

## Accountability Report Transmittal Form

**Agency Name:** South Carolina Department of Archives and History

**Date of Submission:** August 31, 2001

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**South Carolina  
Department of Archives & History**



**Annual Accountability Report  
Fiscal Year 2000-2001**

**The Honorable James H. Hodges, Governor  
Dr. Rodger E. Stroup, Director**

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# Executive Summary

## Major Achievements from SCDAH in FY00/01

### South Carolina State Historical Records Advisory Board State Plan

Completed, published, and distributed widely a strategic plan for the preservation of and access to the state's historical records, *Into the 21<sup>st</sup> Century: A Plan for South Carolina's Historical Records, 2000-2005*. The plan was developed after extensive information gathering and citizen input by the SC State Historical Records Advisory Board, which is staffed by the Archives and Records Management Division. The follow-up on the plan during the year included:

- The work of five Division teams tackled the need for improvements in such areas as records management training for state and local government officials, automating access to the Department's massive collection of microfilmed records, setting priorities for the retention and disposition of records in state agencies, policies on the development of finding aids to state and local government archival records, and identifying key topical areas in need of documentation.
- Established two advisory groups, Summit Group of Historical Repositories and Organizations and Local Government Records Advisory Council, to assist in addressing strategic plan objective concerning non-government and local government records
- The Archives and Records Management Division also hosted the annual meeting of the National Association of Government Archives and Records Administrators.
- **15,047 contacts** with state and local government officials regarding records management and **over 23,000** with the general public regarding the Archives' holdings of historical records, well over half of which were on-site visits to the SC Archives and History Center.
- This year was the first time that e-mail requests for information from our holdings exceeded those by telephone and regular mail.
- Over **17 million pages** of historically significant records were **transferred** to the **Archives** from state and local government offices for permanent retention, nearly **47 million pages** of state agency records were **transferred** to the **State Records Center** for limited term storage, nearly **700,000 pages** were **microfilmed** for preservation, and more than 126 million pages of state and local government records were authorized for destruction, maintaining levels of activity in all these areas consistent with those of recent years.
- Working with state and local government in setting retention limits for records and providing storage for inactive, limited term, records from state agencies in the State Records Center resulted in the **cost avoidance to the State of more than one million dollars**. The **microfilming and records center storage services** provided by the Archives and Records Management Division are about **74% of that in the private sector**.

### Publication of Task Force Report

In November of 2000, Governor Hodges endorsed the publication of Investing in South Carolina's Future by Preserving Our Past: Report of the Governor's Task Force on Historic Preservation & Heritage Tourism. This report was a collaborative effort of our agency with the Palmetto Trust for Historic Preservation and PRT. The report identifies four broad categories of actions that address the concerns expressed in eleven public forums held in FY 99/00, and which were representative of 42 counties in our state. Although state budget shortages have severely impacted our ability to move forward on much of the recommendations, we have accomplished the following: drafted legislation that will create a State income tax credit for the rehabilitation of historic buildings, initiated a study of the economic impact of historic preservation in the state, and began a collaboration with the SC Chapter of the American Planning Association to produce a technical guide to help local governments incorporate historic preservation into their comprehensive plans.

### **Historical Markers**

More than doubled the number of Historical Markers approved, by improving the cycle time of the process.

### **Partnerships with Other State Agencies and the Private Sector**

The following collaborative efforts have led to increased efficiency and effectiveness for our agency and its partners.

- Through our collaboration with the Department of Health and Environmental Control's Office of Ocean and Coastal Resource Management and the Department of Natural Resource's Heritage Trust program the site of the Colonial Village of Childsbury on the Cooper River in Berkeley County was preserved for the citizens of the state as a heritage preserve.
- During the fiscal year we negotiated an agreement with the South Carolina Department of Transportation (SCDOT) that has provided funds for another position on our historic preservation staff. This additional staff member has allowed us to reduce our review time for the impact of proposed SCDOT projects on historic properties. It has also allowed us to become involved at an earlier stage in the planning of projects and to make more on-site visits, enhancing the efficiency and effectiveness of the review process.
- We also initiated a project with the South Carolina Department of Parks, Recreation, and Tourism (SCPRT) to identify and record historic properties in the South Carolina Heritage Corridor. Beginning with a pilot project in Anderson County, Archives and History, SCPRT, and the local government will each provide 1/3 of the funds to carry out a survey of the historic properties in the county.

### **Educational Outreach & Publishing Services**

- Over **7,500** school age children reached through educational outreach a part of National History Day programs.
- Over **3,700** persons reached through agency's speakers bureau.
- **\$132,223** saved through agency design and typesetting for FY 00/01 publications.

### **Mission/Values**

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

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

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

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

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

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

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

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

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

## **Key Strategic Goals**

Having fulfilled the 1997-2000 Strategic Plan, this past year the Archives continued by deploying a new Strategic Plan whose implementation runs from late in 2000 to June of 2004. Our vision, as stated in our plan, is to be the leader in preserving and advocating the state's documentary and cultural heritage, and serve as a model for the nation's other state historical institutions and organizations. Major goals of this plan are as follows:

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

## **Barriers/Opportunities**

As we move toward the deployment of our 2000-2004 strategic plan, we are faced with some key barriers, which include:

- Lack of funds to fulfill the core mission of the agency because of recent budget cuts.
- Awareness by those in state leadership roles to understand our agency's role as a vital component of the preservation of the state's history and heritage.
- Inadequate salaries make us unable to retain qualified employees. In connection with this is the fact that no longer is state employment seen as a secure job free from possible layoffs. Since 1990 this agency has undergone 3 forced downsizing episodes resulting in loss of job security. The sense of job security used to make up for the lack of remuneration, but no longer.
- Rapid increase in the use of technology is creating expectations of the agency that we will not be able to meet. This is both a funding issue as well as a perception issue. With adequate funds we could certainly do more technologically, but would probably not be able to meet the "instant gratification" that some patrons may expect.
- Major challenges in dealing with state and local government electronic record keeping. Challenges range from lack of staff expertise to having funds to deal with the costs of preserving and providing access to historically significant electronic records.

In addition, a enormous opportunity lies ahead in our ability to expand on the initiative from both the Governor's Task Force on Historic Preservation & Heritage Tourism, and the South Carolina

Historical Records Advisory Board's (SC SHRAB) planning. These two groups are crucial in order to instill in citizens and communities the importance of preserving, studying and enjoying their heritage. Implemented budget cuts for FY 01/02 will decrease the amount of funds available for historic preservation grants by approximately **\$100,000**. Ironically, before the cuts, South Carolina already lagged behind other Southeastern states in State funds for historic preservation grants, and this was identified as a top priority by the Governor's Task Force. In relation to this, increases in calls and requests for information; visits to our website; attendance at workshops and conferences; and the number of communities that have adopted historic preservation zoning ordinances reflect a growing concern about preserving historic properties in communities across the state. There is also more awareness that the preservation of historic buildings and districts can contribute to downtown revitalization and heritage tourism as well as maintain the unique character of our communities.

Finally, our citizens are becoming increasingly aware that historic preservation plays an important role in **Smart Growth** policies. Reuse of existing schools and adapting historic structures in already developed areas, decreases the need for expensive new infrastructure construction in outlying areas.

Budget cuts for FY01/02 have also resulted in our inability to come up with matching funds for a three-year regranting project for historical local government and private sector records. The total loss of potential federal funding was **\$171,000**.

The same budget cuts have forced the Department to rely more heavily on revenue earned from microfilming. As a result, the Department will have to reduce and/or eliminate its preservation microfilming of at-risk records in order to seek paying jobs (which are not high priority historical materials) and directing earned revenues to supporting other basic ongoing agency operations. This has forced us to sacrifice saving older records through microfilming in order to pay for such other agency needs such as computer-related support and archival supplies, which should be covered by General Funds. Our ultimate goal from earned microfilming and duplication revenue should be to preserve/conservate older at-risk records, duplication of thousands of deteriorating microfilm rolls in our holdings, and replacement of aging equipment.

We will continue to be challenged to balance and prioritize the needs of our customers using our available resources; collaborate with our federal, state, and local government partners to enhance our outreach efforts and eliminate duplication and, to continue to evaluate and improve upon our products and services.

As illustrated by the sections of the Accountability Report which focus on the Baldrige Criteria we continue to show progress towards accomplishing our vision by focusing on customer needs, efficiency and effectiveness, and measuring our results. During 2001 the agency worked toward the creation of a Balanced Scorecard, which will assist the Archives by more accurately measuring our strategic direction. We are accomplishing this by partnering with JOHN de la Howe School's Director of Organizational Development, Terri McGee, who is leading our Executive Management team through the Balanced Scorecard development process. Details of this process appear later in the criteria of this report.

In alignment with our strategic and annual plans, the agency has continued to improve and develop in our outreach activities to state and local government agencies, schoolteachers and children, citizens concerned with the preservation of their communities, and visitors via the

Internet. The results described herein will reinforce this progress and illustrate our dedication to the agency's mission.

Although our results will be reported less programmatically this year based on the Baldrige model, three primary program components do exist in our agency: Archives and Records Management, Historic Preservation; and External Affairs. We will illustrate how we strive to manage a well-balanced agency along with customer and staff needs, we will highlight processes in these programs as well as important ancillary services we provide for our customers.

## Departmental Demographics and Information

**Overview:** Like the state it serves, the South Carolina Department of Archives and History has a rich heritage; it is the third oldest state archives in the United States. The present department grew from the South Carolina Historical Commission in 1905; however the earliest origins of public record keeping date back to colonial times. Over the years, the Archives has continually expanded its programs and services. Today, the Department of Archives and History serves as an archivist and educator, and helps preserve South Carolina's historic structures.

**Responsibilities:** The principle responsibility of the South Carolina Department of Archives and History is to preserve and promote South Carolina's state history. To accomplish this responsibility, the Department houses one of the most comprehensive archival collections in the nation, spanning more than 300 years. The collection offers the public full access to the permanent historically valuable records of the state from the colonial period into the twentieth century. The department's reference room is one of the most used in the country, and open more hours per week (62.5) than any other state Archives in the nation.

**Workforce:** The Department of Archives and History has 86 state funded positions and 11.5 positions funded from other sources that are full-time and three part-time. All of the employees work at our Parklane location with the exception of 4 FTE's located at our Record Center on Laurel Street. The educational background required for employment varies from a high school diploma for support functions to Bachelor's Degree, however, due to the unique functions of many areas within the department, Master's Degrees may be a preferred qualification. Eighty Eight percent of our staff have some college, with 50.54 percent having a bachelor's degree and 29.03 percent having a Master's and or Ph.D., 11.83 percent have a high school diploma or equivalent. An overview of staffing is charted below to show years where we had budget cuts and shifts in staff funding levels:

**SCDAH Overview 1986-2001 Employees**

	<b>Occupied</b>	<b>State Funded FTE</b>	<b>Other Funded FTE</b>
7/1/86	119	118.5	5.0
7/1/92	110	116.5	8.0
7/1/96	95	91	12.5
7/1/01	89	86	11.5
1986 vs. 2001	-25%	-28%	+130%

**Facilities:** The South Carolina Archives & History Center is a state of the art archival and research facility for the state of South Carolina. It houses more than 300 years of the state's priceless historical documents and records. The building at **8301 Parklane Road**, serves as the home for the South Carolina Department of Archives and History, the state agency responsible for the care and safekeeping of the state's historical documents and is an unmatched resource for visitors seeking information on South Carolina history, genealogy, and historic preservation and document conservation. In addition, our **State Records Center** is located on **1942-A Laurel Street** and houses nearly 90,000 cubic feet of records from state agencies. This location provides low cost storage of inactive state agency records, reference service as requested by agencies and arranges for the disposal of records once deemed no longer needed as per the records schedule.

