Accountability Report Transmittal Form

Agency Name: <u>South Carolina Department of Archives and History</u>

Date of Submission: <u>September 15, 2003</u>

Agency Director: <u>Rodger E. Stroup, Ph.D.</u>

Agency Contact Person: <u>Rodger E. Stroup, Ph.D.</u>

Agency Contact's Telephone Number: <u>803-896-6187</u>

South Carolina
Department of Archives & History

Annual Accountability Report
Fiscal Year 2002-2003

The Honorable Mark C. Sanford, Governor
Rodger E. Stroup, Ph.D., Director

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I. Executive Summary

1. 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.*

2. Key Strategic Goals

The agency is in the final year of a four-year plan. Our vision, as stated in our plan, is to be the leader in preserving and advocating the state's documentary and cultural heritage, and 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 fulfill the mission of the agency.*
GOAL V: *To continue to ensure our journey of excellence by evaluating effectiveness and improving our programs.*
GOAL VI: *To increase and enhance preservation of and access to South Carolina state and local government records.*

3. Barriers/Opportunities
Barriers

As we move toward the final year 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.

➢ Insufficient awareness by those in state leadership roles of our agency's role as a vital component of the preservation of the state's history and heritage.

➢ Inadequate salaries 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 six 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 not having funds to deal with the costs of preserving and providing access to historically significant electronic records.

As a result of the budget cuts our staff is 30% smaller than it was in March 2001. This will result in slower response times in most of our service areas, including:

➢ Our ability to assist state agencies and local governments with their public records problems will be reduced.

➢ Research inquiries will take longer to process because the Reference Room is now open on Monday instead of the staff focusing on answering research requests.

➢ We will only be able to provide very limited document and book conservation services to the general public since we lost our staff conservator.

We lost our full-time quality coordinator and will not be able to fill the position in the foreseeable future.

The cuts have also decreased the historic preservation staff by two more positions, forcing us to focus on mandated programs by reducing our outreach activities. The historic preservation staff has been reduced by 28% since November 2001.

The state and federal budget cuts of the last fiscal years have drastically decreased the amount of grant funds we have available for historic preservation projects across the state. For example, in fiscal year 2000-2001, we awarded 19 federal grants totaling $255,390 and 7 state grants totaling $122,750. In fiscal year 2001-2002, we awarded 7 federal grants totaling $119,735 and 8 state grants totaling $133,487. In contrast, in fiscal year 2002-2003, we were only able to award federal grants totaling $67,500 and state grants totaling $20,000. Unfortunately, these grants are one of the few sources of seed money for stabilizing endangered

historic buildings and identifying and recording historic buildings and sites. In a time of unprecedented growth surveys are vital to helping communities plan and protect historic properties.

The editor in our publications section retired at the end of the last fiscal year, and we were unable to fill the position. Our publications budget has also been all but eliminated through the cuts.

The ongoing budget cuts have forced the department to rely even more heavily on revenue earned from microfilming for general agency expenses. As a result, the department will have to continue 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 ongoing agency operating costs. This has forced us to sacrifice saving older records through microfilming in order to cover basic costs of computer-related support and archival supplies, which in the past have come from state general fund. In addition, the funding source for two part-time microfilm technicians has been lost, and we may be forced to delete these positions during the current year because of anticipated mid-year budget cuts. This forced use of a resource to generate revenue and the loss of staff impedes our ability to preserve older at-risk historical records, one of our core-mandated functions.

Opportunities

The Historical Rehabilitations Incentives Act, which went into effect in January 2003, offers a state income tax incentive to taxpayers who rehabilitate historic buildings that are used as residences or for income-producing purposes. By the end of the fiscal year we had received 14 applications for residential projects and two for commercial projects. Based on the experiences of other states, we expect rehabilitation activity to increase as word gets out about the tax incentives.

The Archives and History Foundation, our private membership organization, is embarking on an ambitious project to encourage citizens to learn more about the history of the state. Currently in its initial planning stages, the Foundation's goal is to fulfill the role of marketing and promoting the agency throughout the state by providing opportunities for citizens to take advantage of the many resources available through the Department of Archives and History.

A three-year federal grant of $162,315 will provide the resources for the department to formulate practical policies and methodologies which SC sate agencies can use in managing their electronic records and systems and to test approaches and methods for preserving and providing long-term access to state government's archival electronic records. The project is designed to raise the visibility and effectiveness of the Archives in state government electronic records maters and position the Archives for a role in SC's expanding e-government.

The South Carolina Department of Archives and History is administering year two of the South Carolina Teaching American History federal grant project, which seeks to improve teacher knowledge, understanding, and appreciation of American history.   The 2003 Summer Institutes provided rigorous professional development training for 48 teachers from 37 schools located in 20 school districts across the state. We are pleased to have reached more than twice the number of school districts than last year. The 20 districts include: Abbeville, Anderson 1, Barnwell 45, Berkeley, Charleston, Chesterfield, Dillon 2, Dorchester 2, Greenville, Lexington 1, Lexington 2, Lexington 4, McCormick, Orangeburg 5, Richland 1, Richland 2, Sumter 17, York 1, and York 3. Participating teachers have already demonstrated an improved knowledge of historical content, and they are currently working on lesson assignments that utilize primary sources and material culture from local repositories and museums. Partnering cultural institutions include: Cowpens

National Battlefield, Drayton Hall, Fort Hill, Fort Sumter Group, Greenville County Museum of Art, Historic Brattonsville, Historic Camden, Historic Charleston Foundation, Historic Columbia, Huff Center for Piedmont History, Middleton Place, Pendleton District Commission, South Caroliniana Library, SC Confederate Relic Room and Museum, SC Department of Archives and History, SC Historical Society, SC State Museum, and SC State Park Service. Recruitment for participants for year three of the project is underway. More information about this project can be found at http://www.teachingUShistory.org.

4. Major Achievements in FY2002/2003

Archives and Records Management
Followed up on the strategic plan for the preservation of and access to the state's historical records, *Into the 21st Century: A Plan for South Carolina's Historical Records, 2000-2005* published in FY 2001. (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.) FY 2003 follow-up on the plan during the year included:

➢ A division team began reengineering the records retention scheduling process for state government. This is especially important if we are to be effective in this core Archives activity in a time of declining resources.

➢ Held meetings of three advisory groups, State Historical Records Advisory Board, State Government Records Advisory Council and Local Government Records Advisory Council, to assist in addressing strategic plan objectives and secure input on the Division's records activities.

➢ Completed an electronic records training and awareness project with federal grant funding for state and local government officials that has been highly successful, attracting over 100 to each of the four FY 2003 day long workshops.

