description: Concerns authorizations allowing institution employees to accept secondary employment. Information concerning dual employment authorizations includes employee's name; employers' involved; title of second occupation; date and signature of employee and supervisors.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.9. Employer Status Reports (Unemployment Compensation).

A. Description: Reports from an individual college or university to the Employment Security Commission which are used by the Employment Security Commission to determine the liability or non-liability of a college or university for payment of unemployment compensation. Information includes the Employer Status Report, Notice of Liability sent to the college or university from the Employment Security Commission, Notice of Contribution for the next calendar year, and related memoranda and correspondence concerning changes in college or university unemployment compensation accounts and liability. This record is scheduled through the Employment Security Commission.

B. Retention: 6 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.10. Employment Applications (Not Hired).

A. Description: Completed employment applications and personal resumes of applicants who were not hired by a college or university. Information includes applicant's name, address, Social Security

Number, position applied for, educational background, work experience, and other related information.

B. Retention: 2 years from the date of rejection or making of the record; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.11. Employment Data Analysis by Sex and Race.

A. Description: A statistical breakdown of information concerning employees by type, number, salary, and percentages of minority personnel. Information includes type of employees such as officials/administrators, professionals, technicians, office/clerical, service, maintenance, racial classifications, total work force, and work force summary.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.12. Equal Employment Opportunity Report.

A. Description: Documents the job classification and compensation of all college or university personnel. Information includes class code, slot, name, Social Security Number, employee number, pay rate, state/federal funding, race and sex.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.13. Equal Employment Opportunity Reporting and Personnel Research Forms.

A. Description: Forms completed by applicants for state employment as part of their employment application. Information includes statistics on job applicants which are reported annually to the State Human Affairs Commission. The form, which is detached from the employment application, lists the applicant's name, date, Social Security number, date of birth, position applied for, race, sex, and marital status.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.14. Faculty Contracts (Full and Part Time).

A. Description: Document contracts between faculty members and a college or university. Contracts reflect name of instructor or professor; Social Security number; position; subject taught; employment dates; total number of hours; hourly rate; total contract amount and budget code; date; signatures of the instructor or professor, division chairman and academic dean.

B. Retention: 3 years after termination of contract and until no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.15. Grievance Files.

A. Description: Document grievance proceedings initiated by employees in classified positions. Information includes grievance filing, decisions rendered at each level of the grievance procedure, grievance and appeal procedures for the college or university and for all state employees, and the final decision rendered by the State Employee's Grievance Committee. Portions of this series are scheduled through the State Budget and Control Board's Office of Human Resources.

B. Retention: 10 years after resolution of all grievance issues; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.16. Job Announcements (Vacancies).

A. Description: Announcements concerning job openings in institutions. Information includes title of position, salary or grade range, description of job duties, closing date, and to whom applications should be directed.

B. Retention: 2 years after position is filled or announcement is superseded or updated; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.17. Job Classifications.

A. Description: A listing of all job positions classified by the Division of Human Resource Management. Information includes position qualifications, pay grades, and duties for positions in state service. This series is scheduled through the State Budget and Control Board's Office of Human Resources.

B. Retention: Until termination of position; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.18. Leave Records.

A. Description: Record of the amount of leave earned and taken by college or university employees. Information includes employee's name, type of leave (annual, sick, other), service date, Social Security number, amount of leave earned and charged, and leave balances for the period covered.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.19. Leave Slips.

A. Description: Forms completed by college or university employees to request time off from work. Information includes employee's name, Social Security number, type of leave, number of days or hours requested, date requested, and employee's signature.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.20. Log and Summary of Occupational Injuries and Illnesses.

A. Description: Record of work-related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee name, occupation, department, description of injury or illness, fatalities, non-fatal injuries, injuries with lost workdays, injuries without lost workdays, and other related information.

B. Retention: 5 years following the end of the calendar year to which they relate; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.21. Personnel Administrative File.

A. Description: File concerns administration of personnel policy. Information includes correspondence, reports, memoranda, and other records regarding personnel procedures.

B. Retention: Until superseded, updated, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.22. Personnel Files (Active & Terminated).

A. Description: Personnel files of current and former employees of the college or university. Information includes employment applications, letters of recommendation, employee awards, resumes, performance appraisals, employee profile, position descriptions, insurance information, dual employ-

ment information, resignation and termination records, correspondence, and other related information.

B. Retention: 15 years after termination of employment; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.23. Personnel Policies and Procedures.

A. Description: Policies and procedures issued by the college or university or the State Budget and Control Board's Office of Human Resources. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, termination procedure, workmen's compensation plan, other procedures issued by a college or university and/or the Office of Human Resources. Portions of this series are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Human Resources.

B. Retention:

(1) Office: Until no longer needed for reference.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-805.24. Statewide Personnel Information and Reporting System Files.

A. Description: Used to monitor employment, salary adjustment, performance reviews, terminations, and other personnel activity. Reports include: Alphabetical Listing of Employees Sequenced by College or university, Employee Name; Employee Roster Sequenced by Grade, Class Code, and Name; Temporary Employment Roster; Gross Salary Change Report; Termination Analysis, Performance Review Summary Report; Report on Salary Change Code-Merit Increase; Reviews Report-Classified Positions-Review Sequence; Vacancies Report-All Positions; and other related records.

B. Retention: Until superseded or updated; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.25. Time and Attendance Records.

A. Description: Records concerning time worked by college or university employees during a pay period. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-805.26. Vacancies File.

A. Description: Documents position vacancies in a college or university. Information includes college or university's name, grade, classification title, salary range, hours worked per week, and pay rate of position.

B. Retention: Until superseded or updated; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 6 ACCOUNTING

12-806.5. Authorized Signature List.

A. Description: This series is used to record signature authorization sheets from all departments and offices. Information includes department name, effective date, typed name of authorized individual, signature of authorized individual, signature of approving authority.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.6. Bank Deposits and Cancelled Checks.

A. Description: Document the deposit of cash and checks into institution's bank accounts. Information includes deposit slips, bank statements, receipts, letter of credit for recording federal deposits, cancelled checks and other related information.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.7. Cash Receipts File and Journal (Computer and Non-Computer Generated Records).

A. Description: Cash receipts received by an institution from customers for the sale of services and commodities. Cash receipts reflect amount of sale, description of services or items sold, amount of money received, and sale date and may be computer or non-computer generated records. The Cash Receipts Journal reflects date, sale description, purchase authorization number, and may be generated manually or by computer.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.8. Computer Output Reports from Accounting Financial Data Bases (Non-Permanent).

A. Description: Financial reports (regardless of medium) generated from a computer data base for use in accounting for the receipt/disbursement of financial resources for an institution. The reports may be generated daily, weekly, monthly, annually, or at year end closeout. They can be a regular report or a query to the data base.

B. Retention: Until updated, superseded, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.9. Computer Output Reports from Accounting Financial Data Bases (Permanent).

A. Description: Financial reports generated from a computer data base for use in accounting for the receipt/disbursement of financial resources for an institution. These are cumulative fiscal year end closeout reports summarizing the financial activities of the institution by providing final year-to-date summary accounting data and a permanent audit trail for all receipt and disbursement transactions affecting any and all funds and accounts. Types of reports include: year end general and subsidiary ledgers sorted by account, and summary of expenditures by program, fund, and object.

B. Retention:

(1) Office: 3 years. Microfilm.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.10. Disbursement Journal.

A. Description: A listing of disbursement vouchers authorizing payment of expenses incurred. Information includes voucher number, date, amount of disbursement, and to whom payment was made.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.11. Disbursement Vouchers.

A. Description: Official copies of vouchers prepared in order to request payment for institution expenditures. Information includes disbursement voucher number, date, description of transaction, amount, and total.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.12. Financial Report (Annual).

A. Description: Published annual summary of an institution's financial transactions. Information includes assets, liabilities, revenue, and expenditures.

B. Retention:

(1) Office: 3 years.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.13. Interdepartmental Transfer (IDT) Credit Invoices.

A. Description: Prepared by an institution to bill another state agency or institution for services rendered. Also used to record transfer of funds between state agencies and institutions. Information includes name of agency or institution, mailing address, city, code number, month, year date, itemization of payments, adjustments, total, invoice number, fiscal year, from department credit to division, warrant numbers and date, organizational number, account number, account title, fiscal year, transaction code and amount.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.14. Interdepartmental Transfer (IDT) Vouchers.

A. Description: Prepared and used by an institution to request transfer of funds to another agency or institution to pay for services rendered. Information includes voucher number, date, payee, charged to, warrant number and date, authorization, official title of person authorizing payment, organizational number, fiscal year, account number, account with, transaction code, amount charged, and total amount charged.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.15. Mail Receipts.

A. Description: Document registered and certified mail receipts received. Registered mail receipts reflect following information: number of articles, addressee address, receipt date, values, surcharges, total number of pieces listed and received. Certified mail receipts indicate type of service, whether delivery is restricted, addresses, certification number, insured number, date postmarked and signature.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.16. Non-Automated General and Subsidiary Ledgers (Permanent).

A. Description: General and subsidiary ledgers including chart of accounts which provide final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all the institution's funds and accounts, including receipts and expenditures from all revenue sources, both public and private.