## Appropriations/Expenditures Chart

### Base Budget Expenditures and Appropriations

Major Budget Categories	99-00 Actual Expenditures		00-01 Actual Expenditures		01-02-Appropriations Act (Includes Base Reduction)	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	3,120,649	2,810,901	3,307,453	2,897,195	3,113,977	2,669,063
Other Operating	1,741,237	1,309,696	1,645,933	1,354,412	1,778,849	1,080,034
* Special Items	1,365,000	1,365,000	1,400,000	1,400,000	25,000	25,000
Permanent Improvements	0	0	0	0	0	0
Case Services	0	0	0	0	8,253	8,253
Distributions to Subdivisions	329,773	0	248,947	0	419,450	0
Fringe Benefits	794,770	717,891	889,775	777,565	830,261	711,963
Non-recurring	63,961	63,961	40,041	40,041	46,041	46,069
<b>Total</b>	<b>\$7,415,390</b>	<b>\$6,267,449</b>	<b>\$7,532,149</b>	<b>\$6,469,213</b>	<b>\$6,221,831</b>	<b>\$4,540,382</b>

### Other Expenditures

Source of Funds	99-00 Actual Expenditures	00-01 Actual Expenditures
Supplemental Bills	57,874	40,041
* Capital Reserve Funds	1,365,000	0
Bonds	0	1,400,000

\*FY 00

Cleveland School Memorial	50,000
Sumter-Maysville School	315,000
Charleston City Courthouse	1,000,000

**Customers:** The South Carolina Department of Archives and History serves a wide array of customers to include the following segments:

- Owners and managers of historic properties
- Local governments and regional council of governments
- Local history and historic preservation organizations
- Professional consultants( architects, contractors, archaeologists, etc)
- Statewide history and historic preservation advocacy organizations
- Federal and state agencies
- Citizens from South Carolina, other states and international researchers and amateur historians
- Archives Commission
- State and National foundations
- Volunteers
- Northeast business Community
- Historic Records Repositories
- Teachers, Students K-Graduate School
- Posterity so that we may preserve for tomorrow's generations.

### **Suppliers**

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

### **Major Services & Products**

#### **Archives & Records Management**

- Technical assistance and services to state and local officials in the management, preservation, and disposal of public records.
- Identification of historically valuable state and local government records ensuring transfer to the Archives for preservation and/or proper maintenance in state and local government agencies.
- Review and approval authority, per statute, for the destruction of state and local government records.
- Provide for public access to the State's Archives.
- Microfilm state and local government records and provide secure climate-controlled storage for original microfilms of historically valuable records produced by public and commercial microfilm service bureaus.
- Conservation advice and services for the proper preservation of historical records.
- Collaborate with other state agencies, local governments, and other organizations, in activities and projects supporting the improved management and preservation of SC public records.
- Assist State Historical Records Advisory Board (SHRAB) in statewide historical records planning, grant, and other activities.
- Increase public's awareness of the importance of SC's historical records and the services of the Archives and the SHRAB.

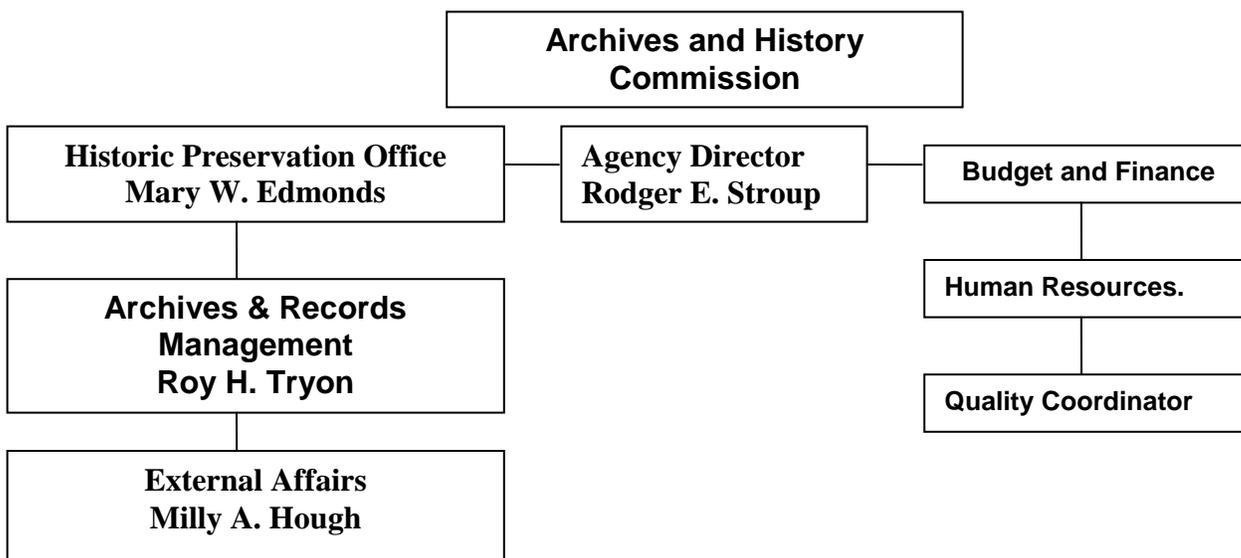
## Historic Preservation:

- Identify, record, and evaluate South Carolina's historic properties.
- Nominate significant historic properties to the National Register of Historic Places.
- Automate information about historic properties, making it accessible to local governments, state and federal agencies, citizens, and agency staff.
- Provide financial assistance for the stabilization and weatherization of historic buildings.
- Provide financial assistance for preservation planning and education projects.
- Encourage the revitalization of South Carolina's downtown and neighborhood areas through historic preservation.
- Encourage local governments to protect their historic properties by adopting historic preservation zoning ordinances and by attending rehabilitation training.
- Encourage the preservation of historic properties through reviewing and commenting on federal and state construction projects.
- Increase awareness of the state's historic properties and the historic preservation services of the Department.
- Cooperate and collaborate with local historical societies and professional organizations to promote state and local history and historic preservation.
- Sponsor conferences and workshops to promote state and local history and the programs and services of the agency.

## Education & Publishing

- Develop and implement education programs for adult and student audiences that not only highlights the documentary holdings of the Archives, but facilitates access and encourages use of the collection.
- Promote school participation in the National History Day competition in South Carolina.
- Encourage collaborative programming with related state and local institutions and organizations.
- Research and publish historically accurate materials to enhance the study of South Carolina history and its records.
- Maintain a cost-effective publications program.

## Organization Structure



## 1.0 Leadership System

### 1.1

The senior leadership team at the SC Department of Archives and History plays a fundamental role in steering the agency toward the accomplishment of our goals, monitoring performance results and removing barriers so employees are able to provide efficient service to our customers. Dr. Rodger Stroup has been Director of the Archives since 1997. His senior leadership team is composed of the State Archivist, Roy Tryon, Deputy State Historic Preservation Officer, Mary Edmonds, and External Affairs Director, Milly Hough. Under their guidance, they enable our staff to accomplish the vision, mission and goals necessary to move our agency forward.

The senior leadership of the agency through the strategic planning process sets the agency's vision. The process used to set the vision entails this group analyzing where our agency currently stands as compared with organizations with similar missions, and what we should then strive for in terms of our future course. It is our vision for our agency to accomplish the following:

*The SC Department of Archives and History will be the leader in preserving and advocating the state's documentary and cultural heritage, and serve as a model for the nation's other state historical institutions and organizations.*

This leadership team is also vital to establishing our strategic direction and linking this to their annual plans so staff understands the activities that must take place to accomplish our annual objectives and long term goals. Results are currently monitored through the management teams within each division, and bimonthly meetings by senior leadership to monitor/track agency performance.

We are currently partnering with John De La Howe School's Terri McGee to assist in facilitating our Balanced Scorecard development for the agency. We have needed development of improved strategic measures and monitoring, and this process will provide that opportunity. The Executive Management team and Quality Coordinator, using our strategic plan goals, met to discuss and brainstorm essentially "how will we know?" if Archives was meeting each strategic goal. Once completed, the senior leaders looked for what correlation could be drawn across the measures. The information was deployed to the next level of managers and supervisors in our quarterly Managers Forum meeting for additional input and editing. We plan full deployment to take place to all staff using our staff meeting for a general overview, then division level meetings for deployment of more detailed information and Baldrige training in Fall FY 01.

As stated in last year's report, agency leadership are consistent in the methods used to involve all employees in assessing what values we should adhere to in accomplishing our vision, mission and goals. Leaders plan for facilitated staff focus groups when developing our strategic plan and involve key stakeholders feedback in deciding how agency program plans will best meet the needs of constituents and available resources. Monthly staff meetings are used for our agency Director and executive managers to deploy key decisions, data, customer service issues, service delivery enhancements, and policy updates. Interim meetings are called to disseminate critical information to staff when needed. This past year's budget dilemma was one such example where the Director's consistent, open communication was critical. In addition, the entire leadership team continually met with staff to answer questions and concerns, and discuss options related to potential downsizing.

## 1.4

Every eighteen months, anyone in a leadership position at the Archives is evaluated by their staff on (Staff Assessment of Management Survey) five key areas to include Leadership, Communication/Flexibility, Innovation/Planning, Problem Solving/Decision Making, and Organization/Time Management. Leadership is open to receiving the perception of staff on their performance and make plans for self-improvement based on the results and face-to-face feedback sessions. Comparative data has been provided to agency leaders for the last three SAMS cycles covering a span of 6 years FY 96/97 through FY00/01. This mechanism provides leaders fairly consistent information so they can see if their performance improvement plans have been perceived by staff to make a difference. Overall, the SAMS process has been in place for ten years. Results are reported in section 5 and 7 of this report.

Leadership continually evaluates whether we abide by the principles agreed upon in our strategic plan, through monthly meetings of the agency's Quality Steering Committee. Our steering committee is composed of senior leadership, four staff representatives, and the agency's Quality Coordinator. The essence of this committee's discussions touches on all the core principles by focusing on processes of service delivery, customer contact and feedback, cross-functional teamwork, resource utilization, performance expectations, employee suggestions for improvement, and reward and recognition. Outcomes of these meetings are deployed utilizing several approaches. One approach which employees rely on heavily is the production of meeting minutes posted to our Intranet. Monthly, a message goes out that to notify employees of the posting, which informs employees of the major discussions, and decisions that take place each month. At a more micro level, senior leaders are assigned as liaisons to our chartered improvement teams, and assist by removing any barriers the teams may encounter or by acting as a conduit for information flow.

Agency monthly staff meetings are another mechanism for deploying decisions made by the leadership team, and promoting agency-wide learning. At each staff meeting the agency director asks a staff person within the agency to give a presentation on their function within agency, which may include, the customers they serve, challenges they face, improvements they have made and collaborative effort with outside partners. The agency is updated on decisions that effect the entire staff, as well as cross functional work that is being accomplished that affects our customers or processes within the department.

## 1.7

Because advocacy and outreach are of primary concern to our agency, those in leadership positions are heavily involved in professional (national and local), and community organizations. This not only provides us opportunities to advocate our interests, but learning opportunities and stakeholder feedback as well. Agency Director, Rodger Stroup actively participates in professional and community organizations. Some of the organizations he provides leadership to include: the American Association for State and Local History, SC Heritage Trust Advisory Board, South Carolina Hall of Fame, National History Day, SC Executive Institute Alumni Board, and Rotary Club of Columbia. Additionally, Dr. Stroup checks our public reference room to talk with researchers, and often constituents stop by and ask directly for his help with historical documents and artifacts. Our State Archivist, Roy Tryon is involved in many organizations to include: the National Association of Government Archives and Records Administrators (NAGARA) as editor of its newsletter and hosting its national conference this year, he is on the board of the Deputy Directors Organization, is the Chairman of the State Historic Records Administrators Board (SHRAB) ; and member of the Council of State Historical Records Coordinators (national). The involvement of all

professional staff in like organizations, and cross-functional government agency task force & teams, also ensures that we are collaborating on important efforts that strengthen the overall ability of all these organizations to perform their missions for their stakeholders and for Archives to identify future opportunities for improvement.

The Archives staff also shows leadership within our key communities to include organizations such as: The United Way, Red Cross, First Ladies Walk for Breast Cancer, Good Health Appeal, and Literacy. Each year we have seen a voluntary increase in our contributions to these organizations. We are now holding semi-annual blood drives at our agency because we are no longer in the downtown area in proximity of the Red Cross. Our leadership team encourages our employees to continue donating blood, knowing it provides an important resource to our community and minimal disruption to daily activities. Annually, we participate and support the First Lady's Walk for Breast Cancer. Our employees not only give financial support, but also due to loss of staff members to this disease have a personal tie to supporting this effort and give this Saturday each October to remember our friends. In addition to these other efforts within the agency, we also recycle paper products in an effort to decrease the amount of waste that goes into our community.

Although we do not have developed performance goals for public health and safety, leadership approaches wellness and safety in a proactive manner and engages in activities that promote the wellness and safety of our staff and patrons. In coordination with the Red Cross, our leadership team encourages volunteers from the agency to be certified in CPR and First Aid as a first line of defense for emergencies. We ensure that all equipment is present and updated as needed. The agency ensures that all employees driving state owned vehicles have taken defensive driving, and that all staff have been educated on OSHA regulations through the Department of Labor, Licensing and Regulations Hazardous Communications course.

The SC Department of Archives and History has a strong and open culture. It has experienced incredible strides in leadership styles since 1988 when it became one of the pilot agencies for implementation of continuous improvement in state government. Since that time, our leadership team has led the way for our agency to be open to change, customer centered, and performance driven.