➢ Drafted and submitted a grant proposal for federal support of a regrant project, FY 2004-FY 2006, for local government and private sector historical records repositories.

➢ With federal funding from the State Library, digitized selected holdings of Archives' historical records.

➢ Made available at mid year over the Archives' Web site an extensive and detailed index to more than 300,000 of the Archives' oldest historical records.

➢ Secured General Assembly approval as regulations extensive updates to general records retention schedules for municipal, school district, and college and university records, further streamlining our processes and services to local and state government.

➢ Managed revisions to the Public Records Act through General Assembly approval and signing by the Governor, simplifying records retention schedule development and approval for state and local governments.

➢ Received a three-year, $162, 315, federal grant to further develop the Archives' electronic records program for state government.

➢ Began publication of an online newsletter for state and local government records management, *On the Record*, publishing three issues in FY 2003.

➢ Through the SC State Historical Records Advisory Board, made first-ever state archives awards, Governor's Archives Award, and four Archives Awards of Merit.

At the end of FY 2003, the Archives and Records Management Division lost another four staff members. This brings to seventeen the number lost since the end of FY 2001 due to budget cuts. The decline in staff has impacted many of the Division's activities, notably the public Reference Room, which had already eliminated night and weekend hours in mid-April, 2002. Activity and service statistics are now declining in several areas from previous years. For instance, our response time to reference queries has increased to 14.1 days, up from 10 days in FY 2000/2001.

During FY 2003 the Archives and Records Management Division had 17,068 contacts with state and local government officials regarding records management and 19,328 with the general public regarding the Archives' holdings of historical records, over half of which were on-site visits to the SC Archives and History Center. The actual visits to the Archives Reference Room, however, were down considerably from previous years, at 10,037. E-mail requests for information from our holdings continued its upward trend relative to those by telephone and regular mail.

In all, nearly 18,000,000 pages of historically significant records were transferred to the Archives from state and local government offices for permanent retention, nearly 45,000,000 pages of state agency records were transferred to the State Records Center for limited term storage, over 800,000 pages were microfilmed for preservation, and more than 105,000,000 pages of state and local government records were authorized for destruction.

Working with state and local governments 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 nearly $900,000. The microfilming and records center storage services provided by the Archives and Records Management Division are about 71% lower than that in the private sector.

Partnerships with Other State Agencies and the Private Sector

➢ The Archives continued collaborating with the SC State Library in a digitization pilot project to make available selected portions of the Archives' holdings available via the World Wide Web. Funding is through a federal grant administered by the State Library.

➢ Through a cooperative arrangement with the Genealogical Society of Utah historical county government records continue to be preserved through microfilming and made available for public use at the Archives, at no cost to the state or to county governments.

➢ The Archives began a new multi-year cooperative arrangement with the Genealogical Society of Utah in FY 2003 that will result in automating access to the Archives' extensive holdings of security microfilm.

- The Archives in FY 2003 became a "key partner" with the Partnership Among South Carolina Academic Libraries (PASCAL) in planning for a statewide virtual catalog and digital library of South Carolina history and culture.

- Began partnering with the South Carolina regional Councils of Government in the provision of records management training for local governments

Historic Preservation

In spite of cuts to federal and state funds, we were able to address some of the recommendations of the Governor's Task Force on Historic Preservation and Heritage Tourism. The Task Force identified three broad categories of actions that address the concerns expressed in eleven public forums:

- In the category of **Supporting Private Stewardship**, we prepared for the implementation of the South Carolina Rehabilitation Incentives Act, which went into effect in January 2003, by collaborating with the SC Department of Revenue on technical corrections to the law and procedures for administration, developing a user-friendly application and instructions, and promoting the tax incentives through 18 workshops around the state.

- Under **Educating South Carolinians about Our Heritage and Its Value**, we partnered with two private organizations to produce a publication on the economic benefits of historic preservation in South Carolina, which was one of the recommendations of the Governor's Task Force. We also helped to address the need to accelerate the identification, recognition, and preservation of African American historic resources through a partnership with the Public History program at the University of South Carolina. Through this partnership, we provided an assistantship for an African American graduate student to begin identifying and recording Rosenwald Schools in South Carolina. We also developed and disseminated an e-mail newsletter with timely information about historic preservation issues and links to more information.

- We addressed **Integrating Historic Preservation into Public Policy and Planning** by expanding the information about historic properties available on our Geographic Information System (GIS).
  We also assisted local planning efforts by providing federal grant funds to help Kershaw County identify, record, and map 811 historic properties, the City of Newberry to develop design guidelines for the Board of Architectural Review, and the City of North Charleston to identify areas that are likely to include significant archaeological sites.

We were proud that in spite of losing 28% of our staff since November 2001, we were able to enhance customer service in an important area—our review of state and federally funded or permitted projects. We streamlined processes, improved our management of information, developed educational material for applicants, and improved forms and made them available electronically. We also maintained high standards for our response time. We completed 1,385 reviews with 94% of the reviews completed within 30 day and an average review time of 11.5 days.

Educational Outreach

Approximately 8,500 school age children participated in National History Day in South Carolina, which provides students the challenge of conducting historical research and competing in four categories: historical papers, exhibits, performances, and documentaries. Three hundred students qualified through regional competitions to compete at the state competition at the Archives and History Center in April 2003. The top two entries in each category qualify to participate in the national competition. The strength of our National History Day program was reflected in the fact that 14 of South Carolina's 28 entries placed in the top 30 percent in the national competition. In addition, South Carolina students won three of the most prestigious special topic awards.

5. Organizational Performance

Initially, the process of compiling information for the accountability report forces the agency to review the last year and compare results to previous years. Much like a self-study for a peer professional critique, the preparation of the accountability report allows agency management to review the major accomplishments of the past year and determine if they align with the primary mission. A major challenge for our agency is deciding what to measure and whether or not that measurement is meaningful. For example, one of the things we measure is the number of historical markers we approve each year. Since we don't provide the funding for the markers and we don't suggest which markers should be erected, it might appear as a useless measurement. However, one of our agency goals is to increase public awareness and interest in the state's history. Historical markers are certainly a way to do this and tracking the number of approved markers helps us follow this program's impact. The accountability report also provides the agency with information that can be used as part of the strategic planning process and to develop annual work plans. Agency leadership can utilize the report to identify areas that need improvement.