B. Retention:

(1) Office: 3 years. Microfilm Optional.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.17. Purchase Orders and Requisitions.

A. Description: Official copies of purchase orders/requisitions used to authorize the purchase of supplies, equipment and services. Included are purchase orders, purchasing requisitions, and related invoices. Includes emergency, sole source, and trade-in records.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.18. Receipt Books.

A. Description: Record of funds received directly from patrons and applicants in payment of such expenses as billable services for patrons, licensing fees, examination charges, and other fees received. Information includes receipt date, receipt number, receipt of, amount of payment, and account name and/or account number.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.19. Small and Minority Business Reporting File (Active and Inactive).

A. Description: Reports prepared quarterly by an institution to ensure that business owned and operated by minorities are afforded the opportunity to participate in the procurement process of the state. Information includes Budget Expenditure-Construction/Renovation Information Forms and Procurement Information Forms.

B. Retention: 5 years after becoming inactive, destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.20. Surplus Property.

A. Description: Filed by an institution with the State Budget and Control Board, Division of General Services, Materials Management Office regarding the disposition of surplus property. Information includes date acquired, cost, property category, description, manufacturer's identification number, and institution's identification number.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.21. Table Reports (Accounting).

A. Description: Define the meaning of code numbers and fund groups used in transactions processed through the institutions automated financial accounting system. Examples include Descriptor Table Listing, Transaction Code Decision Table Listing and Table Maintenance Audit Report. The specifications of the reports of each in situation may vary.

B. Retention:

(1) Year End Cumulative Table Reports:

(a) Office: 3 years. Microfilm.

(b) College or University Archives: Permanent.

(2) Other Table Reports: Until updated, superseded, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-806.22. Travel Vouchers.

A. Description: Vouchers prepared to claim reimbursement for employee travel expenses. Information includes name, address, Social Security number, agency and amount to be reimbursed.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.23. Vehicle Trip Logs.

A. Description: Logs completed to monitor mileage traveled in state vehicles. Information includes name of institution, driver's name, beginning and ending odometer readings, and comments concerning problems with the vehicle. May also include travel reimbursement and backup documentation.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.24. Vendor Code Requests.

A. Description: Forms prepared to request a vendor code from the State Budget and Control Board, Division of General Services, when the institution wants to purchase goods or services from a vendor not presently listed in the state purchasing system. Information includes vendor name, address, and new number (assigned by the Division of General Services, State Procurement).

B. Retention: Until superseded, updated, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.25. Vendor/Commodity Code Listing Books.

A. Description: Books concerning master code listings of vendors and commodities listed in the state purchasing system. Information includes vendor name, address, and code number. The commodity book lists commodity description, unit of measurement, and code number.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.26. Warranties and Service Agreements.

A. Description: Document service and maintenance cost on equipment. Information includes service contracts, records of service performed on equipment, costs, and related correspondence and memoranda.

B. Retention: 3 years after termination of agreement; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-806.27. Journal Entries.

A. Description: Used to make adjustments and corrections to accounting records. Information includes entry numbers, account numbers, funds, debits, credits, description, prepared by, and posted by.

B. Retention: 3 years, destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 7

PAYROLL

12-807.5. Computer Output Reports from Payroll Financial Data Bases (Non-Permanent).

A. Description: Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. The reports may be generated daily, weekly, monthly, annually, or at year end closeout. They can be a regular report or a query to the data base.

B. Retention: Until updated, superseded, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-807.6. Computer Output Reports from Payroll Financial Data Bases (Permanent).

A. Description: Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. These are cumulative fiscal year end closeout reports summarizing the financial activities of the institution by providing final year-to-date summary accounting data and a permanent audit trail for all disbursement transactions affecting any and all funds and accounts.

B. Retention:

(1) Office: 3 years. Microfilm.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-807.7. Electronic Funds Transfer Authorizations.

A. Description: Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit. Information includes employee name, name of financial institution, copy of deposit slip, and other related information.

B. Retention: 3 years after termination, cancellation, or change of authorization; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-807.8. Employer Contribution Reports.

A. Description: Created by the South Carolina Employment Security Commission and used to verify earnings of the employees. Information includes name and address of the employer, number of persons employed during the quarter, how remittance is paid, number of places of business in South Carolina covered by the report and signature, title, date of individual filling out the report, and other documents concerning taxable and non-taxable wages of employees. This record is scheduled through the Employment Security Commission.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.9. Health, Dental, And Optional Life Insurance Reports.

A. Description: Generated by the State Budget and Control Board, Employee Insurance Program to reconcile the monthly health, dental, and optional life insurance bills of the agency. Information includes agency name, address, group identification number, billing period, subscriber count, premium amount (employer/employee shares), source of funds, premium due and other related information. This record is scheduled through the State Budget and Control Board, Employee Insurance Program.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.10. Payroll Adjustment Forms.

A. Description: Forms to deduct money from employees' wages. Information includes name, Social Security number, amount, description of deduction, payroll period beginning date and other related information.

B. Retention: 3 years after termination of employment or cancellation of the authorization; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-807.11. Savings Bond Deductions File.

A. Description: Used to record the purchase of savings bonds by employees. Information includes employee name, Social Security number, agency number, agency name, and amount of bond. Also included are United States Savings Bond Election Forms.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-807.12. Table Reports (Payroll).

A. Description: Define the meaning of code numbers and fund groups used in transactions processed through the institutions automated financial accounting system. Examples include Descriptor Table Listing, Transaction Code Decision Table Listing and Table Maintenance Audit Report. The specifications of the reports of each institution may vary.

B. Retention:

(1) Year End Cumulative Table Reports:

(a) Office: 3 years. Microfilm.

(b) College or University Archives: Permanent.

(2) Other Table Reports: Until updated, superseded, or no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.13. Workers' Compensation Insurance Files.

A. Description: Used to document the payment of workers' compensation insurance premiums. Information includes an interdepartmental transfer for payment of premiums, and a form to the State Workers' Compensation Fund reflecting the total amount due and payment due date with attached memos. Also included are Workers' Compensation Insurance Quarterly Report(s) reflecting the code, agency, source of funds, total salaries for the quarter, amount of payment due, totals, certified correct and authorizing signatures.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-807.14. Employee Payroll Records.

A. Description: Used to document employees' payroll earnings and deductions. This series consists of payroll vouchers, payroll deduction records, cancelled payroll checks, and related documents. Information includes employees' names, name of institution, pay periods, code indicators, gross earnings, net earnings, and signature and title of approving authority. Also included are the types and amounts of payroll deductions.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.15. W-2 Form Wage and Tax Statement.

A. Description: Used to record individuals' annual federal and state withholding tax. Information includes employer's name and identification number, employees' names, addresses, Social Security numbers, amount of taxes withheld, and total wages paid.

B. Retention: 4 years after the due date of wage and tax statement; destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.16. Social Security Reports.

A. Description: Used to document employees' Social Security contributions. Information includes employees' names, Social Security numbers, Federal Insurance Contribution Act (FICA) amounts, year-to-date taxable and non taxable income, and federal and state income tax amounts.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.17. Standard Retirement System Quarterly and Monthly Reports.

A. Description: Used to document state employees' retirement contributions on a quarterly and monthly basis. Information includes employer's name, employees' names, Social Security numbers, active member register numbers, non-member numbers, amounts of contribution, service credits, and related information.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.18. Payroll Check Register.

A. Description: Used to record the institution's payroll disbursements. Information includes name of employee, Social Security number, institution number, check number and related information.

B. Retention: 10 years and until no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-807.19. Payroll Register.

A. Description: Used by an institution to reference year-to-date pay and deductions from paychecks. Information includes employer's name, employees' names, Social Security numbers, gross pay, tax information, Federal Insurance Contribution Act amounts, retirement, insurance, net pay, and related information.

B. Retention: 10 years and until no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 8 INTERNAL AUDITING

12-808.5. Audit Report.

A. Description: Documents the final financial, operational, and compliance audit findings for the institution or its departments. Information includes background information, subject of the audit, findings, and recommendations.

B. Retention: 3 years and until no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-808.6. Working Papers.

A. Description: Used to conduct periodic financial, operational, and compliance audits of all offices. Information includes pre-audit research and planning, analysis sheet, suggestion sheet, entrance/exit conference, computer software applications, findings, recommendations, inventory of property, organizational control review, and internal control questionnaire.

B. Retention: 3 years and until no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 9 STUDENT AFFAIRS

12-809.5. Continuing Education Student Records.

A. Description: Document the registration and enrollment of students in continuing education courses. Information includes student's name, Social Security number, sex, ethnic background, date of birth, highest education level attained, type of work, years of employment, permanent address, courses registered for and signature of student.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-809.6. Degree Applications.

A. Description: Document requests for an earned degree from a state college or university. Information includes student number, name, signature, local address, degree applied for, diploma ordered, and a list of courses not yet completed but needed for graduation.

B. Retention: 1 year after graduation or date of last attendance; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-809.7. Grade Sheets/Reports.

A. Description: Used to record grades for each college or university student enrolled in a specific course at the end of each semester. The grade sheet/report reflects the following information: student number, student name, course title, semester, department, course number, section, instructor, grade and signature of the instructor.