## 2.0 Strategic Planning

### 2.1

As stated in the Executive Summary, Archives has successfully deployed its new strategic plan that runs from December 2000 through June of 2004. Although the development phase spanned FY 99 and FY 00, the agency used a wide variety of data, feedback from various customer segments including staff, and multiple levels of management for development and deployment of the new plan. In examining the multiple sources of feedback gained in our planning process, the planning team is able to stratify information by customer segments and natural relationships of comments. Through this process, we gain information on customer expectations, financial opportunities and concerns, human resource information, operational challenges and collaborative opportunities. It is on this foundation that we form our goals and strategies for the future.

#### 2.1a.

The Department of Archives and History has a consistent approach to gaining feedback using multiple approaches, and a wide variety of internal and external customers. Groups involved in giving us direct feedback through focus groups and surveys included all staff members, and external groups such as educators, retailers, commissioners, historic preservation organization leaders, government partners, donors, and researchers, and 421 citizens representing 42 counties of the state. The outcomes of the stakeholder analysis let the strategic planning team gain an accurate depiction of areas in critical need of development that impact our mission, therefore leading to our current goals and strategies in the new plan. Examination of internal feedback depicts for our entire management/supervisory team where our focus will be on cultural issues, human resource systems, and opportunities for improvement of systems and processes that affect service and product delivery to include cost of service delivery.

#### 2.1b.

As the planning team examines all the data gained in the planning process, it pulls information that will impact our agency financially and presents challenges and risks our agency will be faced with. Looking forward and facing what has now become our current budget environment, the planning team considered how we could continue to plan for maintaining current levels of service, look for opportunities to increase revenue, develop new programs, stay on target with technology initiatives, while losing state appropriations. Looking for opportunities for internal and external partnering to maximize our ability to meet customer needs is one approach to development of our current strategies. Another opportunity the agency seized was through the involvement of our Archives Foundation Board. After our agency had developed its strategic plan, our Agency Quality Coordinator worked with the Foundation Board to develop their strategic plan. The Foundation Board was taken through a process whereby they identified areas they could support and make an impact on, within the agency plan. One of the key opportunities for this customer group was to develop strategies complementary to the financial needs and critical support functions within the agency. Using this approach we hope to fortify the financial challenges that lay ahead.

#### 2.1.c

To meet the future service demands for our agency, the planning team utilized information from consultant's reports, the Governor's Task Force on Historic Preservation town meetings, customer comment cards, conference focus groups, and the staff SWOT analysis to develop human resource strategies. The Executive Management Team, Human Resource Manager, and affected agency managers/supervisors look at current service levels and the staffing levels needed to maintain service delivery and then develop strategies to address these needs. Our Human Resources are what links us to the accomplishment of our mission and therefore we consistently

develop a Human Resource goal in our Strategic Plan. Because of our veteran workforce we know our future holds challenges with the possibility of losing great corporate knowledge and skills. We are challenged with an opportunity to develop a long-term workforce plan that will assist us in being able to accomplish the strategies in our plan.

#### 2.1.d

Once again, the Archives uses multiple sources of data to look at current operational capabilities through tracking and trending how we meet our mission and its mandated and ancillary functions, and combines this with customer data to develop strategies in our plan. As part of daily operations data is tracked and monitored to see how the agency is maintaining service levels. Managers meet with staff to discuss how customer needs are being met, any challenges staff and customers are facing, and then strategize how to handle opportunities that exist. With these multi-levels/multi-sources of feedback we can ensure that our agency's focus aligns with the goals and strategies of our Strategic direction as well as annual operational plans for each division.

#### 2.1e.

When in the preliminary stages of planning for our strategic plan, the executive leadership team along with key staff members, develop groups of constituents to involve in a formal SWOT analysis. This a primary method for obtaining feedback from suppliers and partners. In addition other formal and informal information is gained through methods such as focus groups, scheduled town meetings, workshop/conference evaluations, surveys, consultant's reports and e-mails to staff. It is from all of these sources that the planning team analyzes and prioritizes the data so we can make decisions on what information will assist us in developing strategies for mandated functions and our ancillary services.

#### 2.2

Each year annual plans are derived from the strategies in the strategic plan. Natural work teams, cross functional work teams, division operating units all conduct annual planning to ensure that activities are in alignment with our strategic direction. Progress is currently monitored at the division operating level through management team meetings, and staff level planning meetings. Currently we are working toward the challenge of improving our strategic measurement process by developing a Balanced Scorecard and implementation process. As mentioned in the Executive Summary, Archives is partnering with John De La Howe School to develop our Balanced Scorecard process. Working with their agency's Director of Planning and Development Terri McGee we will improve tracking of progress at a higher level, and to be able to communicate more effectively with staff how we are progressing as an agency. Thus far the process has helped us develop performance measures targeting cycle time, resource utilization, customer satisfaction, cost avoidance, increased access to our collections, and outreach. We have also looked for stronger correlation across the agency's measures to depict our outcomes more effectively.

#### 2.3

The Archives deploys the strategic plan to all agency employees, as well as patrons of our products and services, and our government partners. This fiscal year we spent three months developing our deployment approach and presentation to staff. It was important to agency leadership that we convey to our employees how they each take part in the accomplishment of our agency's future.

Involving all agency directors, and fourteen staff members from multiple levels within the agency, we embarked on a team process of identifying current examples and future plans that illustrate the

actual goals and strategies within the new Strategic Plan. To better make the connectivity, we had designated staff take digital images of staff working to help illustrate the connectivity to our goals and strategies. By having pictures of agency teams, staff working with various constituent groups, employees conducting outreach activities, and depictions of the daily grind, we were able to align the images with our words to reach our staff at a different level.

Directors of each of our three divisions deploy annual operational plans at their division level meetings. Utilizing an approach that shows what the current fiscal year will bring in the way of work demands, the directors also explain how these plans align with our current strategic direction. The ARM action plan has been communicated to state and local government through our on the Record newsletter and the entire copy of the SC SHRAB state plan was mailed /handed out to over 1,500 people last year, the summary to hundreds more, including state and local government, historical societies, professional organization members, et.al. Our ARM Director has made formal presentation to to the SC Public Records Association membership regarding their action plan. Currently we are tracking the progress of these plans, and providing updates through newly created advisory groups: Local Government Records Advisory Council, State Government Records Advisory Council, and Summit Group of Historical Records Repositories and Organization.

## **3.0 Customer and Market Focus**

### **3.1**

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

In our Archives and Records Management division, they work on a five-year plan, which is based on customer input, and correlates to the development of the division's annual operational plan.

In Historic Preservation division identifies stakeholders and then rates customers on their need for and use of our services, their ability to advance goal attainment, and their ability to block goal attainment. As a result, a list of stakeholders is developed and as the division creates their annual plans they not only know who the stakeholders are, but how they will need to work with each group so the goals of the division and agency are met.

### **3.2**

Archives considers determining customer requirements an ongoing process. One of the primary sources for determining our customer requirements is through the internal and external scan when developing our strategic plan. As stated in the strategic planning section we have involved all staff members, educators, retailers, commissioners, historic preservation organization leaders, government partners, donors, researchers, and 421 citizens representing 42 counties of the state. This along with data from customer surveys, interviews, educational seminars, participation in national and local organizations, publications, memberships and website are all mechanisms for determining the expectations and longer term needs of not only current, but former and potential customers as well. Our ARM division held focus groups with state and local officials, conducted a major survey of local officials and employed consultants to evaluate our programs.

In order to develop a more consistent approach to determining key customer requirements, we have deployed customer comment cards in three areas of the agency. Our Reference Room, Conservation Lab and Facility Rental areas have all implemented this means of tracking customer comments. We also track the registration of reference patrons so we can determine who key customers of our collections are and plan for opportunities to meet their access needs, educational and informational needs.

### **3.3**

As stated in 3.2 we have developed and implemented new customer feedback cards for Reference and Conservation services as well as facility rental customers. This has provided some specific information on the service provided to include turnaround time of the service/product, accuracy of information received, and staff helpfulness. Since being implemented this year, this information will be used as a future mechanism of consistent feedback and will assist us to address any potential opportunities in an expeditious manner.

As we see more people visiting our website, we have also provided direct contact with staff names and numbers and e-mail addresses listed on the website. This has increased our ability be more

effective in getting our constituents directly to the employee managing a specific service or process. It has also given the agency another source for gaining customer feedback more directly as it relates to the staff member providing the actual service.

### 3.4

After receiving and consolidating information from the Governor's Task Force on Historic Preservation and Heritage Tourism and having heard directly from over 421 constituents in more than 104 communities in our state, we are more knowledgeable of our customer requirements. These requirements range from what should be preserved in our state, education, tax credits, state and local government leadership, needs for financial assistance for preservation, heritage tourism product development, cooperation and partnerships, signage and visitor services, and keeping South Carolina beautiful. Although not all issues are primary to the Archives, it has given the agency data on where to collaborate with our partners at DOT, PRT, Palmetto Trust and local organizations.

Our SC State Historical Records Advisory Board's plan involved over 1,000 people to determine customer requirement and priorities for input into the development into the SHRAB plan.

The Archives has developed many opportunities for education in response to our customers needs. The demand for additional grant funding has made the grant process very competitive and elevated in importance to our stakeholders. Since our grant funding has been reduced, we have developed workshops that educate this customer group on our grant program and other available programs within other state agencies that they will qualify for. Partnering with other agencies we teach how to conduct national searches for potential grants, and assist with how to write a grant. We make all of our regional representatives available to the attendees, and hold roundtable discussions to answer questions directly.

We have also seen a need for more outreach to local historical societies to facilitate better long-range planning, and have provided our Quality Coordinator to assist these local groups in their planning efforts. This past year we have facilitated strategic planning for the Camden Archives, and the Historic Columbia Foundation.

In Archives & Records Management we continue to provide training to state and local government agencies on records management issues, and work collaboratively with the SC Public Records Association to address training issues. This past year we evaluated ARM training plans based on customer input and our now implementing changes: e.g., regional workshops and web based training.

Furthermore, the agency addresses our customers' questions, needs, and concerns by producing free written material and guides. Each division keep customers informed of policy changes, local and national legislative changes, product development, process changes and service improvements through our newsletters: *On the Record*, *F.Y.I.*, and *Currents*. Since redeveloping our website we've increased accessibility to descriptions of our collections on the site, advanced search capabilities, improved access to information, user friendly format, and service and product requests with e-mail information request forms and direct links to staff. In May 2001, we implemented e-commerce by selling publications via the web. Customers can now purchase publications and request and pay for their research orders over the website. As you will see in section 7 of this report, we have been overwhelmed by our constituent requests over the Internet, and are challenged to meet service delivery in this area based on staffing constraints in this area.

### 3.5

Utilizing formal and informal data collection methods, we are able to measure customer satisfaction with our products and services and improve processes based on feedback. As mentioned in 3.2, we have developed and implemented customer comment cards that assist us by tracking general satisfaction levels with service and product, as well as specific customer information. In 7.0 we will report results from this information, however we have received very high marks for our services and products in our Reference Room, Conservation Lab and Facility Rentals based on these new forms. Conferences, workshops and outreach activities, both on and off site are not only evaluated by attendees, but also by staff. After each outreach activity, key staff members involved in the planning of the event evaluates lessons learned to improve future sessions.

### 3.6

Customer contact and advocacy of our services to the public is key to the way we operate at the Archives. We have a large volume of public contact through our Reference Room, events held in our meeting spaces, conferences, and workshops. Although customer satisfaction with our products and services are consistently at or above the “good or excellent” rating in all areas of the agency, we continually develop staff skills in the area of customer contact. Staff development has taken place on skills critical to handling customer contacts appropriately. Leadership continually reinforces high expectations for all customer contacts, and includes the concept of customer through our values and strategies in our strategic plan as well discussions at our staff meetings, in our employee recognition criteria, and orientation.

Archives and Records Management bases planning and service decisions from the results of surveys from state and local government agencies, statewide private repositories, reference room patrons, consultant evaluations and focus groups. The results have provided the direction for ARM long-range plans, SC Public Records Association activities, and the State Historical Record Advisory Board (SHRAB) and helps build stronger relationships among these stakeholder groups by working in collaboration. In addition two new advisory groups were formed this year as a result of new customer requirements. These groups are the Summit Group of Historical Records Repositories and Organizations and the Local Government Records Advisory Council.