II. Business Overview

1. Workforce

The Department of Archives and History has 76 state-funded positions and 10.5 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 three FTE's located at our Records 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. Seventy-seven percent of our staff have a bachelor's degree and 35% have a Master's and/or Ph.D. An overview of staffing is charted below to show years where we had budget cuts and shifts in staff funding levels:

SCDAH Overview 1986-2003 Employees

	Occupied	State Funded FTE	Other Funded FTE
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
7/1/02	67	75	11.5
7/1/03	63	76.25	10.5
1986 vs. 2003	-47%	-36%	+110%

2. Facilities

The South Carolina Archives & History Center is a state of the art archival and research facility. It houses more than 300 years of the state's priceless historical documents and records. The building at **8301 Parklane Road** serves as the home for the South Carolina Department of Archives and History, the state agency responsible for the care and safekeeping of the state's historical documents and is an unmatched resource for visitors seeking information on South Carolina history, genealogy, and historic preservation and document conservation.   In addition, our **State Records Center** is located at **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 deemed no longer needed as per approved records schedules.

3. Appropriations/Expenditures Chart

Base Budget Expenditures and Appropriations

Major Budget Categories	01-02 Actual Expenditures		02-03 Actual Expenditures		03-04 Appropriations Act	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	$3,358,236	$2,635,919	$3,016,339	$2,144,322	$2,561,804	$1,734,071
Other Operating	$1,754,270	$977,304	$1,669,366	$1,077,898	$2,029,195	$1,085,271
Special Items	$0.00	$0.00	$17,908	$17,908	$0.00	$0.00
Permanent Improvements	$0.00	$0.00	$0.00	$0.00	$0.00	$.0.00
Case Services	$0.00	$0.00	$0.00	$0.00	$0	$0
Distributions to Subdivisions	$212,870	$0.00	$216,367	$0.00	$353,000	$0.00
Fringe Benefits	$920,780	$733,166	$831,657	$599,996	$936,633	$720,871
Non-recurring	$35,640	$35,640	$0	$0	$0	$0
Total	**$6,281,796**	**$4,382,029**	**$5,751,637**	**$3,840,124**	**$5,880,632**	**$3,540,213**

Other Expenditures

Sources of Funds	01-02 Actual Expenditures	02-03 Actual Expenditures
Supplemental Bills	$35,640	$9,655
Capital Reserve Funds	$0.00	$0.00
Bonds	$0.00	$0.00

Interim Budget Reductions

Total 01-02 Interim Budget Reduction	Total 02-03 Interim Budget Reduction
$859,877	$354,533

4. Key Customer Segments Linked to Key Products/Services

Key Customer Segments	Key Products/Services
owners of historic buildings developers architects contractors	promotion and administration of federal and state tax incentive programs for the rehabilitation of historic buildings
local governments state agencies federal agencies developers environmental consultants	review of federal and state funded or permitted projects
local governments state agencies federal agencies developers environmental consultants	compiling and providing access to information about the location of historic properties through GIS layers
local governments state agencies federal agencies developers environmental consultants	administration of the statewide survey of historic properties
preservation professionals and advocates of historic preservation	providing information about range of preservation topics through e-mail newsletter, preservation conference, workshops, and site visits
owners of historic properties	coordination of the National Register of Historic Places program in South Carolina
local governments	providing advice, training, and federal grants to local governments that qualify for the federal Certified Local Government program
state governments local governments	approval to destroy obsolete records, storage and microfilming of eligible records, and recordkeeping guidance and training
citizens professional researchers state governments local governments	preservation of and long-term access to essential state and local government records
private records repositories professional groups	technical guidance, assistance, grants, and leadership in archives and records management matters
National Archives	Statewide planning and priorities for federal funding/grants to South Carolina

5. Stakeholders Not Listed Above

future generations of South Carolinians (posterity)
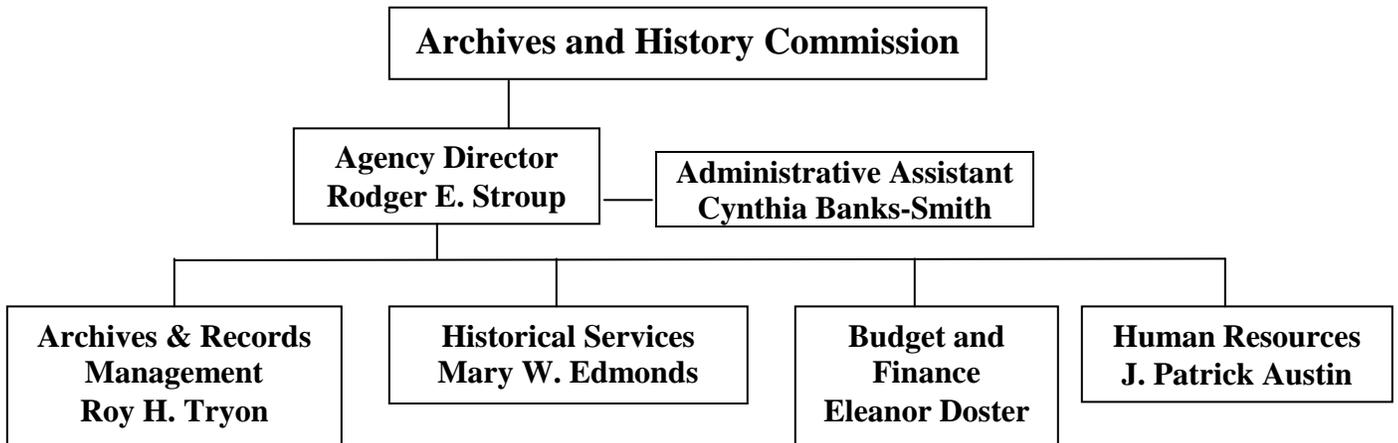
downtown revitalization organizations

neighborhood organizations

land-use planners

6. Suppliers

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

7. Organization Structure

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                    │  Archives and History Commission    │
                    └─────────────────────────────────────┘
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              ┌──────────────────┐  ┌──────────────────────────┐
              │ Agency Director  │──│ Administrative Assistant  │
              │ Rodger E. Stroup │  │ Cynthia Banks-Smith       │
              └──────────────────┘  └──────────────────────────┘
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Archives & Records Management Roy H. Tryon	Historical Services Mary W. Edmonds	Budget and Finance Eleanor Doster	Human Resources J. Patrick Austin

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 and Deputy State Historic Preservation Officer, Mary Edmonds. Under their guidance, our staff works 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 when compared with organizations having similar missions, and what we should then strive for in our future course. It is our vision for the 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 in 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.

The agency leadership is 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. The ongoing budget dilemma is one example where the director's consistent, open communication is critical. In addition, the entire leadership team continually meets with staff to answer questions and concerns, and discuss options related to potential downsizing.