B. Retention: 1 year after date distributed; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-809.8. Official Transcripts (Graduate And Undergraduate).

A. Description: Used to record the official internal academic transcript of students attending a state college or university. These records include such information as name, identification number, major, class, courses taken, grades received, dates of attendance and type of degree awarded (if any).

B. Retention: 75 years after graduation or date of last attendance; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-809.10. Scholarship and Other Institutional Financial Aid Program File.

A. Description: Documents information on scholarships and financial aid activities at the institution. Information concerning notifications to donors and specifics of financial aid includes memoranda, correspondence, requirements for financial aid recipients, summaries of scholarship and financial aid activity, and other related information.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-809.11. Student Financial Aid Records.

A. Description: Used to maintain the official record of accounts for grants and loans. The series consists of applications, tax return for student and/or parent, verification work sheet, student aid report, student loan application and promissory note, federal work study packet, financial aid approved or rejected, and related information.

B. Retention:

(1) Approved Financial Aid Records:

(a) Student Loans: Active File: Until loan is cancelled or repaid. Inactive File: 3 years; destroy.

(b) Student Grants: 3 years after the last day of the award year or 3 years after the date the institution files its fiscal operations report for that year; destroy.

(2) Rejected Financial Aid Records: 1 year; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-809.12. Veterans' Files.

A. Description: Used to document the academic and enrollment status of students receiving veterans' benefits. Information includes applications for benefits, requests for certification, certificates of release or discharge from active duty, changes of program (study) or location of training, amounts of tuition for students enrolled less than half-time, birth certificates for sons or daughters of deceased veterans, and notices of benefits for guardsmen and reservists.

B. Retention: 3 years after termination of enrollment; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 10 ACADEMIC AFFAIRS

12-810.5. Administrative File/Correspondence (Academic Deans and Department Chairmen).

A. Description: Reflects reference material and letters relevant to the administration of the various academic departments of a state college or university. Information includes correspondence, memoranda, annual reports, self-studies, policy and procedure statements, organizational charts, curriculum information, personnel data and student information.

B. Retention:

(1) Office: 5 years. Microfilm optional.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-810.6. Meeting Minutes (Academic Deans and Department Chairmen).

A. Description: Records concerning meetings held by academic deans and department chairmen. Information includes names of attendees, names of persons absent, a summary of topics discussed and decisions made.

B. Retention:

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-810.7. Photographs/Slides/Posters.

A. Description: Depict activities in the various academic departments of a state college or university. Included are large framed photographs of individuals and groups, pictures of lecturers, group portraits of professors and students, pictorials of campus scenes, and demonstration slides for instruction.

B. Retention:

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-810.8. Thesis and Dissertation File.

A. Description: Consists of master's theses and Ph. D. dissertations written in partial fulfillment of the requirements of graduate degrees from the academic departments of the institution. The file includes the official and printed copy of the thesis or dissertation.

B. Retention:

- (1) Office: Until no longer needed for reference Microfilm optional.
- (2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-810.9. Departmental Student Information Files.

A. Description: Used by academic departments to monitor students' academic progress. Information includes personal data, activity reports, placement tests, copies of partial transcripts, correspondence, evidence of graduation or last date of attendance, and related information.

B. Retention: 5 years after graduation or date of last attendance; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-810.10. Recruitment Files.

A. Description: Document the recruiting process for vacant faculty positions. Information includes curriculum vitae, cover letters, schedule of activities, letters of recommendation for individuals hired, and related information.

B. Retention:

- (1) Records of individuals not hired: 2 years from the date of rejection or making of the record, destroy.
- (2) Records of individuals hired: 15 years after termination of employment; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-810.11. Student Evaluations of Instruction.

A. Description: Used for students' evaluations of courses and instructors. Information includes completed evaluation survey sheets, student comments, cover sheets with instructor and student proctor signatures or labels identifying the course and instructor, other identifying information, and survey compilation reports.

B. Retention: After completion of program audit and until no longer needed for reference; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 11

ATHLETIC DEPARTMENT

12-811.5. Concession/Lease Agreements.

A. Description: Document sale of concessions at sports events, use of college or university trademarks for the sale of memorabilia, and rentals for box seating. Information includes athletic concession agreements, revocable nonexclusive licenses to use certain indicia of the college or university, and stadium seating lease agreements.

B. Retention: 5 years after termination of lease agreement; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-811.6. Equipment Files.

A. Description: Document the use of sportswear and equipment by student athletes. Information includes equipment room daily activity report, equipment rental charts, statement of lost equipment, and other related information.

B. Retention: 4 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-811.7. Recruiting Files.

A. Description: Document the recruitment and eligibility of student athletes for participation in the athletics program as governed by applicable guidelines. Information includes official visit of prospective athlete, student-athletes' affirmation of eligibility, national letter of intent, and related forms.

B. Retention: 6 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-811.8. Scrapbooks.

A. Description: Record publicized athletic events and sports activities at the institution. Information includes clipping from local newspapers and other media concerning athletic events at the college or university.

B. Retention:

(1) Office: 6 years. Microfilm optional.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-811.9. Sports Information Files.

A. Description: Contain information distributed to the news media concerning sports events at the institution. Information includes box scores, play-by-plays, and team statistics.

B. Retention: 5 years and until no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-811.10. Ticket Applications.

A. Description: Used to process requests for season and individual game tickets to athletic events. Information includes the applicant's name, address, phone number, and number of tickets requested.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-811.11. Ticket Records.

A. Description: Document the control of ticket operations and distribution of tickets for athletic events. Information includes sale of tickets, allocation of tickets, allocations for "away" games, stadium attendance, and related records.

B. Retention: Office: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-811.12. Training Room Medical Records (Active and Inactive).

A. Description: Created by physicians and training room staff to monitor student athletes' medical histories during their association with the college or university athletic program. Information includes medical histories, injury complaints, drug testing, and other related data.

B. Retention:

(1) Active file: Until student graduates or withdraws from the college or university.

(2) Inactive file: 10 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 12

INSTITUTIONAL DEVELOPMENT AND RESEARCH

12-812.5. Appropriation Requests File.

A. Description: Documents information compiled by a state college or university's staff to provide the basis for the institution's budget request. State appropriation requests for public institutions of higher learning are based on a formula developed by the Commission on Higher Education and state colleges and universities. Information concerning this appropriations formula includes utility expenditure summaries, enrollment reports, research and public service program assessments, financial data for staff and faculty salaries, library and facility needs, and other information which serves as a basis for the institution's appropriations request.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-812.6. Foundation Files.

A. Description: Document the administration of college or university foundations. Files may include correspondence, reports, proposals, accounting and financial information, surveys, justifications, and other related information.

B. Retention:

(1) Office: 5 years.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-812.7. Gift Files.

A. Description: Document the funding of financial gifts to the college or university and the administration of these funds. Included in this series are financial records, correspondence, memoranda, reports, special stipulations or provisions, and other related information.

B. Retention:

(1) Office: 5 years.

(2) College or University Archives: Permanent.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-812.8. Project Grant Awards And Contracts.

A. Description: Document grants and contracts awarded to faculty, staff and graduate assistants for sponsored projects. Information includes name of project, award notification, contract number, and other related information.

B. Retention: 3 years after expiration of grant funding period or termination of contract and until no longer needed for reference; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 13 **LIBRARY SERVICES**

12-813.5. Interlibrary Loan Request Records (Processed and Unprocessed).

A. Description: Used to record successfully processed interlibrary loan requests and loan requests the staff was unable to process. Information includes patron's name, identification, requested information, and whether the materials or books are available. This series also documents interlibrary loan transactions for patrons of other libraries that use the institution's library system.

B. Retention:

(1) Records for processed requests: 3 years; destroy.

(2) Records for unprocessed requests: 1 year; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-813.6. Library Catalog (Books, Periodicals, and Other Publications).

A. Description: Used as a finding aid to the library holdings. Information includes name of author, title, subject, publisher, publication date, and call number.

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

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-813.7. Library Fines and Fees.

A. Description: Documents money received for library fines, library computer information searches, lost books, and inter library loan requests. Information includes amount of money received, what the money was received for, date, and signature of person receiving fine.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-813.8. Newspaper and Manuscript Collection.

A. Description: A collection of documents concerning the state or communities' heritage or culture. Included are Bible records, wills, diaries, letters, photographs, maps, newspapers and other related items.

B. Retention: Permanent. Microfilm Optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-813.9. Photo Duplication Request Forms.

A. Description: Created to document photocopy requests. Forms reflect information concerning copyright restrictions, author, book title, manuscript box and folder number, items to be copied, duplication costs, and patron's signature.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-813.10. Request Cards.

A. Description: Document patrons' requests for information on holdings. Information includes call number, collection number, title, location, number of items used, researcher's name, and date.

B. Retention: 3 years; destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 14
ALUMNI RELATIONS

12-814.5. Alumni Fund Raising Files.

A. Description: Used to document contributions to the alumni fund and contacts made during fund raising drives. Information includes contributors' names and addresses, telephone numbers, Social Security numbers, dates, contribution amounts, types of contributions (gifts or pledges), methods of payment (check or cash), contact dates, callers' names, and related information.