The department recognizes its customers in the excellent work they do to advocate the preservation and conservation of our documentary and cultural heritage through a customer awards process. Our Archives and Records Management Office has an award process to recognize those state and local government agencies that excel in records management and have developed innovative practices. Our Historic Preservation Office in collaboration with SCPRT, Palmetto Trust for Historic Preservation and the Governors Office gives annual preservation awards recognizing individuals, businesses, and architects for projects that have used outstanding preservation techniques. This office also works with the SC Confederation of Historical societies to recognize individuals and organizations for outstanding programs and projects relating to the states history and heritage. The department has found that recognizing our partners and communities for their excellent contributions strengthens our relationships and enables us to better perform our mission.

Being a highly utilized public institution that provides mandated and non-mandated services for citizens within and outside the borders of this state, it is imperative that we build loyalty and a positive relationship with all patrons of our services by providing an inviting environment with responsive service and information accessibility. We monitor areas that are mandated such as the States Public Records Act but look to build relationships that will increase voluntary compliance to

our records management services. We are a model state Archives to many of our nations comparable state archival institutions, and have built this reputation through a loyal following and positive referral.

## 4.0 Information and Analysis

### 4.1

The South Carolina Department of Archives and History has identified key performance measures that are tracked and reported at the division and agency level. In addition to agency use, the divisions are required to develop strategic plans for the federal government and must remain accountable to our federal partners by reporting performance measures. As mentioned in our Executive Summary and section 2.0, we are improving our strategic measurement process by developing a Balanced Scorecard for our agency. In developing the balanced scorecard, we have begun to see correlations among measures by looking at what we currently measure and what new measures we need, which will make measures more meaningful for internal and external sources.

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

Administratively we measure performance of those areas key to our human resource goals and strategies. Some measures include tracking recruiting and hiring and turnover data so management can monitor and address retention issues. Employee development is monitored to ensure that we are ahead of the curve with regard to professional skill and management development. Since access to information is key to our stakeholders, we track and measure the use of technology by our customers, and this year have surveyed customers to assess their satisfaction, and current and future needs with regard to our website. One key element of note is that over the last 6 years our FTE's have declined 25% while our work volume has increased steadily. Although some of our processes have some flexibility, many do not, and yet we continue to improve our cycle times even with our increased workload.

### 4.2

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

### 4.3

Our performance measures link to our newly developed agency strategic plan 2000-2004, as well as department operational plans and federal plans as well.. We are addressing our opportunities

for monitoring our performance more accurately and consistently at the strategic level, and are currently working on a process that involves our leadership team along with unit level managers in the development of dashboard measures through the balanced scorecard process. Operational plans are monitored closely at the division level and data is used to project performance, as well as monitor effectiveness of the processes. We are slowly but systematically evaluating the effectiveness of the data by looking at how we can measure the outcomes of our processes. Decisions to change or augment processes within the agency are driven by data collection and customer feedback. For example, Historic Preservation programs have seen a steady increase of constituents in need of resources to preserve their local communities. We have started measuring the correlation between those attending our outreach activities to see if there is a correlation to those that apply for grant resources at the state and federal level, as well as those who actually receive the grant. They also have increased the usefulness of our website by adding a county-by-county guide to information available in our inventory of historic places and a directory to historical organizations around the state

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

#### 4.4

At this point our agency uses comparative data to make decisions on services in our Conservation and Microfilm Labs, Reference Room, Records Center, and Facility Rental programs as it relates to costs of services. We compare the cost of these areas to the private sector and other public institutions to remain cost effective to our constituents and ourselves.

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

## 5.0 Human Resource Focus

### 5.1

The management team at Archives utilizes formal and informal methods to motivate employees to their full potential. One underlying element that is critical to our employees is that they have the resources to perform in their functions. Through employee feedback the agency has found that without available resources, employees would not be able to reach their full potential to perform and deliver our services and products in the most cost-effective and efficient methods. Another important function of our entire management team is to communicate effectively to employees. Each work unit holds meetings to monitor work processes, customer feedback and cross-functional teamwork within the agency so we can address issues as expeditiously as possible.

Another method for motivating employees reach their full potential, is through our employee recognition process. Recognition takes place informally and formally at the agency. Our Recognizing Employees Achievements through Peers (REAP) recognition program, recognizes teams and individual employees. Developed in 1997, the REAP program has been evaluated to ensure that it is accessible and understandable to all staff, specific and timely and based on criteria that reinforces principles that further our improvement efforts. As part of the program we built-in a peer to peer process that exemplifies the simple task of saying thank-you. It encourages relationship building between staff members, and the criteria are not limited in any way. The methodology used is in the form of a check in which staff members complete the items i.e., date, pay to the order of "said employee", for, and then sign in the from as their endorsement. This process has been very successful. As reinforcement for all the good work happening within the agency, our Foundation sponsors the "Golden Grit" breakfast in the spring and fall. Not only do we recognize those who received these checks for their good work, but also those who took time to say thank you and sent the recognition.

Archives works continually to provide an environment that is conducive to collaboration, and information sharing, and where innovation and initiative are well employed. Although we have a formal suggestion process that is tracked and monitored by our seven member Quality Steering Committee, and through which teams are chartered, much teamwork takes place at the division work unit level as well.

### 5.2

Training plans for staff members are discussed each year in the employees planning stage meeting with their supervisor. Plans include professional skill development that aligns with the employee's function, as well as quality skill development in the areas of customer service, process improvement, facilitation skills, and leadership. Required elements of training exist in an Agency Training Plan and are modified on an as needed basis when assessments show new skills are needed. As part of those plans Drivers Training through General Services, and Hazardous Communications (OSHA) through LLR are provided to all employees on a regular cycle. In addition through our Quality Steering Committee, Manager's Forum quarterly meeting, and employee staff meetings, we evaluate training needs based on our current service delivery challenges and work environment. For instance, this past year with budget reductions, and RIF's we have made plans to develop more career-related services and financial planning services.

Managers also determine how their unit function within the agency effect's other departments. For instance, our Conservation Lab Manager in the Archives and Records Management Division identified a need for employees in our State Historic Preservation Division and Accessions work unit to know more about conservation practices. Historic Preservation has numerous slides and

photographs of historic properties in our state, and Accessions handles historic documents daily and this historic documentation will not last unless handled and preserved with the correct preservation/conservation techniques.

Technology is critical to overall improvement of processes and our current service delivery and management system, therefore, we have piloted SmartForce E-Learning systems to (50) of our employees. Through this state agency partnership with OIR, this has provided a cost-effective opportunity for the agency to have employees continuing to develop their technical competence at the office and learn new and more advanced computer skills.

When hiring into supervisory or managerial positions, we have been able to show career progression with our existing staff members. Tuition reimbursement is offered to all full time employees who have passed their probation period, and we provide schedule flexibility that will assist our employees with their attendance to college courses. We feel that the investment in employee development not only builds skills but loyalty to our agency.

Employee orientation is an integral process that has been redesigned and implemented this year. Having perspective employees ready to come to work with the information necessary to feel comfortable in their new work environment helps decrease the learning curve once they come to our agency. Once an employee has accepted a position, their new supervisor sends them a packet of pre-reading information about our agency's services, benefits, employee programs and involvement, and a schematic of our office structure. At the same time we assign the new employee an agency sponsor who works outside the new employees work group to introduce the employee to our building, our existing employees, answer questions, and familiarize them to general work processes on a checklist. A letter is sent over e-mail to existing staff letting them know the name, start date, and brief background of the incoming employee. The Quality Office along with the new employees supervisor ensures that the employees workspace is ready with appropriate resources needed to be functional (computer log-on, staplers, tape, pens and pencils, paper clips). On a lighter note, we make a welcome sign, and the foundation provides a candy filled coffee cup. Although we are a smaller agency we know that new faces are difficult to learn, and therefore created a photo directory as a tool on our Intranet. New employees can browse to not only learn names and faces, but more importantly the individual job functions of those many faces. Attention to both the cultural and functional side of orientation has provided a smoother transition into our workplace.

### 5.3

Our agency deploys our Employee Performance Management System using the Universal Review date of June 30 of the fiscal year. Each employee meets directly with their supervisor to receive feedback on their performance from the previous year. Our agency does provide mid-year feedback to employees to establish how they are meeting their performance requirements, barriers employees may be encountering in accomplishment of job duties, and plans for meeting end of year duties and objectives.

The agency plans to utilize OHR in FY 01 for supervisory EPMS refresher training. Based on feedback during our SAMS process, both employees and supervisors feel that our agency needs continuing education on how to write and deliver effective performance evaluations.

### 5.4

Our Staff Assessment of Management Survey (SAMS), is a process that has been in existence at Archives for ten years. Conducted bi-annually as a means to give all staff members a voice on how leadership is performing, and leadership the perceptions of their staff it was administered last in May of 2001. Results have been reported using a method that lets management see comparable results on their performance over the last six years of their tenure, which correlates to the last (3) SAMS assessments. Measures of staff satisfaction with our leadership are tracked by enabling staff to assess identified leadership attributes for their supervisor as well as anyone in their direct line of supervision through the Agency Director. Feedback is separated into direct report and indirect report aggregate scores. The Quality Coordinator gives the scores and comments to each supervisor in a 1-1 meeting, and then natural work teams have a feedback session with their direct supervisor. Overall agency results (not individual results) are deployed to the staff at a monthly staff meeting and posted to our Intranet. Improvement plans are incorporated into planning stages of the our individual manager's Employee Management Performance System (EPMS), and monitored at interim and annual review sessions.

Comments relating to the agency's overall performance are discussed at the Quality Steering Committee meetings and Manager's Forums to prioritize issues, develop and deploy plans for improvement.

## 5.5

Archives seek to provide a safe, secure and healthy workplace for our employees, and our visitors. This year we have implemented the plans developed by chartered teams and which improved agency security measures and disaster preparedness plans. This information was provided to all employees through a mandatory training session by both teams. As mentioned in 5.1 we provide Hazardous communications (OSHA) training to all staff members to ensure their awareness to and maintenance of a safe environment. We also have twelve staff volunteers certified annually in CPR and First Aid to be prepared to assist with any emergencies. Another service we provide annually is the coordination of on-site flu vaccines. We try to promote a healthy environment as well as a service so staff members do not have to wait in the unhealthy environment of a doctor's office. In addition, we are a smoke-free workplace, provide ergonomic equipment to staff members as needed.

## 5.6

As mentioned in category 1.0, the Archives staff shows leadership within our key communities to include organizations such as: The United Way, Red Cross, First Ladies Walk for Breast Cancer, Good Health Appeal, and Literacy. Each year we have seen a voluntary increase in our contributions to these organizations. We are now holding semi-annual blood drives at our agency because we are no longer in the downtown area in proximity of the Red Cross and realize this donation gives life. Our leadership team encourages our employees to continue donating blood, knowing it provides an important resource to our community and minimal disruption to daily activities. Annually, we participate and support the First Lady's Walk for Breast Cancer. Our employees not only give financial support, but also due to loss of staff members to this disease have a personal tie to supporting this effort and give this Saturday each October to remember our friends. Annual book drives help support literacy projects in South Carolina, which in-turn provides support to citizens in our state. In addition, each year members of our staff volunteer to be judges at the History Day competitions at the District and State levels. This is a project where employees can have a direct impact on one of our educational programs and have the combined knowledge and experience to be excellent leaders to our younger generation. Employees also take their personal time to be part of our speakers bureau and travel the state to advocate history to civic/community organizations as well as lecturing at colleges and universities.

## 6.0 Process Management

### 6.1

Work and jobs are designed around support for the key services that help fulfill our agency's mission. Due to agency RIF's in FY 00, the leadership team examined how and where human resources are needed to continue to deliver our core services, to keep the current service requirements and resources needed by a particular unit in fulfilling a missing function. Our agency has positions of a specialized nature such as archivists, historians, conservators, and preservationists. Employees are either moved to another service area, or shared among service areas to fill gaps, and support our current service delivery structure. As explained in 5.0, there is a shared commitment between division directors and staff to ensure that individuals employed have the knowledge, skills, and abilities needed to meet the requirements of the position.

Based on customer feedback we have identified a desire by constituents for South Carolina History to be taught differently and more effectively. Through a collaborative effort with Archives, USC's Public History Program, SCETV, State Park System, State Museum, Drayton Hall, and five school districts to include: Charleston, Dorchester II, Berkeley, Richland II and Greenville, we have submitted a Federal Grant which would help this group in developing an integrated approach for teaching history to SC's students.