1.2

The agency is especially proud of its reputation for excellent customer service. The senior leadership not only encourages staff to take the extra steps necessary to assist our customers, but they practice what they preach. Because Dr. Stroup is a frequent guest on ETV's "What In The World Is It?" program, citizens frequently walk-in and ask to have him identify an object for them. If Dr. Stroup is in the building he insists on being called so he can try to assist the patron. Senior leadership also insists that staff members do whatever they can to help visitors and callers receive the help or information they are seeking. Shortly after moving into the Archives and History Center, all staff members whose jobs require frequent contact with the public, were required to attend a workshop that focused on not only meeting the customer's needs, but also

going beyond that. During employee recruitment and then during orientation the agency's leaders convey our focus on customer satisfaction to employees. Our semiannual staff awards program recognizes staff members for outstanding customer service.

1.3

Each year the senior leadership develops their work plans based on the agency's strategic plan. Priority items in the work plans must correspond to at least one strategy in the plan. During the last three years, senior leadership carefully monitored all income and expenses to insure that the agency was operating in the black. Ongoing projects are reviewed each month at the senior staff meeting. Additionally, research visits and facility rental activities are carefully monitored so that any negative trends are caught as early as possible.

1.4

From FY96-97 through FY00/01 all supervisors were evaluated biannually by their staff members in an anonymous assessment program (Staff Assessment of Management Survey or SAMS). This review covered five key areas: leadership, communication/flexibility, innovation/planning, problem solving/decision-making, and organization/time management. Supervisors integrated the information from the SAMS survey into employee EPMS planning stages, often providing the employee with a training opportunity to address weak areas. Unfortunately, the staff member who implemented the program, our quality coordinator, was lost due to budget cuts, and the agency was unable to complete the SAMS review scheduled in May 2003. However, senior staff continues to use the information from previous SAMS surveys in developing planning stages for employees. Because of budget cuts we only have one new supervisor in the agency, and she is taking the appropriate supervisory training courses during the current year. If we can find the financial resources and a property trained administrator, we plan to complete another SAMS review in May 2004.

1.5

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, an additional duty assigned to our payroll/benefits administrator, since the loss of our full-time position. 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 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.

1.6

Agency monthly staff meetings are another mechanism for deploying decisions made by the leadership team, and promoting agency–wide learning. The staff is updated on decisions that affect the entire agency, 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 where he is active as a leader 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 (NAGAR) and an adjunct faculty; he is on the board of the Deputy Directors Organization; he is the Chairman of the State Historic Records Administrators Board (SHRAB); and a member of the Council of State Historical Records Coordinators (national). Our department's Deputy State Historic Preservation Officer, Mary Edmonds, is involved in the Transportation Enhancements Advisory Committee for SC Department of Transportation; Heritage Corridor Grants Advisory Committee for SC Parks, Recreation and Tourism; and Revolving Fund Committee for the Palmetto Trust. 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 the 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, we 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 engage 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 is working through a 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. In response to the current budget crisis the senior management has reviewed the strategic plan and plans to continue its direction. However, several goals and strategies will need to be delayed.

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 face. 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. For example, under Goal II, we partnered with several organizations to successfully secure a $953,000 grant from the US Department of Education. This grant will enable us to provide teachers across the state with new resources and methods to improve United States and South Carolina history courses. With the daunting task of providing access to electronic records facing the agency we successfully competed for a grant from the National Historic Public Records Commission for $162,315. This grant will provide a full-time staff member to focus on this issue, and working with other professionals from across the country, develop options for the agency to consider.

2.1c
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. During the current budget situations the agency has lost 30% of our staff. In addition, over the next five years 33% of the staff, including all of our executive management team and most of our senior managers, will be eligible to retire. With this challenge in mind, the agency is participating in the Office of Human Resources workforce-planning program.   Our goal is to ensure we can retain or recruit senior management and technical expertise while maintaining or improving the agency's diversity.

2.1d
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
During the preliminary stages of planning for our strategic plan, the executive leadership team along with key staff members, identify groups of constituents to involve in a formal SWOT analysis. This is 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. From these sources 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, and 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. The Executive Management Team reviews annual work plans to ensure that they focus on key strategies. Our plan to develop a balanced scorecard mentioned in last year's report has been delayed. As mentioned in the Executive Summary, we lost and will not be able to replace our Quality Coordinator as this time.

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. Directors of each of our two 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. 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. Our state historic preservation plan is posted on our website.

2.4

The key strategic objectives of the Department of Archives and History remain those six goals identified in our strategic plan for 2001-2004:

1. *To promote and encourage and understanding, appreciation, and preservation of the state's history and heritage.*

2. *To increase awareness, understanding, and use of the programs of the South Carolina Department of Archives and History.*

3. *To access needs and identify and secure funding and resources to support the mission of the SC Department of Archives and History.*

4. *To recruit, hire, retain, and develop the human resources necessary to fulfill the mission of the agency.*

5. *To continue to ensure our journey of excellence by evaluating effectiveness and improving our programs.*

6. *To increase and enhance preservation of and access to South Carolina state and local government records.*

A major addition to number 6 is a strategy to identify and secure the necessary resources to expand the hours of the Reference Room.

2.5

The agency's strategic plan is located at:
http://www.state.sc.us/scdah/stratplan200104.htm.

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

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

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

Archives considers determining customer requirements an ongoing process. One of the primary sources for determining our customer requirements is through the internal and external scans 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.

3.2

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

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

In previous years we used surveys to evaluate customer satisfaction. Because of staff reductions over the past two years, we were not able to conduct onsite surveys this year but hope to do more survey work this year.

3.3

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 about 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. Our focus during the past three years in the historic preservation program has been to implement the recommendation of the Task Force Report. Despite receiving no additional funding and the substantial budget reductions, seven of 18 historic preservation recommendations have been implemented, including three of the eight recommendations in priority one.

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.

In Archives and 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.

The Archives made available on its website in late FY2003 an extensive index to its earliest colonial, state, and local government records. Previously, patrons had to actually visit the Archives' Reference Room to use the index to locate relevant historical records. By the end of the FY, word of the index had spread rapidly. Not only did the index attract hundreds of hits, but 274 individuals actually placed photocopy orders for records located via the index, eliminating a trip to the Archives altogether. The rate of such use continues high into FY2004, at 60 photocopy requests per month. The availability of the Archives' online records index has streamlined an important Archives process and is saving many researchers time and expense in locating the records they need.

Furthermore, the agency addresses our customers' questions, needs, and concerns by producing free written material and guides. Each division keeps customers informed of policy changes, local and national legislative changes, product development, process changes and service improvements. Budget cuts have forced us to discontinue published newsletters. However, we still disseminate the same information by electronic means. Unfortunately, many of our individual customers do not utilize e-mail or listserve and are thereby not receiving the information. 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 make research requests 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.