B. Retention: 3 years; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-814.6. Alumni Fund Reports.

A. Description: Used to report information concerning contributions to the alumni fund on a monthly, quarterly or annual basis. Information includes report dates, contributors' names, Social Security numbers, amounts of contribution, types of contribution, giving categories, and related information.

B. Retention: 3 years; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-814.7. Alumni Files.

A. Description: Used to retain current information on former students. The series consists of student forms, alumni information forms, and related records. Information includes student names, gender, Social Security numbers, spousal names, addresses, parental or guardian names, alumni status of family members, and evidence of graduation or last date of attendance.

B. Retention: 5 years after graduation or last date of attendance; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 15
CAREER PLACEMENT AND PLANNING

12-815.5. Student Career Placement and Planning Files.

A. Description: Used to assist students in planning career goals and objectives. This series also provides prospective employers with a comprehensive record of students' scholastic and personal data. Information includes career goals, academic credentials, personal data, work experience, honors, distinctions, consent forms for release of information, records regarding graduation or last date of attendance, and related information.

B. Retention: 5 years after graduation or last date of attendance; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-815.6. Job Locator Service Files.

A. Description: Used to document placement and tracking of students in part time positions off campus. Information includes annual reports, salary summaries, Equal Opportunity Employment agreements, Job Locator Participant registration cards, unused registration identification cards, lists of students employed in part time jobs and internships, and related information.

B. Retention: 3 years; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 16
RESIDENCE SERVICES

12-816.5. Student Residence Files.

A. Description: Used to document occupancy of student residences. Information includes residence hall or apartment applications, housing contracts, contract expiration or termination date,

bills/charges for occupancy, room assignment sheets, room or residence condition reports, bills/charges for damages, documentation of room or residence security deposits, deposit transfer forms, deposit refund requests, refund request vouchers, and related information.

B. Retention: 3 years after expiration or termination of contract; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 17 HEALTH SERVICES

12-817.5. Health Records.

A. Description: Used to document health services and/or treatment provided to students, employees and other persons. Information includes medical histories, personal data, examinations, complaints, laboratory test results, diagnoses, identification of injury or illness, dates and types of treatment, physicians' remarks, and an indication of whether the record is for an adult or pediatric patient.

B. Retention:

(1) Records concerning adult patients: 10 years after date of last treatment; destroy.

(2) Records concerning pediatric patients: 13 years after date of last treatment; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 18 PURCHASING AND AUXILIARY SERVICES

12-818.5. Sole Source Document Files.

A. Description: Used to document procurements made when there is only one source for the required supply, service, or construction item. These files contain such forms as Justification for Sole Source Procurement and Record of Sole Source Contracts. Information includes types of procurements, the bases for sole source determinations, reasons for vendor selections, dates, governmental body names, authorized signatures, and titles. Also included are purchase order numbers, item descriptions, commodity codes, and prices.

B. Retention: 3 years; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-818.6. Trade-in Document Files.

A. Description: Used to document transactions for property traded-in as partial or full payment for an agency purchase. These files may contain forms such as Request for Trade-In Document and Record of Trade-In Sales. Information includes institutions' names, addresses, requestors' names, property locations, institutions' contact persons for viewing property, and indication whether trade-ins are being applied to sole source and new purchases. Also included are commodity codes, descriptions, purchase dates, makes, models, serial numbers, trade-in value, net costs, new items, purchase order numbers, and related information.

B. Retention: 3 years; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-818.7. Emergency Procurement Files.

A. Description: Used to document authorized emergency procurement purchases. These files contain such forms as Justification for Emergency Procurement and Record of Emergency Contracts. Information includes types of emergency procurements, vendors' names, the bases for the emergency determinations, dates, reasons for vendor selections, governmental body names, and authorized signatures. Also included are purchase order numbers, dates, item descriptions, commodity codes, and prices.

B. Retention: 3 years; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

**SUBARTICLE 19
PUBLIC SAFETY**

12-819.5. Incident Reports.

A. Description: Used to record the original report of a felony or incident and pertinent facts surrounding the offense. Information includes agency identification, incident type, case numbers, National Crime Information Center (NCIC) entries, administrative data, property estimates, narratives, names of subjects, names of victims, descriptions of events or incidents, and related information.

B. Retention: 5 years or until of no further legal or administrative value, whichever comes later; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-819.6. Parking Tickets.

A. Description: Used to document parking violations. Information includes date and time of violations, automobile license tag numbers, locations, violations, decal numbers and amount of fines.

B. Retention: 3 years after fine is paid; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-819.7. Parking Ticket Appeals.

A. Description: Used to document appeals by persons receiving parking tickets. Information includes violations, locations, reasons for appeal, names, addresses, and Social Security numbers.

B. Retention: 1 year after completion of appeal process; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-819.8. Shift Reports.

A. Description: Used to document officers' responses to requests for assistance. Information includes times calls are received, dates, names of officers, and brief description of the problem.

B. Retention: 5 years or until of no further legal or administrative value, whichever comes later; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-819.9. Uniform Traffic Collision Reports (Accident Reports).

A. Description: Used to document investigations of motor vehicle accidents occurring on state college and university campuses. Information includes dates, times, county codes, name of town or city, collision locations, conditions and descriptions of motor vehicles, restraining devices used, drivers'/pedestrians' names, drivers'/pedestrians' addresses, administrative data, names of investigating officers, names of reviewing officers, and related information.

B. Retention: 3 years; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

12-819.10. Motor Vehicle Parking Registration File.

A. Description: Used to register student, staff, and faculty motor vehicles for parking. Information include owners' names, make of vehicles, model, year, license plate numbers, decal registration numbers, Social Security numbers, and parking registration fees.

B. Retention: After superseded or cancelled and until no longer needed for reference; destroy.

HISTORY: Added by Register Volume 27, Issue No. 5, eff May 23, 2003.

**ARTICLE 9
GENERAL RETENTION SCHEDULES FOR SCHOOL DISTRICTS**

INTRODUCTION AND GENERAL MATTERS

12-901. Introduction and General Matters; Application of Schedules.

The following general schedules contain minimum records retention periods for the official copy of the records. These retentions and dispositions apply regardless of physical format, i.e. paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, school districts must complete and submit a report on records destroyed form to the Department of Archives and History after eligible records have been destroyed. These forms are available from the Department's Division of Archives and Records Management. Before disposing of public records under these general schedules, school districts should insure that the records have no further audit, legal, or fiscal value. These general schedules supersede all schedules approved previously for the same records series. However, school districts may opt out of these general schedules and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary, or in order to avoid conflict with other laws or regulations.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 1 ADMINISTRATIVE

12-901.1. School District Board Meeting Tapes.

A. Description: Cassette tape recordings of school district board meetings used in preparing the school district board minutes. Information includes date of meeting, meeting time, meeting place, board members present, order of business, business discussed and decisions made.

B. Retention: 2 years, then destroy/re-use, provided paper copies of the minutes have been produced.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-901.2. School Board Meeting Agenda Packets.

A. Description: Record of items submitted for the school board's consideration. Information includes date, time, and locale; order and description of proposed business.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-901.3. School District Board Meeting Minutes.

A. Description: Proceedings of the monthly meetings of the School District Board. Information includes date of meeting, meeting time, meeting place, board members present, order of business, business discussed, and decisions made.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-901.4. Committee Meeting Minutes.

A. Description: Minutes taken at meetings of committees that report to the school board on areas of specialized study. Types of committees include but are not limited to finance, budget, personnel, fund raising, facilities, disciplinary hearings, and curriculum and instruction.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-901.5. Deeds.

A. Description: Documents deeds to school property. Information includes grantor; grantee; location; description of land; monetary consideration; encumbrances; signature of grantor, notary, and witnesses; and date recorded.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-901.6. Basic Education Data System Survey.

A. Description: Employee personnel questionnaire to all principals and staff of elementary and middle schools, generated by the South Carolina Department of Education. Information includes school identification number, school name, school address, grade span, employee social security number, years of experience, certificate number, age, educational level, and salary.

B. Retention: Until superseded and/or of no further administrative value, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-901.7. Federal Project Files.

A. Description: Records federal money spent as approved by the State Department of Education. Types of documents include grant application, project approval letter, and budget reports.

B. Retention: 5 years after completion of activity for which funds were used, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-901.8. General Correspondence And Subject Files.

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

(1) Policy and Program Records: These records document the formulation and adoption of policies and procedures and the implementation or management of the programs or functions of the office or department. Included are such records as correspondence with citizens and government officials regarding policy or procedures development or program administration; annual or ad hoc narrative or statistical reports on program activities, achievements or plans; organizational charts and mission statements; studies regarding department or office operations; circular letters, directives or similar papers addressed to subordinate units or staff concerning policies, procedures or programs; and records related to significant events in which the department or office participated. Records may include photographs, published material, audio tapes, or other record forms.