Effective use of technology has been a priority in our agency for the past several years in addressing key process design and delivery systems. Our customers continue to expect that we become more technologically adept by providing increased access to our services through our agency web site and providing access to descriptions of our collections. Our collection is publicly accessible 62.5 hours a week, longer than any other state archives in the nation. But we have used technology to design mechanisms for access to information on our programs and services over the web. Our customers can access us 24 hours per day via our web site, and do research on our collection's holdings over this site. This enables citizens within and outside of our state the option of eliminating phone calls and letters and submitting reference requests via e-mail. Employees are also well skilled in the areas of process analysis and teamwork and therefore are capable at working across unit and division boundaries to provide a high level of service, analysis and improvement of key processes and communication of information that is key to our daily operations. Cross-functional teams have worked on process improvement issues and implementation strategies for processes such as: web site design, E-commerce through purchase requests on our web site, customer billing databases, GIS information and access, and electronic record center requests. The goal of these system designs is to delivery service quickly, accurately, and responsively to the broadest audience possible.

Our Historic Preservation division has analyzed the key services it delivers, and has organized work teams around these areas that cut across natural work teams, and involve those staff members that have an impact on service delivery and a stake in the outcomes. Teams include Review and Compliance (section 106), Grants; Outreach; Regional Representatives; and Survey and Registration. The team leaders from each of these groups then meet to form a planning group for the ongoing monitoring and communication of performance, complaint management, and process review.

### 6.2

Archives has shown continual growth in the way processes are managed and improved since its implementation of continuous improvement. We have gone from an agency where formally chartered teams all came through the Quality Steering Committee, to now having natural work teams, cross-

functional committees, and leadership drafting charters for improvement of processes within the agency. All of this is an outcome of our long-term effort to use the results from customer feedback and satisfaction, planning efforts, and performance management to increase the effectiveness of our systems. We produce minutes of our meetings within 72 hours and post all information to our Intranet for staffs access.

Over the past three years the agency has made steady progress in determining our key measures. We have looked at feedback from customers from surveys, consultant reports, SWOT analyses, and focus groups to determine customer needs, and have a solid set of internal and external reporting measures to monitor how we are meeting these requirements. Our Directors of Archives and Records Management and Historic Preservation have both examined the data they collect and have made efforts to finely tune how they collect data to better reflect outcomes, rather than outputs. As mentioned in the Executive Summary and section 1.0 Leadership, we are also examining our strategic measurements by developing a Balanced Scorecard for the agency. As mentioned in 4.0, operational plans are monitored closely at the division and unit level and data is used to project performance, as well as monitor effectiveness of our processes.

We have on-going teams to address and monitor the day-to-day processes in our agency. From the entrance of patrons registering to do research in our Reference Room to the visitors to our gift shop, or facility renters, records management or historic preservation customers our agency has identified process requirements which are tracked by management and employees to ensure we meet the needs of both our customers and agency as well. Our Quality Steering Committee monitors employee's innovations through our employee suggestion process. A Public Programs committee was formed to allow the agency a more coordinated outreach effort to aid in planning and promoting existing and new programs for the public. This committee has been able to enhance communication and cooperation among work groups and state agencies, which has helped us to avoid duplication of effort and confusion about roles and responsibilities. We have also maximized how and what we produce in the area of books and references, by forming a Publications Advisory Committee. The committee composed of archives staff and citizens, has acted as a clearinghouse for potential publications by taking a look at what other public publishing entities are producing, publications policies, and the use of technology (CD's), as a cost effective means of publishing.

### 6.3

One key support process in our agency is the Budget & Finance unit of Administration. This group and effected work units worked together to improve the agency's internal methods for billing processes and was chartered to evaluate our billable services to increase consistency in the billing/invoicing of services. We have implemented improved databases to ensure consistency of information between these billable service areas and our budget and finance office. After charting all methods used by the work units to create internal work orders for budget and finance to invoice customers, there were too many methods being used. As part of this we have identified the elements necessary to meet state requirements, and customer needs for invoicing. Reporting procedures have been deployed between work units for this process, as well as internal policies for reporting, to ensure consistent flow of information.

Another key support process is the administration of our computer system and network. Because we rely heavily on our computer systems, without our two network administrators we would not be fully functional in our building. Each year, our Computer Services manager develops technology plans for needed system upgrades and, targets and prioritizes improvements in our system. The plans are

based on feedback and priorities from our division level managers and align with their operational plans for the coming year.

Our database and Website administrators work to train staff on the most efficient use of shared folders and directories. Our web site administrator developed a training process for key support staff on use of HTML. Designated staff members are now able to directly submit web site ready text that can be put directly onto our site which in turn minimized the length of time it was taking to get new and updated information accessible to the public

#### 6.4

Archives partners with many government agencies and historical institutions to provide services across our state. One of the most important aspects of the development of properties in our state and the preservation of above and below ground resources is through knowing where these historic sites are located. This year alone we added data for 4,899 historic sites to our Geographic Information system (GIS) . This information is imperative to our partners such as SCPRT, SCDOT, SCDNR, for issues of planning for, and building heritage tourism and roadways, and for conservation. It is important to our public partners for economic growth related to development. Along with our partners we identified a need for increased access to GIS information. As a result, we have a computer and printer for GIS use, in our Reference Room providing a manual and training to system users. This has increased access for the public to this system, while minimizing the interruptions to our Historic Preservation staff..

The department has long-standing partnerships with historical organizations. After receiving feedback from our Governor's Task Force forums across the state, we have begun a process of assisting historical organizations in the creation of strategic plans. Through this partnering effort we maximize the use of local resources to collaborate within their own communities to strengthen documentary and cultural preservation efforts, which in turn strengthens our ability to meet our mission.

## 7.0 Results

### 7.1 Customer Satisfaction Results

FIRST YEAR RESULTS: the following information is based on implementation of customer comments cards in three areas of SCDAH. Reference Service Implementation took place in February 2001, Conservation Lab in April of 2001, and Facility Rental in October 2000.

Customer Satisfaction Survey Results for Reference Room Services. Measure reports implementation of mid-year comment cards in Reference Room services. Scale of scores is from a high of 5 to a low of 1.

#### Reference Services Satisfaction Results:

**FY 00/01 Aggregate Customer Satisfaction Rating: 4.5 out of possible 5.**

Customer Satisfaction Survey Results for Facility Rental Services. Measure reports implementation from beginning of FY 00/01 year comment cards in Facility Rental services. Scale of scores is from a high of 5 to a low of 1.

#### Facility Rental Satisfaction Results:

**FY 00/01 Aggregate Customer Satisfaction Rating: 4.8 out of possible 5**

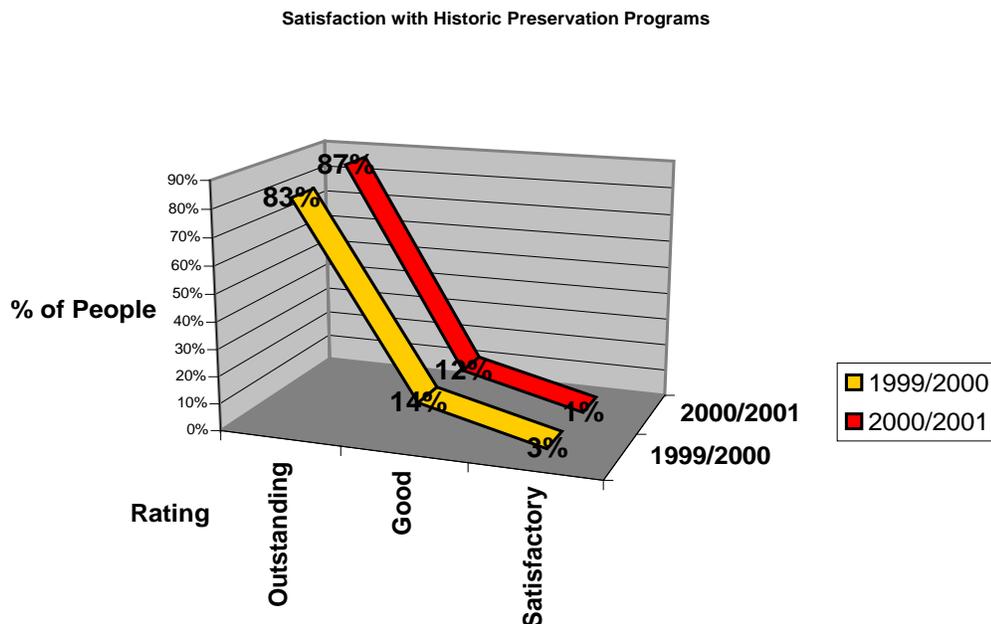
Customer Satisfaction Survey Results Conservation Services. Measure reports implementation from April of FY 00/01 comment cards in Conservation Services services. Scale of scores is from a high of 5 to a low of 1.

#### Conservation Services Satisfaction Results:

**FY 00/01 Aggregate Customer Satisfaction Rating: 4.7 out of possible 5**

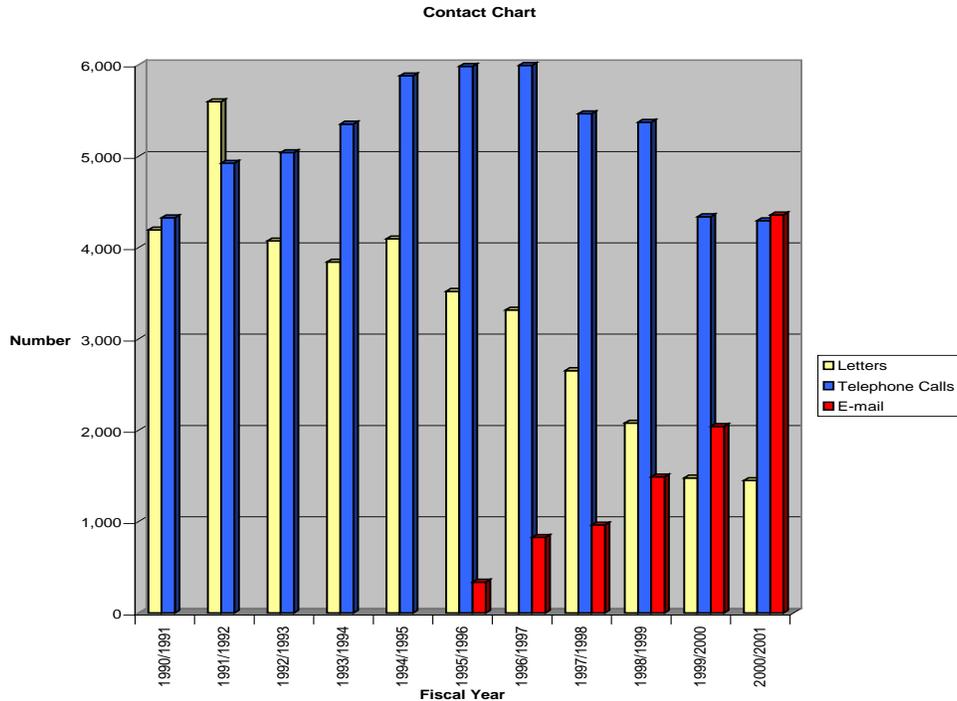
#### Customer Satisfaction with Outreach Activities

**Measure Definition:** Customers completing evaluations on Historic Preservation workshops and conferences.



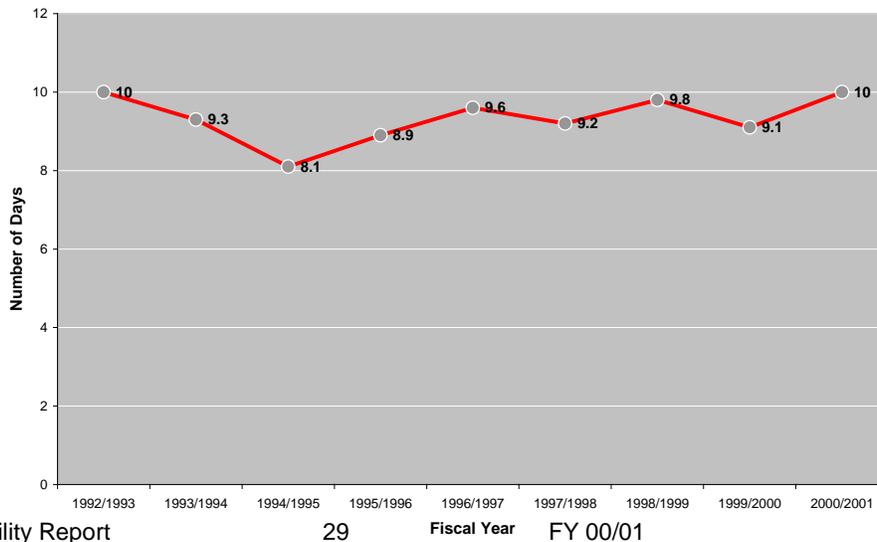
## 7.2 Mission Accomplishment

**Measure Definition:** This outreach measure illustrates a trend that we are likely to continue to see from our constituents. As the number of letters drop, the number of telephone calls increase. As the number of letters and telephone calls drop, e-mail requests increase substantially. These numbers are a direct measure of the use of technology by our constituents. As mentioned in Sections 3.3, 3.4, and 6.1, as we increase accessibility to reference information and the ability to request research queries over the site, the impact of e-mails to reference staff increases. Projections show that in FY 01 we will exceed 6,000 e-mail reference information requests.