A major expectation of our researchers is the ability to access original documents online. While we do not anticipate being able to meet their expectations in the near future, we did receive a grant from the State Library to conduct a pilot digitization program. Our goal was twofold, first to insure our staff had the expertise to produce a quality product so we could provide advice and assistance to other organizations in the state. Second, we want to make our records as accessible as possible. Currently, we are completing the digitizing of 9,800 Confederate pension applications that will be linked to an electronic index and available to researchers through our website. After conducting an online name search, researchers will be able to view the original document. This pilot project will also provide us with the experience to undertake larger digitization projects when funding is available.

3.4

Utilizing formal and informal data collection methods, we measure customer satisfaction with our products and services and improve our processes based on feedback. As mentioned in 3.1 we used customer survey cards in our reference, conservation, and facility rental program for several years, bud discontinued them this year due to budget cuts. Information from those surveys showed a high level of satisfaction with our services. The agency frequently receives correspondence complimenting staff members on their excellent customer service and very rarely receives letters complaining of poor service.

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

3.5

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 three new advisory groups were formed in 2001 and 2002 as a result of new customer requirements: the Summit Group of Historical Records Repositories and Organizations, the Local Government Records Advisory Council, and the State Government Records Advisory Council. The comments and dialog with these important customer groups provides staff with information that guides our planning processes.

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 nation's 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.

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, and 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. One key element of note is that over the last 10 years our FTE's have declined 48% while our work volume has increased steadily. This loss of staff members is reflected, for example, in an increased response time for reference queries from 12.6 days to 14.1 days (see section 7.2, p. 31). This measure will continue to decline during this year because the Reference Room is not open at night or on weekends and patrons who are not able to visit during regular state business hours are opting to use our research query service. Also, the Reference Room is now open on Monday, which was the day Reference staff used to work on queries. Finally, with our reduced hours and the availability of the COM index online, we are experiencing an increase in reference requests as researchers locate information and rely on our staff to retrieve and copy it for them.

4.2

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

4.3

Our performance measures link to our agency strategic plan 2000-2004, as well as department operational plans and reports for federally assisted programs. We are addressing our opportunities for monitoring our performance more accurately and consistently at the strategic level. Operational plans are monitored closely at the division level and data is used to project performance, as well as monitor effectiveness of the processes. We are 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.

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 to 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 and 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, RIF's, and voluntary separation incentives, we will focus on interagency staff work teams to pick up the functions necessary to function with our reduced staff.

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. We provide schedule flexibility that will assist our employees with their attendance at 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 Human Resource Office along with the new employee's supervisor ensures that the employee's 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. If necessary changes to the job duties and objectives may be revised to meet agency needs.

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 three 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 one-on-one 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 individual manager's Employee Management Performance System (EPMS), and monitored at interim and annual review sessions. The SAMS survey scheduled for May 2003 was not completed due to the loss of our Quality Coordinator and the lack of funds to employ a consultant to administer and tabulate the survey.

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

5.5

Archives seeks 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 six 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 and 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 near 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. 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. Many members of our staff serve as board members and/or volunteers at community non-profit organizations and are in leadership positions in their churches or synagogues.

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 01 and FY 02 and voluntary separation offerings in FY02 and FY03, 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 identified a desire by constituents for South Carolina History to be taught differently and more effectively. In October 2001, we received a three-year grant from the US Department of Education for $953,000. Partnering with school districts from across the state during the past two summers, the Archives coordinated professional development for 97 teachers from 20 school districts. Most exciting, participants learned American History in the context of local places and stories as told by museums and historic sites across the state. Currently, the Archives is supporting collaborative networks between teachers and public history professionals from 17 cultural institutions across the state.

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. Because of the budget cuts, our collection is publicly accessible only 45 hours a week, down from 62.5 hours a week. 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 deliver 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 few 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 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.

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 mangers 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
During the fiscal year, we facilitated planning by local and state planning organizations by enhancing our GIS data. We added data for 2,614 historic sites to our Cultural Resource Information System. We continue the data-sharing program with the Office of Ocean and Coastal Resource Management and the South Carolina Department of Transportation. These agencies are provided with frequent GIS updates to assist them with their responsibilities.

During the fiscal year, our agency also collaborated with the University of South Carolina's Public History program to create a GIS-related internship. The internship involved creating Internet-based maps of National Register Districts and the digitization of historic site data from across the state. The National Register District maps will be published on our agency's web page and the historic site data has been added to our Cultural Resource Information System. We plan to have another GIS-related internship during the next fiscal year.

Finally, our GIS manager received a $740 scholarship from the National Conference of State Historic Preservation Officers to attend a three-day workshop on developing an Internet Map Server. Our goal is to make our historic property information available to consultants, planners, and state agencies over the web within the next few years.

7.0 Business Results

7.1 Customer Satisfaction Results

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
FY 01/02 Aggregate Customer Satisfaction Rating: 4.9 out of possible 5
FY 02/03 Aggregate Customer Satisfaction Rating: 4.8 out of possible 5

7.2 Mission Accomplishment

a. Measure Definition: In April 2002, (fourth quarter FY2002) due to budget cuts that, cumulatively since late FY2001 exceeded 18%, the Archives was forced to reduce the hours the Reference room was open to the public thus eliminated evening and weekend hours. The accompanying chart graphically depicts the reduced number of visits both for fiscal year 2002 and FY 2003.

Reference Room Visits
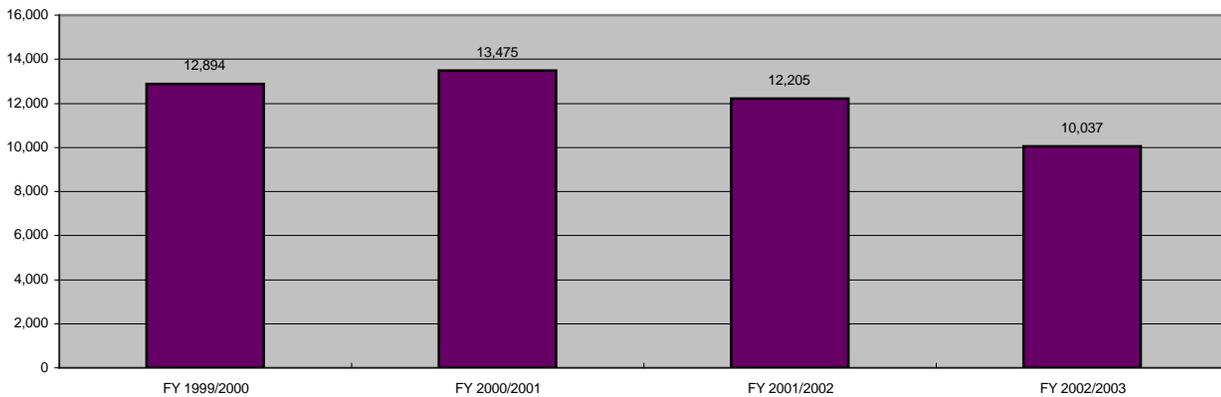
b. Measure Definition: This outreach measure illustrates a trend that we are likely to continue to see from our constituents. As the number of letters drop, the number of telephone calls increase. As the number of letters and telephone calls drop, e-mail requests increase substantially. These numbers 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.