(2) General Administrative Records: These records are of a general facilitative nature created or received in the course of administering programs. Included are such records as correspondence of a routine or repetitive type, such as requests for information; reference materials, sometimes of a technical nature, used, but not created by, the office; daily, weekly or monthly office activity reports which are summarized in annual reports or which relate to routine activities; personnel data on office staff which are duplicated in Personnel Office files; daily or weekly work assignments for office staff; suspense or follow-up files which duplicate copies of papers filed elsewhere; circular letters, directives or similar papers received from other offices; and rough drafts or notes created in compiling reports or studies.

(3) General Housekeeping Files: These records are of a general "housekeeping" nature created or maintained by an office which do not relate directly to the primary program responsibility of the office. Included are such records as charitable fund raising drive materials; custodial services requests; emergency evacuation procedures; notices of holidays; parking assignment lists; telephone installation requests; and lists showing the distribution of keys.

B. Retention:

(1) Policy and Program Records: Permanent. Microfilm optional.

(2) General Administrative Records: 5 years, then destroy.

(3) General Housekeeping Files: Until no longer needed for reference, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-901.9. Blueprints and Maps of School Buildings.

A. Description: Records documenting the physical structure of school buildings and related equipment. Information includes site plans, geological/topographical maps of site areas, and maps of city services.

B. Retention: Permanent. Microfilm for security.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-901.10. South Carolina High School League Student Eligibility Files.

A. Description: Documents student eligibility to participate in sanctioned athletic events. Information includes League Handbook, birth certificate, parent permission/physical form, certificate of eligibility, interscholastic completion eligibility reporting form, high school league passes form, form A for transfer student, request for hardship eligibility, copies of student permanent record cards, report cards and league directory information.

B. Retention:

(1) League Directory/Handbook: Until superseded, then destroy.

(2) Other Records: 5 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-901.11. Media Center Records.

A. Description: Records used in the operation of the media center program. Information includes shelf list, list of materials available in media center, computer information on school/books/user/return date, security bars and codes, center instructional schedules, equipment schedules, fee documentation, and end of year inventory reports.

B. Retention: Until no longer needed for reference, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 2

FINANCE

12-902.1. General Ledgers (Superintendent's Ledgers).

A. Description: One or more series of computer and non-computer generated financial ledgers providing final year-to-date accounting summary and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all school district funds and accounts, including receipts and expenditures from all revenue sources. Records covered under this schedule include annual accounting code and system table documentation required to access general ledger information.

B. Retention:

(1) Computer Generated Ledgers: Permanent. Microfilm.

(2) Non-Computer Generated Ledgers: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.2. Chart of Accounts.

A. Description: Format created by the Department of Education and sent to the school district for the purpose of providing a cost accounting system to satisfy legal and stewardship requirements connected with handling public funds. Information includes balance sheet accounts, revenue accounts and expenditure accounts. This information is retained permanently in the Superintendent's Ledgers as accounting code data to access ledger information.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.3. Audit Reports.

A. Description: Printed reports documenting the annual audit of school district funds. These reports, prepared by an outside accounting firm, are categorized by the various school district offices and further classified by accounts to which they relate. This series also includes semiannual and special audits. Information includes balance sheet, summary of revenue and expenditures, cash balances, and statement of account by type.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.4. Annual Budgets.

A. Description: Printed copies of annual budgets showing projected receipts and expenditures from various offices. Approved budget appropriations are listed for each department.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.5. Record of General Obligation Bonds.

A. Description: Informational volumes concerning the issuance of general obligation bonds issued by the district. Information includes legislation authorizing the issuance of bonds, certificate of the Clerk of Court, certificate of incumbency, notice of bond issuance, debt structure, tax information, and financial information on the district.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.6. Capital Project Records.

A. Description: Record of capital projects undertaken by the school district. Information includes project number, fund number, name of project, description of work, estimated starting and finishing date, estimated costs, total, signature of originator, approval, and date.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.7. Grant Files.

A. Description: Background application information and action taken on federal and state grants awarded to the school district. Information includes filing guidelines, grant applications, contracts, correspondence, reimbursement requests, progress reports, and final reports.

B. Retention:

(1) Applications, Grant Contract Agreements, and Annual and Final Grant Project Report for Significant Projects: Permanent. Microfilm optional.

(2) Other Records: 3 years after completion of grant project, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.8. Fixed Assets Inventory.

A. Description: This series provides an inventory of fixed assets (office equipment and furniture, motor vehicles) for each department. Information includes school, district, item number, item description, and funding source.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.9. Balance Sheet.

A. Description: Monthly summary of accounting data, assets, liabilities, and net worth. Information includes account number, assets, reserve and fund balances, liabilities, totals, and net worth.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.10. Monthly Financial Reports.

A. Description: A monthly record of the school district finances. Information includes accounting numbers, account names, budgeted amounts, inventory, monthly accounting, accounting to date, and balance.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.11. Interim Pupil Activity Audit Report.

A. Description: Audit documenting student money collected by the school district and applied to the funding of various school-related programs such as pictures, book fairs, fund raising, class activities, alumni assistance, and club (French, music, etc.) dues. Type of information includes receipt number, original amount, charged amount, and difference. Also includes bank reconciliation statements and correspondence.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.12. Budget Status By Location.

A. Description: Record to inform each school of budget status. Information includes budget for expenditures, year-to-date expenditures, and budget balances.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.13. Budget Transfers.

A. Description: Forms documenting the transfer of funds from one account to another within the same department or school. Information includes account number, description, debit amount, and credit amount.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.14. Journal Entries.

A. Description: Record series used for reviewing and adjusting various accounts before transferring information to the general ledger. Information includes name of department, account number, description, voucher number, date, reference number, debit, credit, and date.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.15. Expenditure Report.

A. Description: Monthly status of expenditures for each department, office and school. Information includes date, account number, purchase order number, vendor code, transaction code, and totals.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.16. Banking Records.

A. Description: Cancelled checks and deposit slips written by the school district along with the statements issued by the bank. Information includes checks: date, to whom paid, amount, check

number, authorized signature of finance officer; bank statements: list of checks for one month period, dates, beginning balance, ending balance; and deposit slips: date, amounts of deposits, and total deposit.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.17. Paid Invoices.

A. Description: Filed copies of invoices submitted by various vendors supplying goods and services to the school district. These invoices are filed together with copies of the school district checks and/or claim forms containing descriptions of the items purchased. Information includes invoice: vendor name, address, date of purchase, purchase order (if any), invoice number, item(s) or service(s) purchased, amounts, total; check copy: vendor name, address, date of check, amount, check number; and claim form: date, account number(s), description of item(s), amount(s), approval signature(s).

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.18. Purchase Orders.

A. Description: These records serve as office copies of purchase order for goods and services paid for by the school district or for goods and services yet to be delivered to the school district. Information includes vendor name and address, shipping information, quantity ordered, unit of issue, description of goods/services ordered, general ledger account number, unit price, extended price, purchasing agent's signature, individual who signs for receipt of goods/services and date received, and notations regarding any shortages in shipment.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.19. Accounts Payable Check Registers.

A. Description: Documents check payments to vendors/contractors for services/materials sold to the school district. Information includes name, date, check number, and amount.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.20. Receipts (Receipt Books).

A. Description: Copies of receipts issued for funds received. Information includes date, receipt number, from whom received, amount, purpose, and signature of person who received the funds.

B. Retention; 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.21. Bid File.

A. Description: This series provides a record of each bid submitted by vendors selling goods and/or services to the school district. Information includes request for quotation, bid spread sheet, bid award letter, advertisements, bid invitations, specifications, bids, bid tabulation, purchase orders, and correspondence.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.22. Certified Staff Listing.

A. Description: List of certified teachers employed by the school district. Information includes social security number, teacher name, race, sex, year certified, group, class, grade, days actually employed, federal funds, total annual salary, and school number.

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-902.23. Ticket Sales for School Events.

A. Description: Records documenting the audit practices of the school in keeping records of ticket sales, income and other pertinent records related to athletic events, activity cards, school productions, or extracurricular events which charge admission. Information includes list of activity cards sold, tickets to be destroyed, season ticket holders (number of seats), statement of receipts, disbursements, game ticket forms, athletic ticket sales form showing advanced location sales.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-902.24. Uncollected Fees Documentation.

A. Description: List of students owing fees to the school. Information includes fees owed for lost or damaged textbooks, library books and materials, locks and equipment.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-902.25. Requisitions.

A. Description: Record of requests for purchase orders from the purchasing agent to order materials with district monies. Information includes records of request, attached order, name of school, address of vendor, district budget number to which the amount is charged, quantity, description, catalog number, specifications, unit price, total, authorization signature of principal, and district office personnel.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-902.26. General Budget Preparation Records.

A. Description: Budget preparation materials for next fiscal school year. Information includes revenue listings provided by the South Carolina Department of Education, future projections, new budget account number, memos, and correspondence.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-902.27. Work Orders.

A. Description: Copies of work orders for services requested and subsequent services rendered. Information includes service requested, location, cause of problem, signature of department, and by whom request made.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 3 FOOD SERVICES

12-903.1. School Lunch Applications.

A. Description: Applications for free and reduced priced meals, filled out by sponsor of students applying for free and reduced meal program. Information includes student's name, other household members names, sponsor's name and address, monthly income statement, and signature of sponsor.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-903.2. Food Service Report.