**Measure Definition:** Average response time for Research Room Reference Queries, from the time the request is received to the time the the information is sent back to the customer.

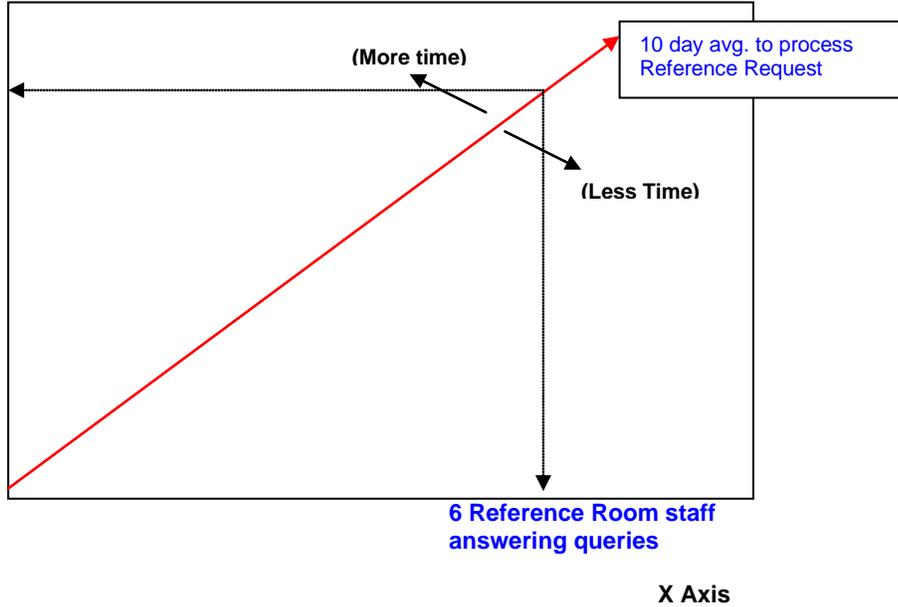
*Reference Services: Response Time for Reference Queries*



This chart represents our average number of mail queries in Reference Room Services that are answered per month on average. Our current average cycle time for turning around reference requests is 10 days. Last year before implementing accessibility over the web to descriptions of our holdings and on-line information query forms, the cycle time was 9.1 days. Because of the sharp increase in requests for information being made on line, based on current staffing levels our backlog will increase, and average turnaround time will also increase for our customers.

**Y Axis**

**850 Avg. # references responses per month**

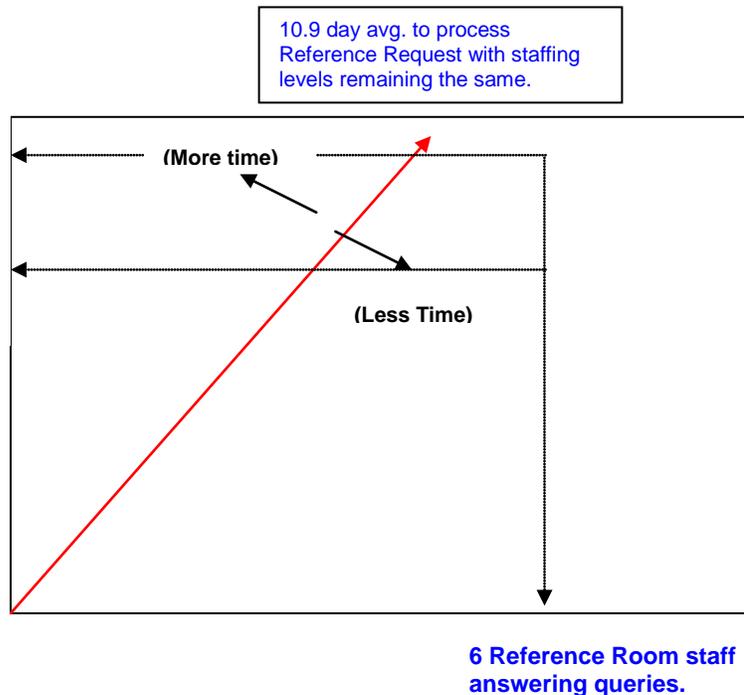


**FY01/02 Projections**

**Y Axis**

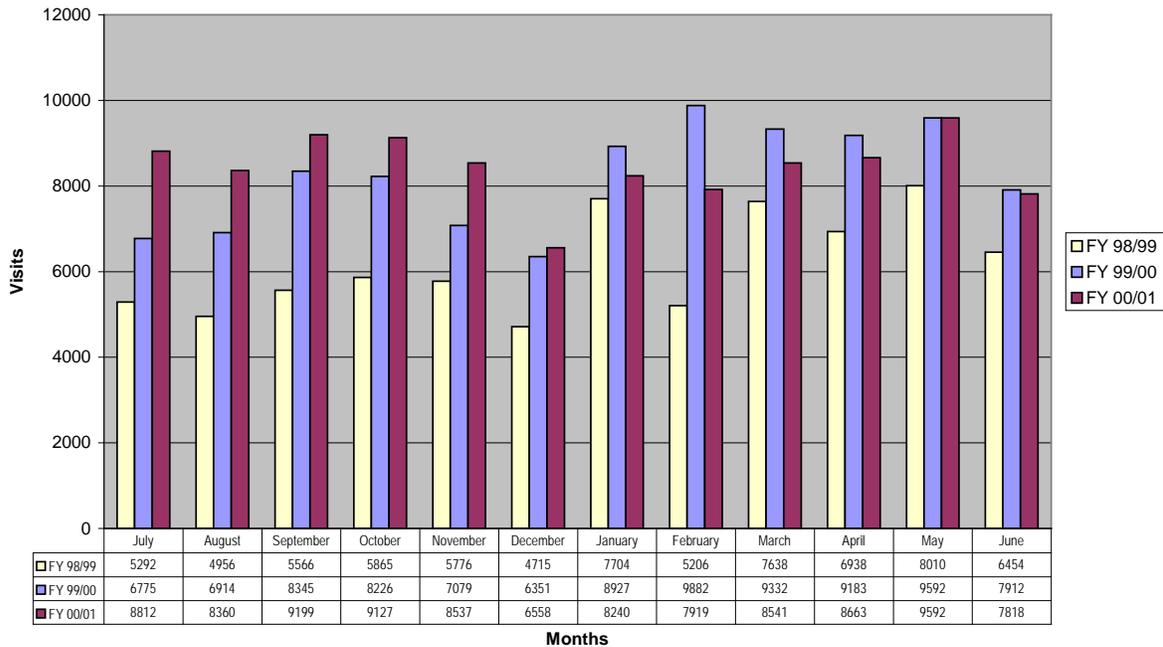
**FY 978 Avg. # references responses per month**

FY 00/01's 850 Avg. # reference responses per month.

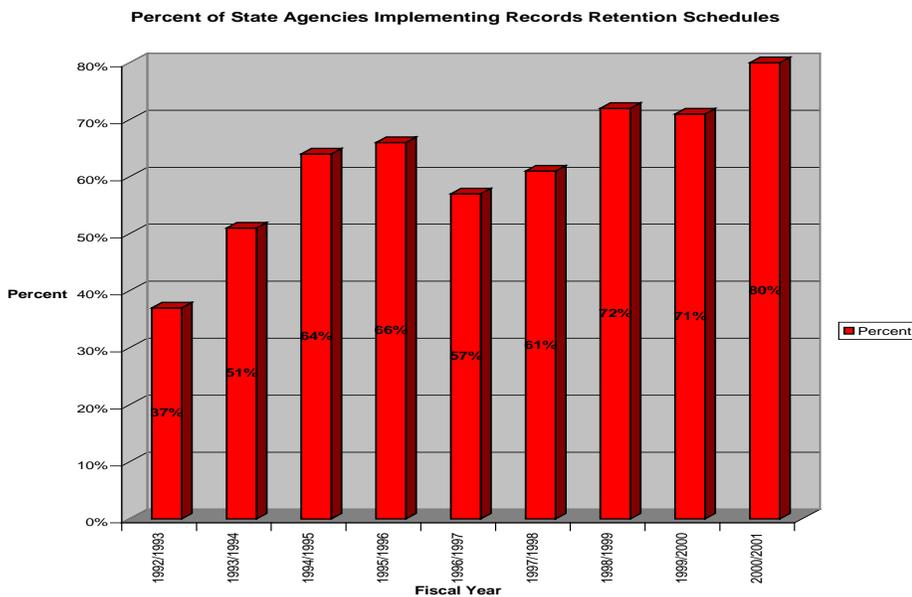


**Measure Definition:** The availability of information electronically has become essential for our customers within SC, and across the nation. We measure the number of total visits to our sight as well as sub measures of hits to sights within our web page to see if customers are utilizing this medium for accessing information.

**SCDAH Web Visits  
FY 98/99, 99/00 and FY 00/01**



**Measure Definition:** The number of weeks it takes to approve a records retention schedule has remained constant since FY 95/96. Since 1996, we have tracked the percent completed within two weeks.

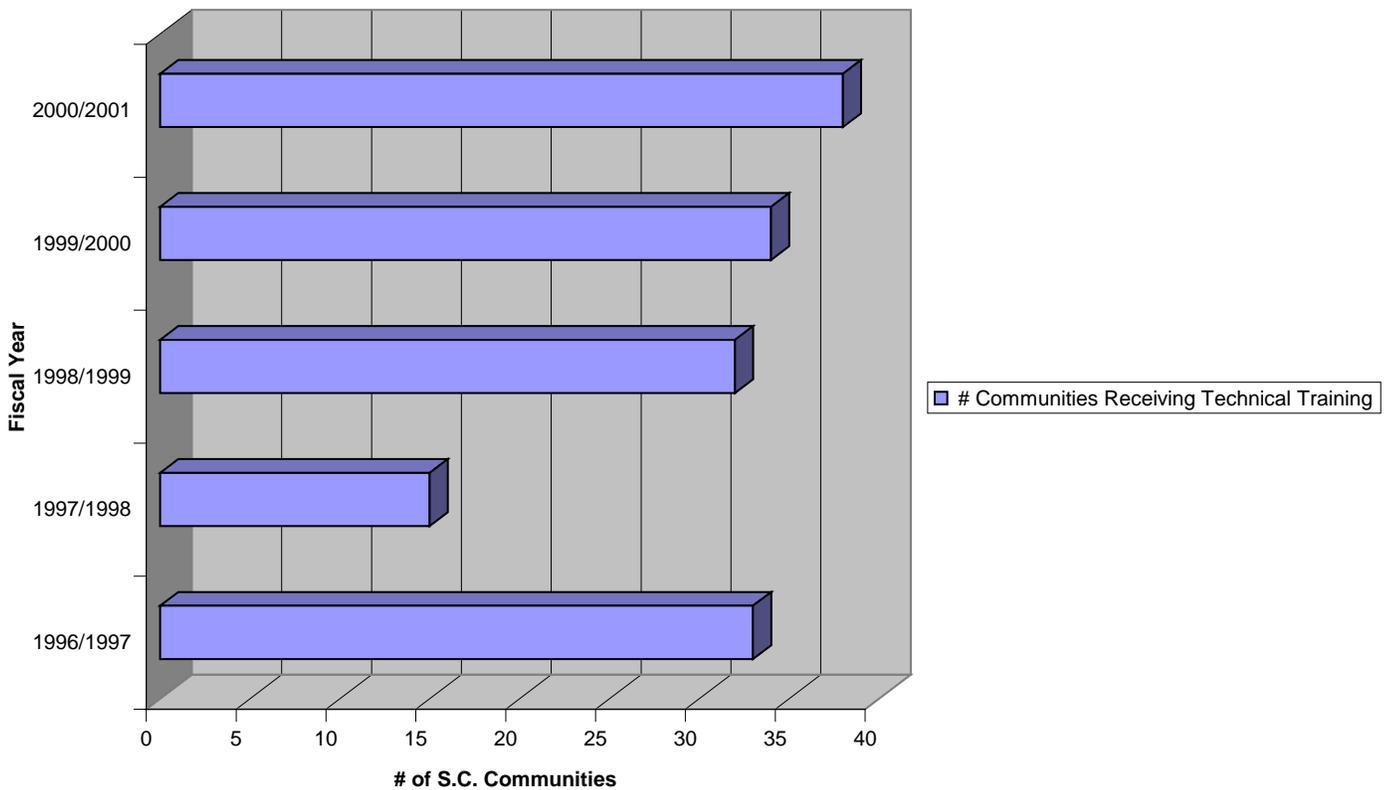


**Measure Definition:** 80% of state agencies have destroyed records in compliance with the Public Records Act. 126 million pages of state and local government records of no further value destroyed in conformance with Archive’s authorized records retention/disposition schedules, thereby freeing up government office and storage space.