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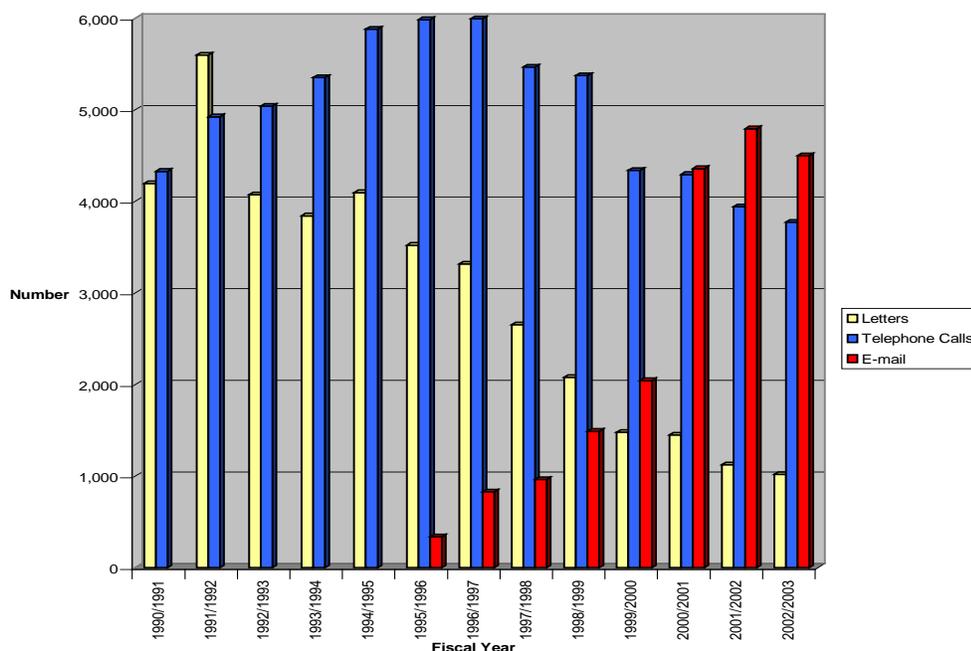
c. Measure Definition: Average response time for Research Room Reference Queries, from the time the request is received to the time the information is sent back to the customer.

Reference Services: Response Time for Reference Queries
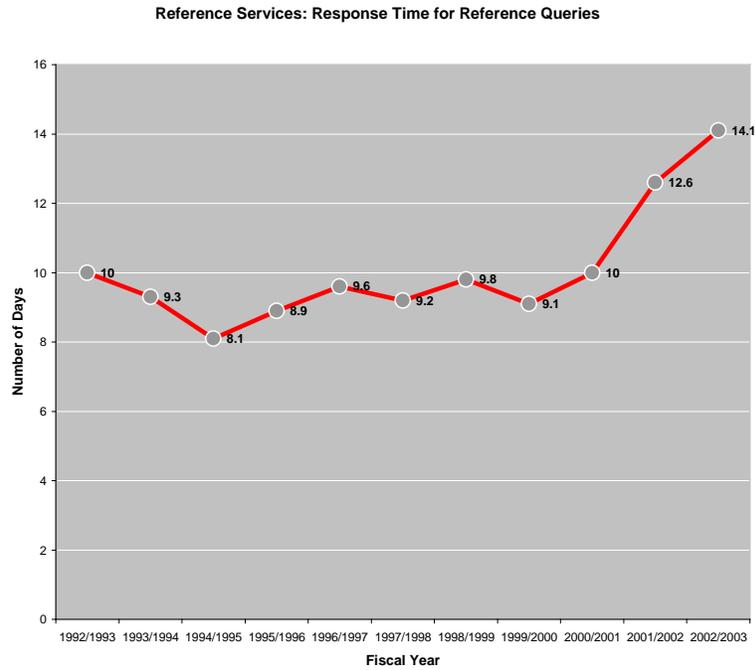
d. Measure Definition: The availability of information electronically has become essential for our customers within SC, and across the nation. We measure the number of total visits to our site as well as hits within our web pages to see if customers are utilizing this medium for accessing information.

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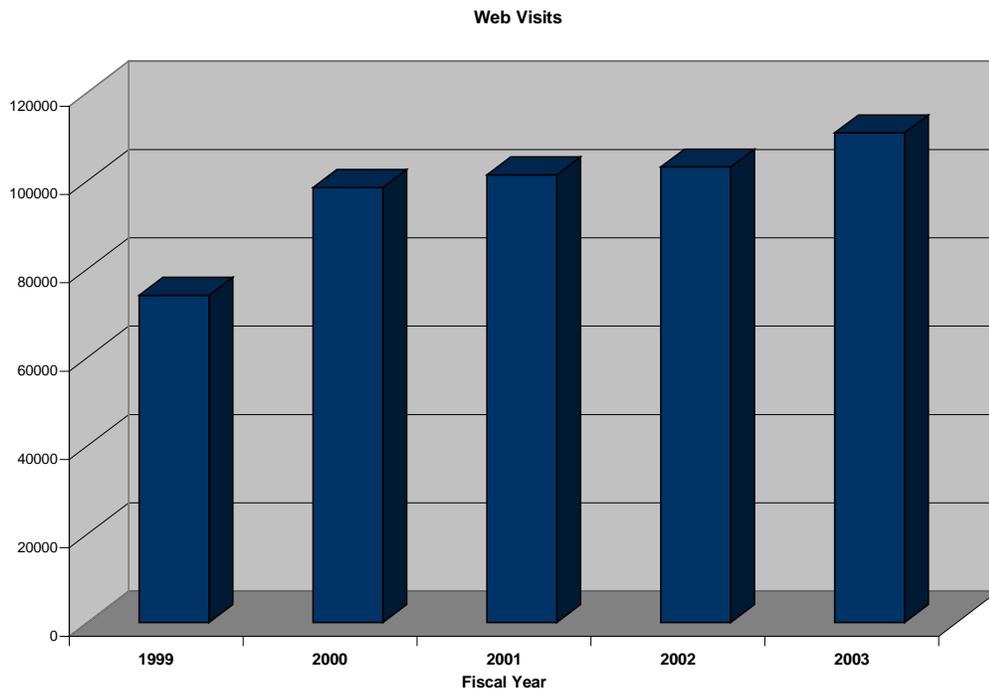
e. Measure Definition: The number of weeks it takes to approve a records retention schedule has remained constant since FY 95/96. Since 1996, we have tracked the percent completed within two weeks.