A. Description: Record of receipts and expenditures from the school district food service. This report is generated monthly and submitted to the South Carolina Department of Education. Informa-

tion includes food service balance sheet, beginning balance, revenue generated, operating balance, inventory, and break out data.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

SUBARTICLE 4 PAYROLL

12-904.1. Payroll Register.

A. Description: Documents wages paid to school district employees for services rendered. Information includes name of employee, social security number, date of check, hourly or salaried amount, overtime, number of hours worked, volunteered and other deductions.

B. Retention:

(1) Year End Payroll Registers: 60 years, then destroy.

(2) Other Payroll Registers: 1 year, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.2. Employee Earnings Records.

A. Description: Separate posting sheets for each school district employee which contain record of earnings per pay period. Information includes name of employee, employee's address, social security number, base pay, period ending, time worked, FICA tax, federal tax, state tax, retirement, insurance, other deductions, net pay, check number, quarterly totals, and accumulated totals.

B. Retention:

(1) When Payroll Register is Missing: 60 years, then destroy.

(2) When Payroll Register is in Existence: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994. Amended by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-904.3. Payroll Audit Reports—Employee.

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

B. Retention:

(1) When Payroll Register is Missing: 60 years, then destroy.

(2) When Payroll Register is in Existence: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.4. Supplemental Audit Report—Employee.

A. Description: Record of accrued employee gross salaries on each school district employee and is needed to show the amount of accrued salaries after the fiscal year has been completed. Information includes account numbers, date of report, date of transaction for accrual and total amount accrued.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.5. Payroll Audit Report—Account.

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

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.6. Supplemental Audit Report—Account.

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

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.7. Payroll Retirement Files.

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

B. Retention: 60 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.8. Payroll Check Registers.

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

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.9. Employee Withholding Certificates.

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

B. Retention: Until superseded, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.10. W-2 Summarizations.

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

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.11. Voluntary Deductions Summarizations.

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

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-904.12. Direct Deposit Register.

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

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

**SUBARTICLE 5
PERSONNEL**

12-905.1. State and Local Government Information Reports (EEO-5).

A. Description: Annual report monitoring internal programs for insuring equal employment opportunities. Information includes number of employees by job categories, by race, by sex, by salary and number of part-time and newly-hired employees during the fiscal year.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.2. Teacher Register/Certification.

A. Description: Record of educational qualifications of all teachers in the district. Information includes name of teacher, certificate number, grade, date issued, date recorded, and date of expiration.

B. Retention: Permanent. Microfilm optional.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.3. Application File (Not Hired).

A. Description: Application forms submitted by persons applying for jobs with the school district who were not hired. Information includes name, address, education and work experience.

B. Retention: 2 years after rejection, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.4. Personnel Files (Active and Inactive).

A. Description: Forms and materials relating to employees of the school district. Files include applications, salary data, professional background, contracts, evaluations, and complete employment history.

B. Retention: 5 years after termination of employment, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.5. Bus Driver Employment File.

A. Description: File documenting current and recently employed bus drivers in the district. Information includes application of classified employment, Department of Social Services request for wage information, narrative evaluation, copy of school bus driver's certificate, and pay rate memorandum.

B. Retention: 5 years after termination of employment, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.6. Substitute Teacher File (Hired and Not Hired).

A. Description: Applications and related information submitted by persons applying for jobs as substitute teachers for both persons who were hired and those not hired. Information includes application for classified employment, correspondence, South Carolina Retirement System enrollment form, W-4, school selection, criminal record checks from SLED, reference form for classified employment, copy of notification of application received, copy of notification of workshop for prospective substitute teachers, and proficiency exam taken by applicant.

B. Retention:

(1) Records of Applicants Hired: 5 years after termination of employment, then destroy.

(2) Records of Applicants Not Hired: 2 years after date of rejection, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.7. Assessment of Performance in Teaching (APT).

A. Description: Formal observation of first year teachers required by the South Carolina Department of Education and conducted by trained observers. Information includes APT Conference Sheet, APT Schedule Sheet, APT Observation Sheet, sample teacher activity sheets, and correspondence.

B. Retention: 2 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.8. Teacher Incentive Program.

A. Description: Documents the teacher incentive program started as a result of the Education Improvement Act. Information includes agreements to meet certain criteria, signed understanding statements of money to be allotted, schedule of their student achievement, names of all students from chosen classes, actual student achievement proposals, written goals, and workshop presentations.

B. Retention: 5 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.9. Benefits Information.

A. Description: Record of employee insurance coverage. Information includes notice of election, enrollment election form, correspondence, approval letters, authorization for payroll deduction, premium correspondence, and claim correspondence.

B. Retention: 3 years after expiration of policy or replacement by a new policy, then destroy, unless claims are pending.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.10. Notice of Elections.

A. Description: Forms filled out by school district employees stating insurance coverage preferences. Information includes employee's signature and election forms for health insurance.

B. Retention: 3 years after expiration of policy or replacement by new policy, then destroy, unless claims are pending.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.11. Time Sheets.

A. Description: Record of number of hours worked by each employee. Information includes name, number of hours worked, and location of employee.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-905.12. Worker's Compensation Records.

A. Description: Consists of case files containing records and reports generated as the result of employment related accidents involving school district employees. Information includes Reports of Accidents Involving Only Medical Attention; Physician's Report and Itemized Statement; Employer's First Report of Injury and Illness; Agreement as to Compensation; Conditional Waiver of Hearing; 60-Day Report; Status Report and Compensation Receipt; Supplemental Memorandum of Agreement As to Payment of Compensation; correspondence with South Carolina Worker's Compensation Commission, physicians, attorneys, and employees; statements from physicians; copies of internal invoices; copies of receipts and statements for the purchase of medications; copies of purchase requisitions; copies of health insurance claim forms; copies of patient return reports; disposition forms from physicians; and handwritten notes.

B. Retention:

(1) Employer's First Report of Injury: 5 years after case settlement, then transfer to employee files.

(2) Other Records: 5 years after case settlement, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-905.13. Hepatitis “B” Program/Blood Pathogens Training Files.

A. Description: Record of training in handling blood borne pathogens as mandated by state and district regulations. Identified employees are administered the Hepatitis B vaccine and documentation is given to each individual vaccinated. Information includes identification of person needing vaccine, in-service verification of all employees, vaccination consent forms, date vaccinated, blood drawn forms, participants listing, correspondence, memos, invoices, and check requisitions.

B. Retention: 30 years after termination of employment, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

SUBARTICLE 6 STUDENTS RECORDS

12-906.1. Cumulative Pupil Record File (Student Records).

A. Description: Cumulative record of student’s activities throughout their elementary and secondary educational career. Also recorded are personal and physical data relevant to each individual student. Information on the permanent record card includes name, grade, attendance, courses taken, and standardized test scores. In addition to the permanent record card, the file may contain many other types of material such as photographs, tests (mental and physical), application for admission, health cards (immunization records), general correspondence to/from parents/guardian and school personnel, special medical reports (if the student is physically impaired), guidance counseling records, and legal documents verifying birthdate and name changes. The separation date is always included whether by graduation, withdrawal or expulsion.

B. Retention:

(1) Record Cards, Health, and Legal Records: 75 years after student’s separation from school, then destroy.

(2) Other Records: 1 year after student’s separation from school, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-906.2. Special Education Records (Local School District Program Scholastic Records For Handicapped Students).

A. Description: Documents a handicapped student’s participation and progress in a special education program. Information includes handicapped/psychological needs, placement forms, record of staffing, individual educational programs, confidential education reports, and least restrictive environment verification papers.

B. Retention: Until no longer needed to provide educational services to the student or for the necessary school district purposes such as auditing or monitoring, then notify the parents that they have a right to have these records destroyed. If the parents so request, the records must be destroyed. If the parents do not request destruction, the school district may retain these records permanently or destroy them at their discretion. In all instances of destruction, the parents of the student must be notified forty-five calendar days prior to destruction that they have a right to request and be provided a copy of any personally identifiable data which has been obtained or used while providing educational services for their children. Documentation of the notification of parents must be retained permanently. (Note: This retention does not apply to the permanent record of a student’s name, address, telephone number, grades, attendance record, classes attended, grade level completed, and year of completion.)

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-906.3. Student Test Results.

A. Description: Computer generated test data on student progress in basic skills. Information includes student name, date of birth, sex, test type, test percentile, battery scores, national percentile, raw scores, scale scores, and local school percentiles.

B. Retention: Until no longer needed for administrative purposes, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-906.4. Individual Record Sheets.

A. Description: Cumulative record of each student's achievements while attending school in the district. Information includes name of high school, county, pupil's name, residence, name of superintendent, school term, subjects taken each year, grades, total credits for the year, student's address, place of birth, date of birth, family physician, name of parent or guardian, occupation, race, school previously attended, physical record, personal characteristics, attendance, extra activities, and remarks.

B. Retention:

(1) When Cumulative Pupil Record Files are Missing: 75 years, then destroy.

(2) When Cumulative Pupil Record Files are Present: 2 years after end of the school term for which grades were recorded, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-906.5. Pupil Record Cards.

A. Description: Contains scholastic and personal information on students who attended schools within the district. Information includes name of student, date of birth, name of parent or guardian, residence, school entered from, date entered, age at entrance, subjects taken, and grades.