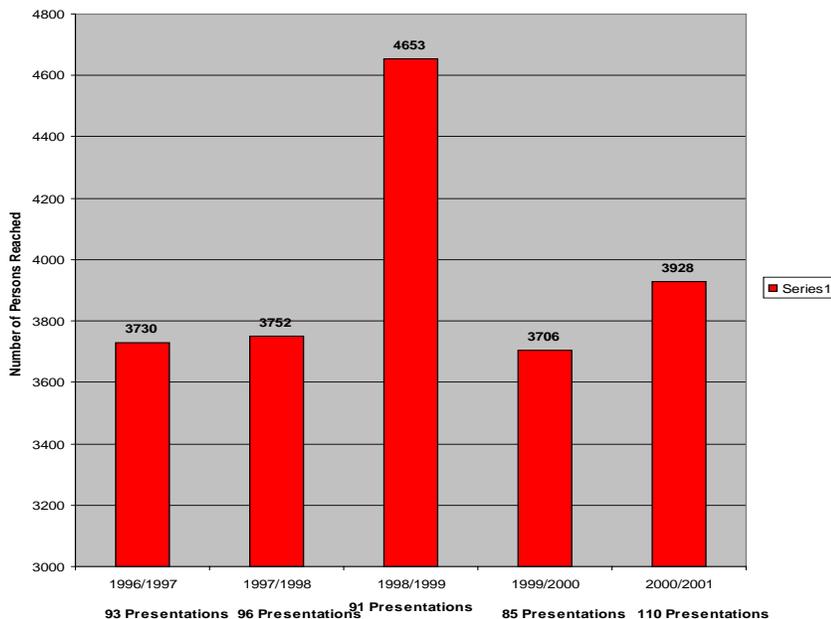
**Measure Definition:** We are mandated to preserve the documentary heritage of our state through our Archival programs. In FY 01 we Microfilmed and conserved, **712177** historical documents

**Measure Definition:** As part of our mission we must educate and provide technical training to communities statewide on historic preservation design review ordinances so historical structures are preserved according to appropriate architectural and historical standards.

# Communities Receiving Technical Training



Outreach by Fiscal Year



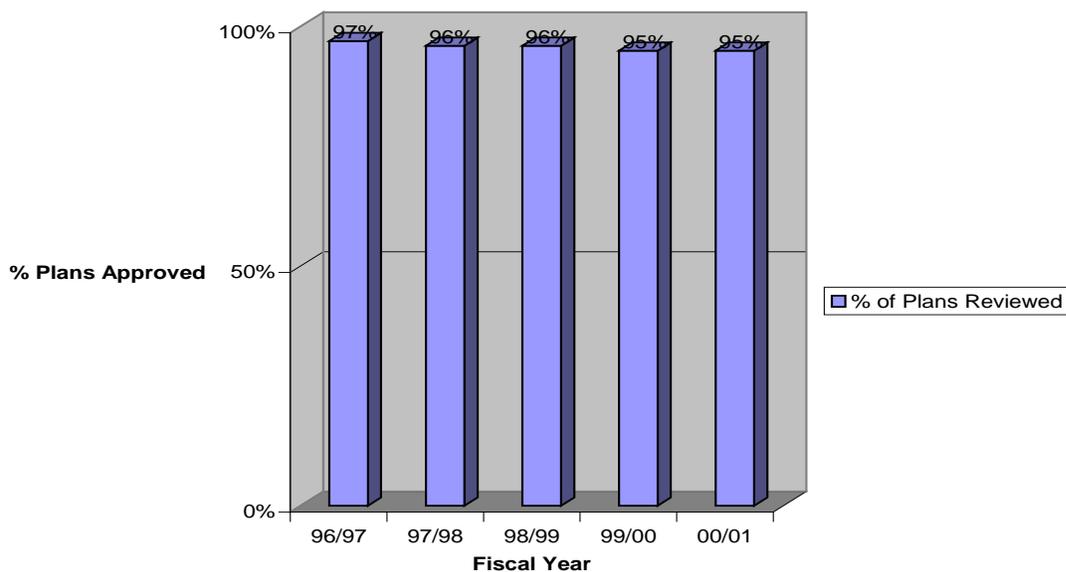
This chart represents the number of presentation made and people reached through our Speaker’s Bureau over the last 5 fiscal years. Educational outreach is part of the Archives mission and by providing speakers to our constituents around the state we are able to create advocacy and awareness of cultural and documentary preservation and history.

**Archives and Records Management outreach in FY 00/01:**

**11,477** state and local officials and the general public reached through technical assistance responses, conferences, workshops, tours, newsletters, and other publications.

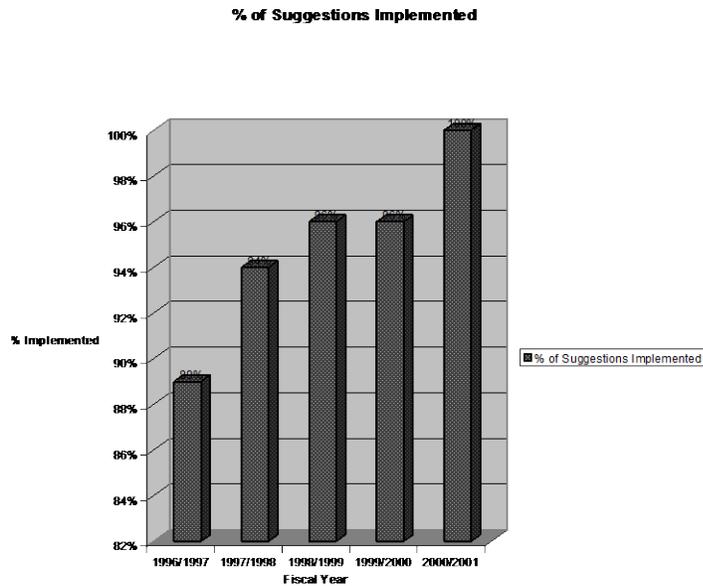
**Measure Definition:** % of state or federally funded or permitted construction projects reviewed within 30 days. Although the % of requests for comment on state and federal projects reviewed within 30 days is relatively close, it is extremely important to note that we have seen a **61% increase** in workload over the last 5 years.

% of Plans Reviewed



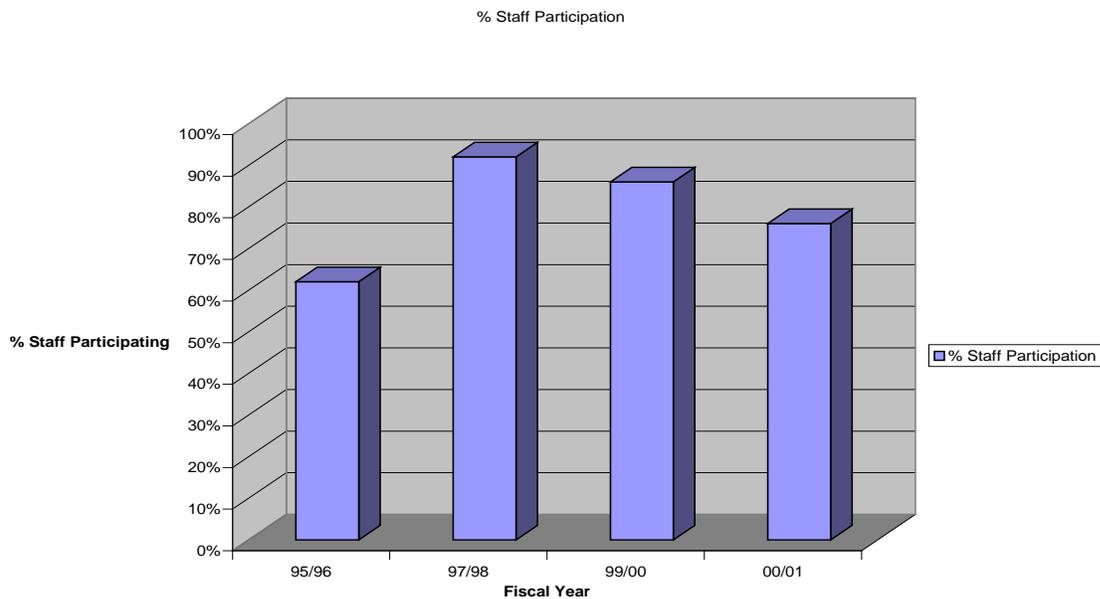
### 7.3 Human Resource Results

As part of our balanced scorecard process we are developing Human Resource measures. We have needed measures of training effectiveness, and human resource employee data relating to safety, turnover, and satisfaction. Below are some of the current measures we track.



### Reverse Appraisal Process

As a study of staff satisfaction with the management team, the SC Department of Archives and History has deployed a Staff Assessment of Management survey every other year for the last ten years. Below are statistics on average satisfaction levels and participation rate for this non-mandatory assessment.



## Archives Staff Assessment of Management: Aggregate Scores by Division

SCALE:

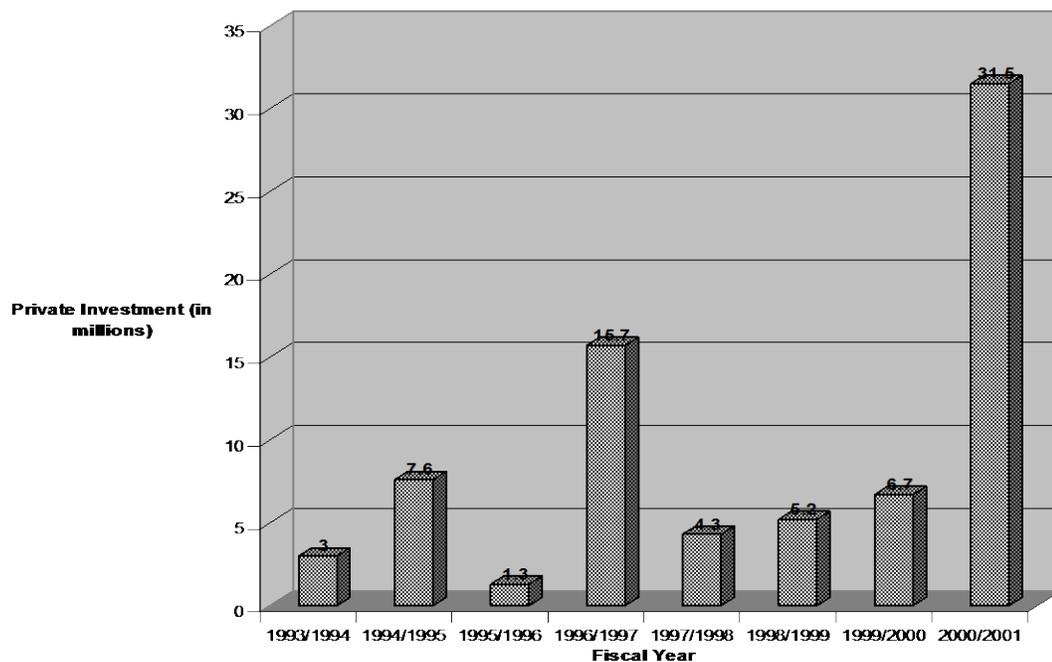
- 1 Does this very effectively
- 2 Does this reasonably well
- 3 Does this sometimes but could be more consistent
- 4 Tries, but does not do this effectively.
- 5 Does not seem to try.