Percent of State Agencies Implementing Records Retention Schedules

Fiscal Year	Percent
1992/1993	37%
1993/1994	51%
1994/1995	64%
1995/1996	66%
1996/1997	57%
1997/1998	61%
1998/1999	72%
1999/2000	71%
2000/2001	80%
2001/2002	77%
2002/2003	84%
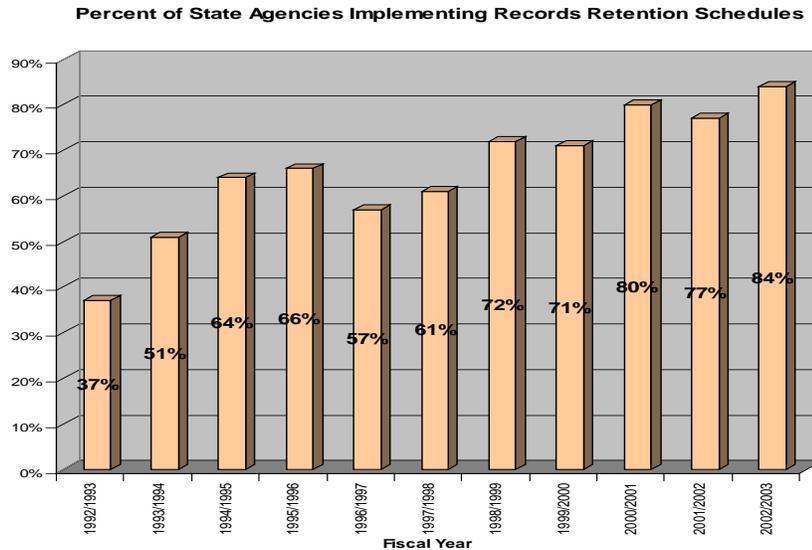
f. Measure Definition: 84% of state agencies have destroyed records in compliance with the Public Records Act. 105 million pages of state and local government records of no further value destroyed in conformance with Archives' authorized records retention/disposition schedules, thereby freeing up government office and storage space.

g. Measure Definition: We are mandated to preserve the documentary heritage of our state through our archival programs. In FY03 we microfilmed and conserved **824,841** historical documents

Archives and Records Management Outreach in FY 02/03:
17,068 state and local officials and the general public reached through technical assistance responses, conferences, workshops, tours, newsletters, and other publications.

h. 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. The position that coordinated local government training was vacated early in the fiscal year and we were not able to fill it because of budget cuts. By reassigning duties among existing staff we plan to increase training in the next fiscal year.

 # Communities Receiving Technical Training
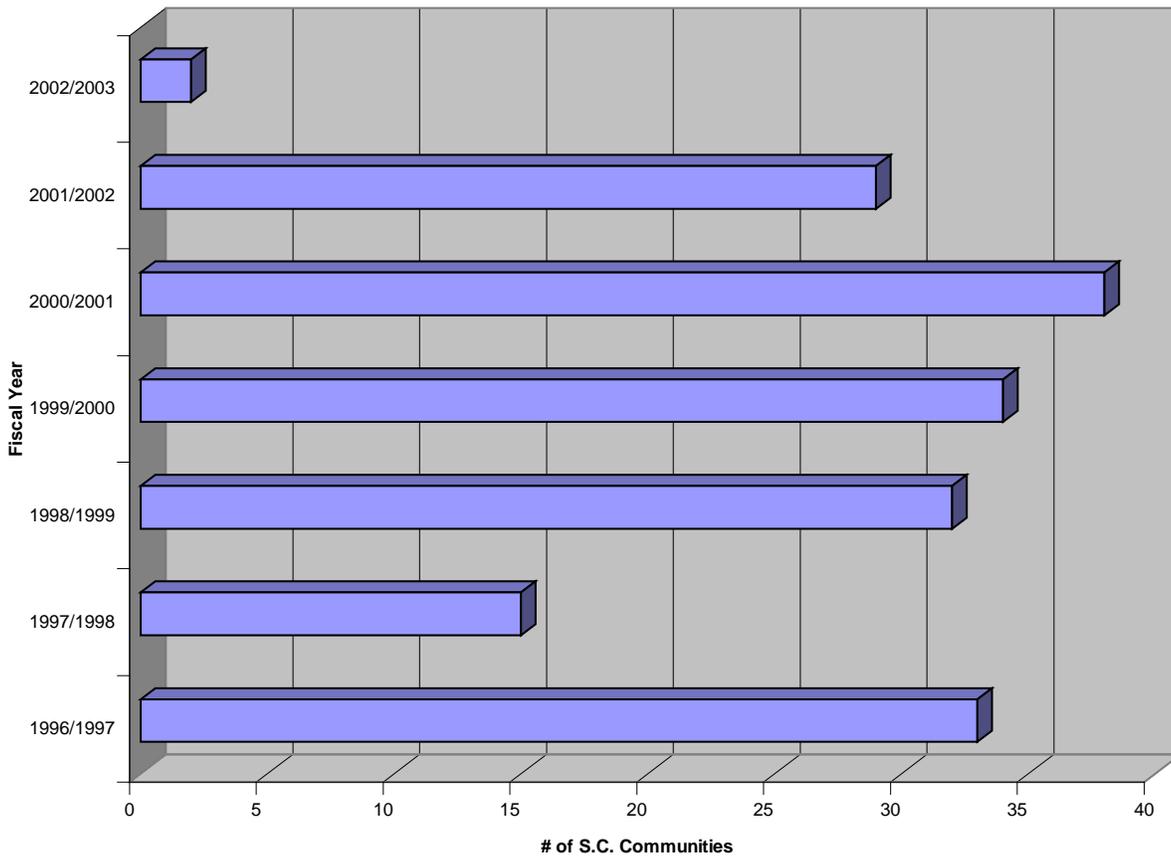
Outreach by Fiscal Year
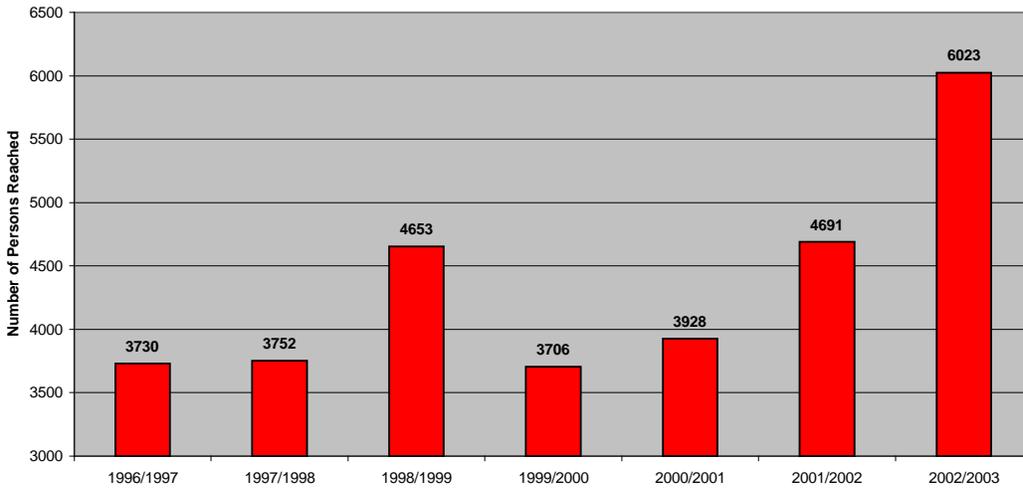
The charts (above and below) represent the number of presentations made and people reached through our Speaker's Bureau over the last seven fiscal years. Educational outreach is part of the Archives mission and by providing speakers to our constituents around the state we are able to create advocacy and awareness of cultural and documentary preservation and history.