B. Retention:

(1) When Cumulative Pupil Record Files are Missing: 75 years, then destroy.

(2) When Cumulative Pupil Record Files are Present: 2 years after end of the school term for which grades were recorded, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-906.6. Teacher's Grade Books.

A. Description: Contain student grades for each six or nine week grading period for the school year. These grades are used to compute semester averages as well as the yearly averages for each subject. Based on the results of these grades, students are promoted for the school term.

B. Retention:

(1) When Cumulative Pupil Record Files are Missing: 75 years, then destroy.

(2) When Cumulative Pupil Record Files are Present: 2 years after end of the school term for which grades were recorded, then destroy.

HISTORY: Added by State Register Volume 18, Issue No. 6, eff June 24, 1994.

12-906.7. Adult Education Pupil Records File.

A. Description: Cumulative record of student's activities throughout their adult educational career. Information includes classes taken, test scores with accompanying information (date of examination; name and form of standardized test; name of examiner; signature of principal's approval) and age.

B. Retention:

(1) Record Cards and Legal Records: 75 years after student's separation from school, then destroy.

(2) Other Records: 1 year after student's separation from school, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.8. Student Schedules File.

A. Description: Forms completed by school personnel for student scheduling into class. Information includes printouts of student schedules, class lists, student class assignments and completed forms requesting change of schedule.

B. Retention: Until no longer needed for administrative purposes, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.9. Homebound Files.

A. Description: Record of homebound instruction provided for students unable to attend school for medical reasons. Information includes reason for homebound, dates of service, teacher performing service, application for homebound instruction, physician authorization, pupil's name, and social security number.

B. Retention: 5 years after end of fiscal year to which the records pertain, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.10. Pupil Accounting and Support Documentation.

A. Description: Record of pupil accounting data submitted on a regular basis and in compliance with district and state regulations. Information includes data for Educational Improvement Act; data for 45, 135, and 180 reports; supporting verification documentation; software back-ups; manuals; memorandum; correspondence; rosters; placement forms; attendance cards; scan sheets; daily bulletins; and alternative school documentation.

B. Retention: 3 years, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.11. Student Discipline, Suspension, and Expulsion Records.

A. Description: Records documenting inappropriate student behavior and corrective actions taken. Information includes referral and action form, notes, letters to parents, suspension documentation, detention documents, hearing notices, bus driver referrals, statements and conference notes.

B. Retention:

(1) When suspended and subsequently expelled permanently: Transfer to Cumulative Pupil Record File and retain according to part 1 of the retention.

(2) When suspended and subsequently expelled for remainder of the school year OR when suspension is deemed the only corrective action: 1 year after student's permanent separation from school, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.12. Teacher Lesson Plans.

A. Description: Records relating to teacher's daily instructional plans and activities for each class. Information includes a yearly planning book.

B. Retention: Until no longer needed for reference, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.13. Student Truancy Records.

A. Description: Records created to document student's excessive absences and action taken to correct the problem by school personnel. Information includes referral and action forms, letters to parents, attendance profile sheets, correspondence, release forms, copies of initial court petitions, copies of court orders, hearing notices, affidavits and visitation documentation.

B. Retention: Until student reaches age of majority, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.14. Teacher's Student Attendance Record.

A. Description: Record of student's daily attendance, absences and tardies. Information includes student name, school year, attendance, tardies, and absences.

B. Retention: 1 year, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.15. Student Registration Materials.

A. Description: Record of students registering at a school. Information includes registration form showing name, student identification number, parent's name, physician, address, telephone numbers, proof of age, residence, letters to parents, assignments, letters of placement, schedule requests, and automobile registration.

B. Retention:

(1) Registration Form: 3 years, then destroy.

(2) Other Records: Until no longer needed for administrative purposes, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

12-906.16. Reserve Officer Training Corps (ROTC) Records.

A. Description: Summarize military history/citizenship training and other items pertaining to the ROTC program. Information includes student name, history, promotion agreement, rank and testing for awards.

B. Retention: 5 years after student's separation from school, then destroy.

HISTORY: Added by State Register Volume 27, Issue No. 5, eff May 23, 2003.

ARTICLE 10

MINIMUM STANDARDS FOR FACILITIES WHICH HOUSE SOUTH CAROLINA PUBLIC RECORDS

12-1000. Purpose and Scope.

A. Standards for facilities which house the public records of South Carolina will help minimize the danger of losing information vital to the current operational and long term reference requirements of state and local government, and will help ensure the preservation of valuable historical information.

B. The standards apply to (1) any existing facility or area thereof, and (2) any new construction or renovation of a facility or area thereof in which the public records of South Carolina state and local government are permanently or temporarily housed, including public buildings and offices where such records are ordinarily kept and used, as well as public and private facilities specifically designated or designed for records storage.

HISTORY: Added by State Register Volume 17, Issue No. 5, Part 1, effective May 28, 1993.

12-1001. Definitions and General Requirements.

A. Definitions

(1) "Public Records" has the meaning as provided in Section 30-4-20 (c), Code of Laws of South Carolina, 1976, as amended.

(2) "Public Body" has the meaning as provided in Sections 30-4-20 (a) and 30-1-10 (b), Code of Laws of South Carolina, 1976, as amended.

(3) "Facility or Area Thereof" means any physical structure used entirely or in part for the storage and maintenance of public records, or any area or room within that or any other structure which is used for the storage and maintenance of records.

(4) "Existing Facility" means a structure which is already in place and is being used or will be used to house public records.

(5) "Records Retention Schedule" means a document which specifies how long public records shall be kept and indicates their final disposition.

(6) "On-Site" means the facility or area thereof where the records are normally used and maintained.

(7) "Off-Site" means a facility or area thereof away from where the records are normally used and maintained.

B. General Requirements

No records of a South Carolina public body shall be removed from the buildings in which they are ordinarily maintained and used, except for required administrative work, retention or disposal in

accordance with a records retention schedule approved by the South Carolina Department of Archives and History, microfilming, or for special public display in accordance with provisions of the State's Public Records Act.

HISTORY: Added by State Register Volume 17, Issue No. 5, Part 1, effective May 28, 1993.

12-1002. Required Minimum Standards for All Records Storage Facilities.

Any facility or area thereof in which the records of a South Carolina public body are maintained shall meet the following minimum standards:

A. Construction:

(1) The building shall be of sound construction and shall be well-maintained, with a roof which is free of leaks.

(2) If the facility is located off-site (away from the building where the records are ordinarily maintained and used), and if part of the structure is used for other purposes, a fire wall shall separate the records area from any area which might present a hazard to the records.

B. Environment:

(1) It shall be kept clean to avoid accumulations of dust and dirt.

(2) If the facility is not climate-controlled, the records storage area shall be well-ventilated and shall not be subject to rapid and extreme fluctuations of temperature and humidity (more than plus or minus forty degrees or forty percent within twenty-four hours).

(3) It shall be free of vermin and shall have a pest control program to guard against insects and rodents.

(4) It shall be well-lighted, but records shall not be exposed to direct sunlight.

(5) Records shall be protected from the threat of damage caused by smoking, eating and drinking.

(6) Records shall be placed a minimum of three inches from the floor on sturdy, well-supported shelving units, file cabinets, or wooden pallets. Unbound inactive records shall be stored in file cabinets or in closed containers placed on shelves or pallets.

(7) Records shall not be placed in areas subject to flooding or excessive moisture, in areas with exposed water or steam pipes subject to leaking, or in areas that are adjacent to furnaces or boilers unless separated by a four-hour fire wall.

C. Security/Protection:

(1) It shall not be located in any area where the risk of natural and man-made disasters poses a significant threat to the facility and its contents. It shall be located sufficiently separate from external hazards to ensure a high degree of safety from such occurrences as fire and flood.

(2) It shall be located within the coverage area of a fire station and near a regularly patrolled police route.

(3) It shall be secured at all times, and, in the case of an off-site storage facility, if it is not normally open to the public, access shall be restricted to authorized persons.

(4) It shall have an operational fire detection mechanism. In an off-site, unstaffed facility, the fire detection mechanism shall have an external audible alarm.

(5) It shall contain an adequate supply (one or more) of well-distributed portable fire extinguishers with a minimum classification of IIA:10B:C suitable for extinguishing fires in all record materials stored.

HISTORY: Added by State Register Volume 17, Issue No. 5, Part 1, effective May 28, 1993.

12-1003. Compliance Guidelines.

The South Carolina Department of Archives and History shall be responsible for determining whether or not facilities are in compliance with this regulation. All facilities shall be in compliance with the required minimum standards or shall submit a compliance plan to the South Carolina Department of Archives and History within twenty-four months of the approval date of this regulation. In order to verify compliance, each public body shall complete an assessment of the existing facilities within its jurisdiction used or to be used for the storage and maintenance of public records. As provided by

Section 30-1-70 of the State Code, the Archives Director may order the removal of public records from any facility which does not meet the minimum standards. Public bodies considering new construction or renovations of records facilities shall consult with the South Carolina Department of Archives and History when planning such work.

HISTORY: Added by State Register Volume 17, Issue No. 5, Part 1, effective May 28, 1993.