Categories →	Leadership	Communication/ Flexibility	Innovation/ Planning	Problem Solving/ Decision Making	Organization/ Time Management
Archives & Records Mgmt. Division	2.2	2.2	2.0	2.1	2.1
Historic Preservation Division	1.6	1.7	1.6	1.9	1.6
External Affairs Division	1.8	1.6	1.6	1.6	1.7
Executive Leadership Team	1.7	1.7	1.6	1.9	1.8

## 7.4 Supplier/Partner Results

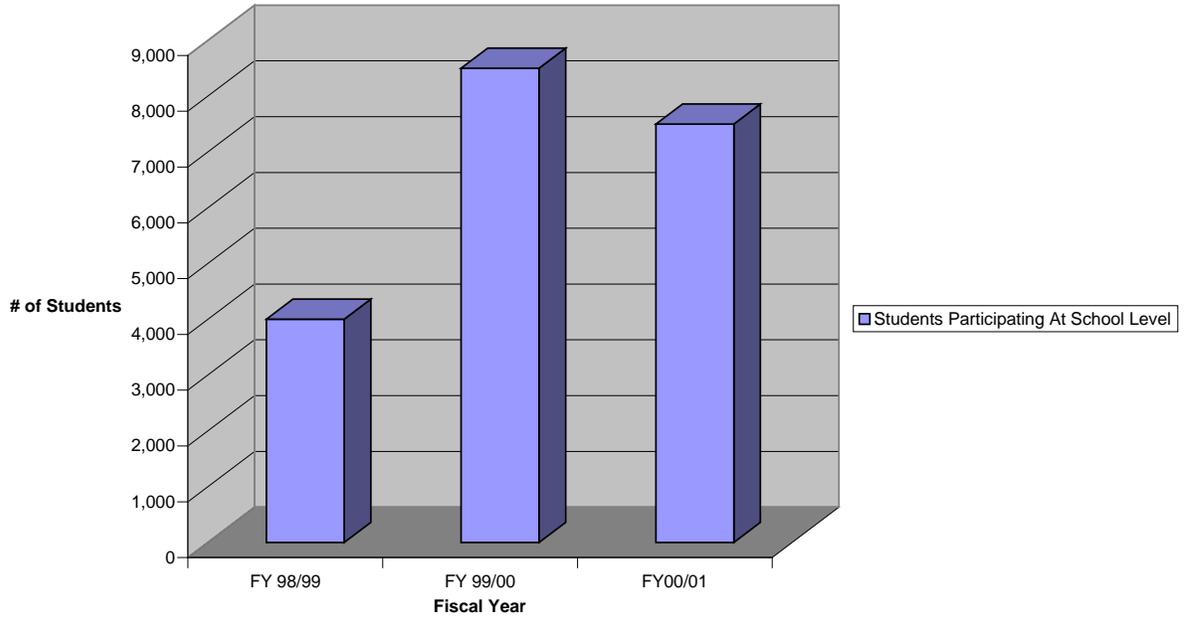
**Measure Definition:** Private investment stimulated by Federal Tax programs with our Federal Partnership.

*Private Investment Stimulated By Tax Programs*

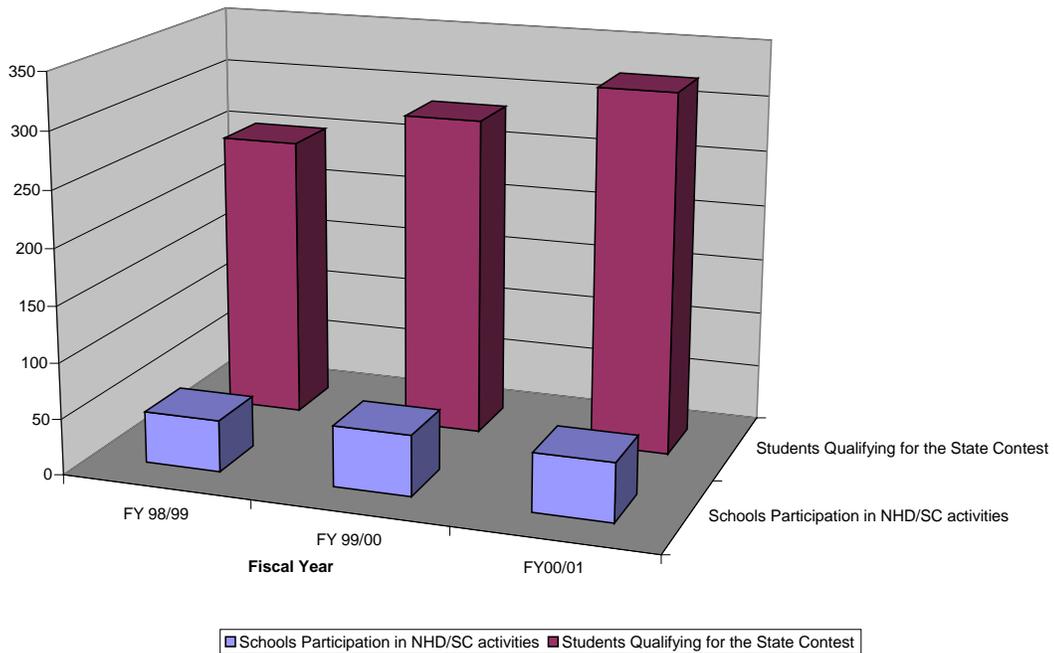


In partnership with our Public, Private and Home Schooling communities we work with educators to more effectively teach the use of primary and secondary resources for historical research. Through this effort we work with students to become involved in a National program called National History Day.

**Students Participating In National History Day in S.C. Schools**

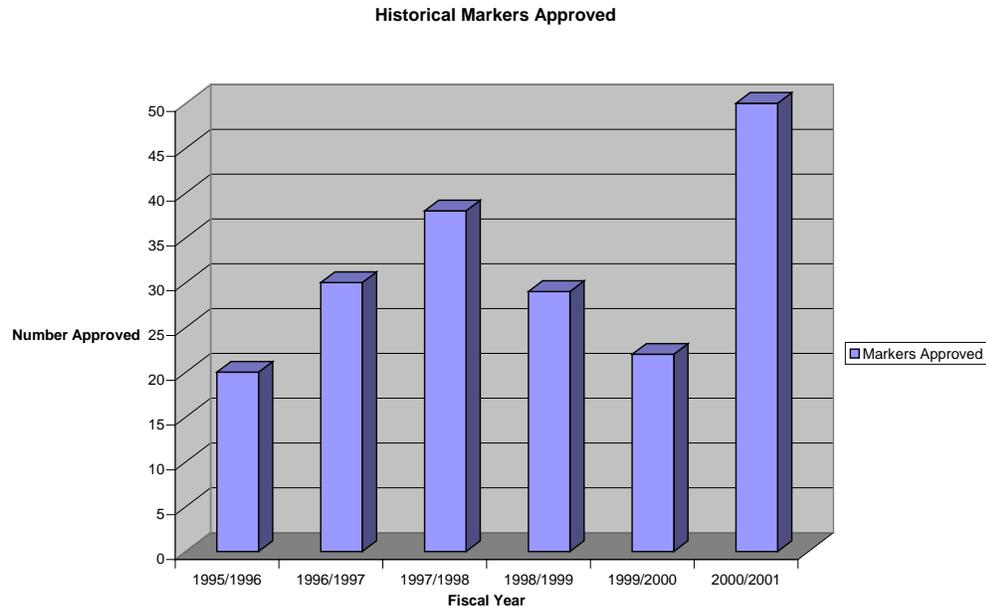


**National History Day Data**



## 7.4 Continued:

**Measure Definition:** This year by reducing average cycle time of approval for historical markers to two weeks, we were able to more than double the amount of markers approved in FY 00/01. We do this in conjunction with requests from the community and organizations for Historic National Register or eligible properties around the state.



Two Major Plans approved and Issued: Into the 21<sup>st</sup> Century by the SC State Historic Records Advisory Board and Governor Hodges endorsement of the Governor's Task Force on Historic Preservation & Heritage Tourism Plan.

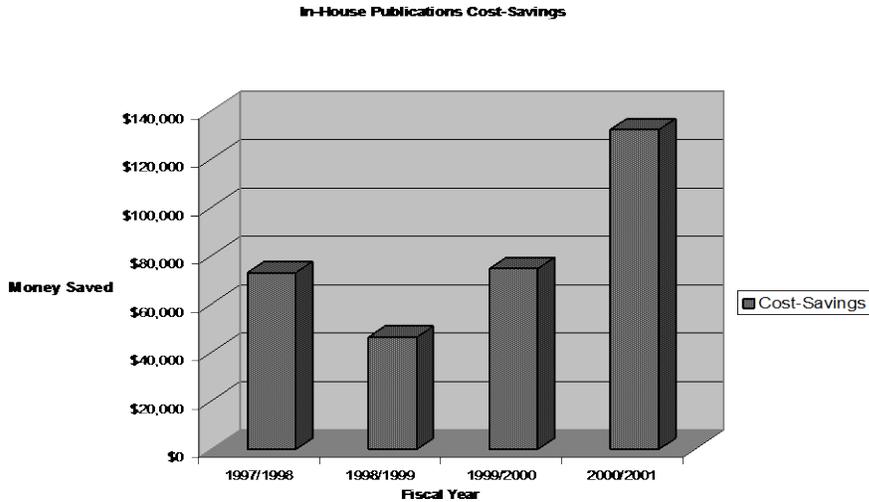
**Measure Definition:** Working with our government partners we provide safe and environmentally controlled storage for records. Through our Records Management Division, in FY 00/01 **4.8 Million Pages** of records in paper and microfilm were transferred by state agencies and local governments for security Records Center Storage. 17.5 Million pages of of historically valuable state and local government records in paper and microfilm were transferred to the Archives for permanent retention.

## 7.5 Regulatory Compliance/Citizenship

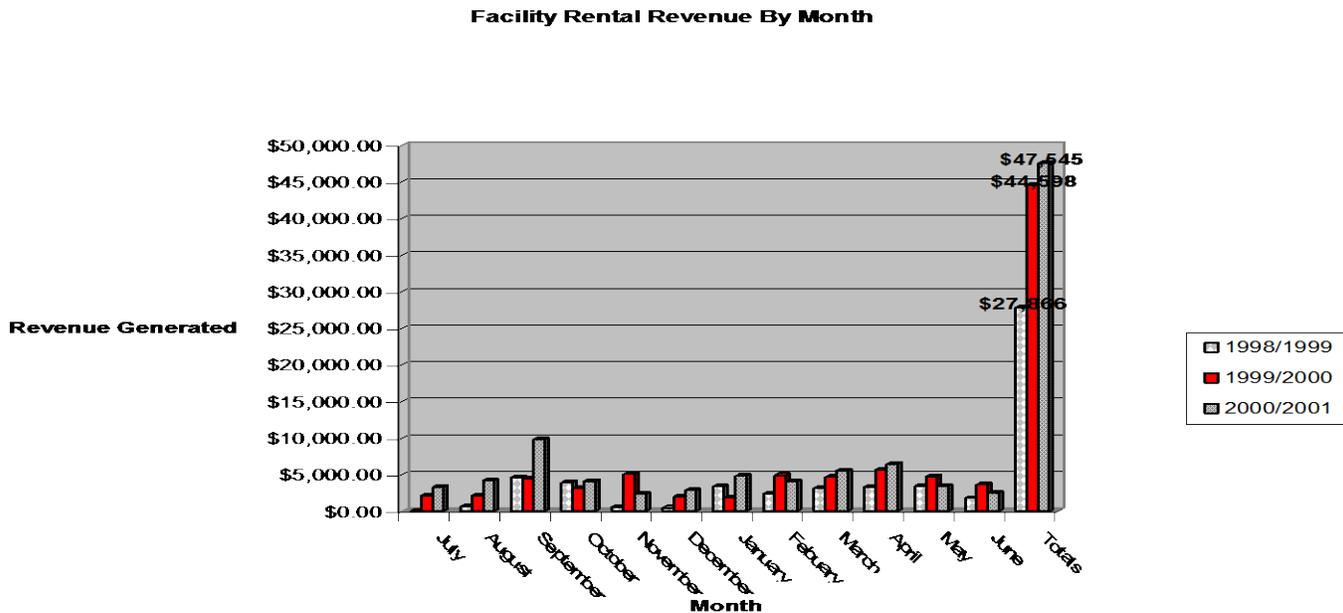
This is an area that are agency is currently working on to begin tracking data on. We are currently meeting to decide how we will begin tracking this information. As explained throughout the report, we are highly involve in community activities, meet OSHA and safety requirements through compliance to regulation and by providing staff mandated training in these areas.

## 7.6 Financial and Market Results

**Measure Definition:** Cost-savings realized from publishing and design work produced by in-house publications department rather than outsourcing to private publications firm.



**Measure Definition:** This illustration compares Facility Rental revenue generation by fiscal year and month.



## Facility Usage

**282 Groups Using Our Facility**

**14,211 Total External Visitors Through Facility Usage**

**350 External Events**

**68 Donated/Promotional Events**

**12 Agency Programs/Sponsored Events**

**Measure Definition:** The cost avoidance for state agencies by utilizing the Archives' Records Management Program and storage. Regarding authorized destruction reported by state agencies to our staff and from cost avoidance of storing inactive state agency records in the State Records Center versus storing on site in agencies.

**74% Lower Cost for Records Center storage of paper records and microfilm than is charged for local commercial storage facilities.**

*Cost Avoidance: What Archives Saves State and Local Government Through Records Management*