ARTICLE 11
GENERAL RETENTION SCHEDULE FOR DATA PROCESSING
RECORDS OF STATE AGENCIES/INSTITUTIONS

12-1100. Introduction and General Matters; Application of Schedule.

This regulation provides disposal authorization to state agencies and state-supported colleges and universities for the official copies of certain non-permanent electronic records and specified hardcopy (paper) or microform records that are integrally related to the data processing. Convenience, informational, and other extra copies are not governed by this regulation and may be disposed of when no longer needed for reference.

Electronic Records Covered by This General Schedule

This general schedule applies to disposable official copies of non-permanent data processing electronic records created or received by state agencies and institutions. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. In addition, this general schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in this general schedule, regardless of the type of computer used to create or store these records.

Electronic Records Not Covered By This General Schedule

This general schedule does not cover all electronic records. Especially, it does not cover electronic records which should be retained permanently. Official copies of electronic records which are not covered by this general schedule may not be disposed of unless authorized by the State Archives.

How To Use This General Schedule

The records covered by many sections in this general schedule are authorized for erasure or deletion when the agency or institution determines that they are no longer needed for administrative, financial, reference, legal, audit, or other operational purposes. The State Archives cannot establish a more specific retention that would be appropriate in all applications. Each agency or institution should, when appropriate, determine a more specific disposition instruction, such as "After X update cycles; delete" or "X years, delete or destroy" for inclusion in its records disposition procedures or manual. State agencies and institutions are not required to request authorization from the State Archives to dispose of data processing records covered by this general schedule.

State agencies or institutions may "opt out" of this general schedule and request the continuing use of existing schedules or the establishment of specific retention schedules for their electronic records when appropriate, necessary, or in order to avoid conflict with other laws or regulations.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1105. Automated Program Listing/Source Code.

A. Description: Program code which generates the machine language instructions used to operate an automated system, either paper or electronic.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1106. Computer Run and Scheduling Requests.

A. Description: Used to schedule computer runs. Information includes daily schedules, run reports, run requests, and other records documenting the successful completion of a run.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1107. Computer System Test Files.

A. Description: Created solely to test system or program performance, as well as related printouts and documentation.

B. Retention: After user approves test results and until no longer needed for reference; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1108. Computer Usage Files.

A. Description: Used to monitor computer system usage. Information includes electronic files or automated logs, log-in files, system usage files, data entry logs, summary computer usage reports, audit trail files, valid transaction files, and records of individual and network computer program usage.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1109. Data/Database Dictionary Reports.

A. Description: Periodic printouts from a data/database directory system. Information includes data element attribute reports, database scheme, and related records used for reference purposes.

B. Retention: Until superseded or no longer used by agency; destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1110. Data Processing Hardware Documentation.

A. Description: Documents the use, operation, and maintenance of an agency's data processing equipment. Information includes operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.

B. Retention: Until no longer needed for reference or until hardware is disposed of; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1111. Data Processing Subject Files.

A. Description: Used to support the administration of agency data processing services. Information includes correspondence, memoranda, reports, and reference publications.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1112. Disaster Preparedness and Recovery Plans.

A. Description: Documents the protection and reestablishment of data processing services and equipment in case of a disaster. Information includes procedures, checklists, and emergency phone numbers and addresses.

B. Retention: Until superseded by revised plan; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1113. Downloaded and Copied Data.

A. Description: Used to distribute data to individuals or program units for reference and use. Information includes downloaded, copied, merged and/or derived data not altered or augmented to support program-specific needs.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1114. Finding Aids (or Indexes).

A. Description: Used to facilitate the search and/or retrieval of electronic information/records. Information includes indexes, lists, registers, and other finding aids.

B. Retention: Until no longer needed for reference or when related records are destroyed whichever is later; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1115. Input/Source Documents.

A. Description: Used solely as input for a digital master file or database. Also used to create, update, or modify the records in an electronic medium and not required for audit and legal purposes. Information includes non-electronic documents and/or forms, uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs.

B. Retention: Until the information has been converted to an electronic medium, or when no longer needed to support the reconstruction of the master file, whichever is later; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1116. Inventories of Circuits.

A. Description: Documents network circuits used by the agency. Information includes automated or paper records, circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.

B. Retention: Until updated, superseded, or no longer needed for reference; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1117. Network Site/Equipment Support Files.

A. Description: Used to document support services provided to specific sites and computer to computer interfaces on a network. Information includes site visit reports, trouble reports, service histories, and related correspondence.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1118. Print File.

A. Description: Used to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and reports. Information includes unaltered files extracted from a master file or database.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1119. Records of Chargebacks to Data Processing Services Users.

A. Description: Used to document and calculate costs, and bill program units for computer usage and data processing services. Information includes electronic and manual records. These records are also used for cost recovery, budgeting, or administrative purposes.

B. Retention: 3 years after creation; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1120. Security Backup File.

A. Description: Electronic file maintained to backup the master file or database in case the master file or database is damaged or inadvertently erased. Information consists of data identical in physical format to a master file or database.

B. Retention: 3 database/master file backup cycles; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1121. Summary or Extracted Data Files.

A. Description: Used to distribute data to individuals or program units for reference and use. Information consists of summary or aggregate data from a master file or database.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1122. System Documentation (Non-Permanent Systems).

A. Description: Used to plan, develop, operate, and maintain electronic records and software. Information includes data systems specifications, file specifications, code books, records layouts, user guides, output specifications, system instructions, tutorials, reference guides, final reports, and other related documentation.

B. Retention: Until superseded, updated, or no longer needed for reference; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1123. System Users Access Records.

A. Description: Used by system administrators to control or monitor users' access. Information includes user account records, security logs, and password files.

B. Retention: Until updated, superseded, or no longer needed for reference; delete or destroy.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12-1124. Technical Reformat File.

A. Description: Used to document information interchange of master files or databases. Information includes electronic files written with varying technical specification consisting of data copied from a master file or database.

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

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

ARTICLE 12

GENERAL RETENTION SCHEDULE FOR ELECTRONIC RECORDS COMMON TO MOST STATE AGENCIES/INSTITUTIONS

12-1200. Introduction and General Matters; Application of Schedule.

This regulation provides disposal authorization for the official electronic versions of non-permanent records scheduled for destruction under one or more sections in General Records Retention Schedules for Administrative and Personnel Records (sections 12-300 through 12-423), General Records Retention Schedule for Financial Records of State Agencies (sections 12-700 through 12-757), and General Records Retention Schedule for State Colleges and Universities (sections 12-800 through 12-813.10). It also provides disposal authorization for the official electronic versions of non-permanent records scheduled for destruction under specific retention schedules approved by each state agency or state-supported college or university, the State Archives, and the Budget and Control Board.

Electronic Records Covered by This General Schedule

This general schedule applies to disposable official copies of non-permanent electronic records created or received by state agencies and institutions. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. In addition, this general schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in this general schedule, regardless of the type of computer used to create or store these records.

Electronic Records Not Covered By This General Schedule

This general schedule does not cover all electronic records. Especially, it does not cover electronic records which should be retained permanently. Official copies of electronic records not covered by this

schedule may not be disposed of unless authorized by the State Archives. Convenience, informational and other extra copies are not covered by this general schedule and may be disposed of when no longer needed for reference.

How To Use This General Schedule

The records covered by several sections in this general schedule are authorized for erasure or deletion when the agency or institution determines that they are no longer needed for administrative, financial, reference, legal, audit, or other operational purposes. The State Archives cannot establish a more specific retention that would be appropriate in all applications. Each agency or institution should, when appropriate, determine a more specific disposition instruction, such as “After X update cycles; delete” or “X years, delete or destroy” for inclusion in its records disposition directives or manual. State agencies and institutions are not required to request authorization to dispose of electronic records covered by this general schedule.

State agencies or institutions may opt out of this general schedule and request the continuing use of existing schedules or the establishment of specific retention schedules for their electronic records when appropriate, necessary, or in order to avoid conflict with other laws or regulations.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12–1205. Electronic Versions of Records Scheduled for Destruction Under General Schedules.

A. Description: Electronic versions of records that are scheduled for destruction under one or more sections in the General Records Retention Schedules for Administrative and Personnel Records (sections 12-300 through 12-423), General Records Retention Schedules for Financial Records of State Agencies (sections 12-700 through 12-757), and General Records Retention Schedule for State Colleges and Universities (sections 12-800 through 12-813.10).

Exclusions:

1. This section does not apply to General Schedule sections that pertain to permanent records.
2. The General Records Retention Schedule for Financial Records applies only to state agencies which use the Statewide Accounting and Reporting System (STARS).

B. Retention: After the expiration of the retention period authorized by the general schedules; delete.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.

12–1206. Electronic Versions of Records Scheduled for Destruction Under Approved Specific Retention Schedules.

A. Description: Electronic versions of records that are scheduled for destruction under one or more specific retention schedules approved by each state agency or institution, the State Archives, and the State Budget and Control Board.

B. Retention: After the expiration of the retention period authorized by the specific retention schedules; delete.

HISTORY: Added by State Register Volume 20, Issue No. 5, eff May 24, 1996.