Speakers Bureau Outreach Presentations
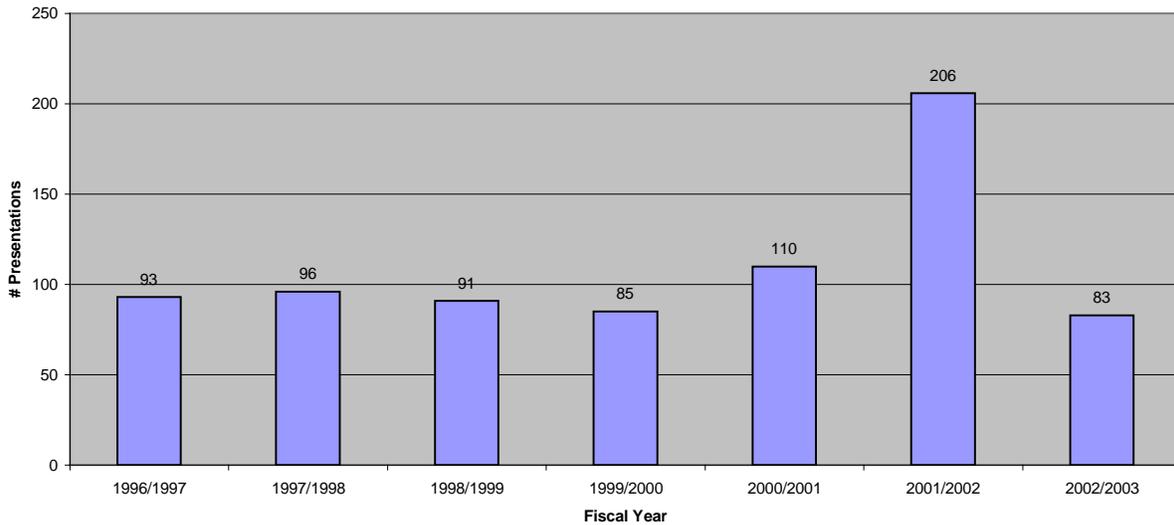
i. Measure Definition: % of state or federally funded or permitted construction projects reviewed within 30 days.

% of Plans Reviewed within 30 Days

Fiscal Year	%
96/97	97%
97/98	96%
98/99	96%
99/00	95%
00/01	95%
01/02	94%
02/03	94%
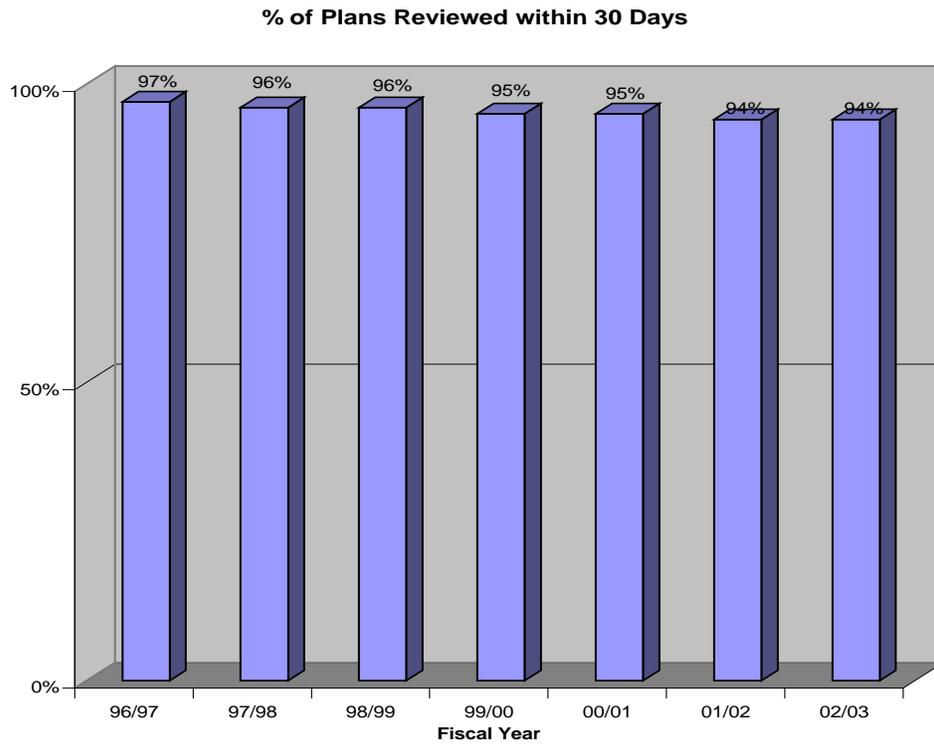
7.3 Human Resource Results

This year, we did not have a formal suggestion process but rather encouraged staff to make suggested improvements to appropriate workgroups.

7.4 Supplier/Partner Results

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

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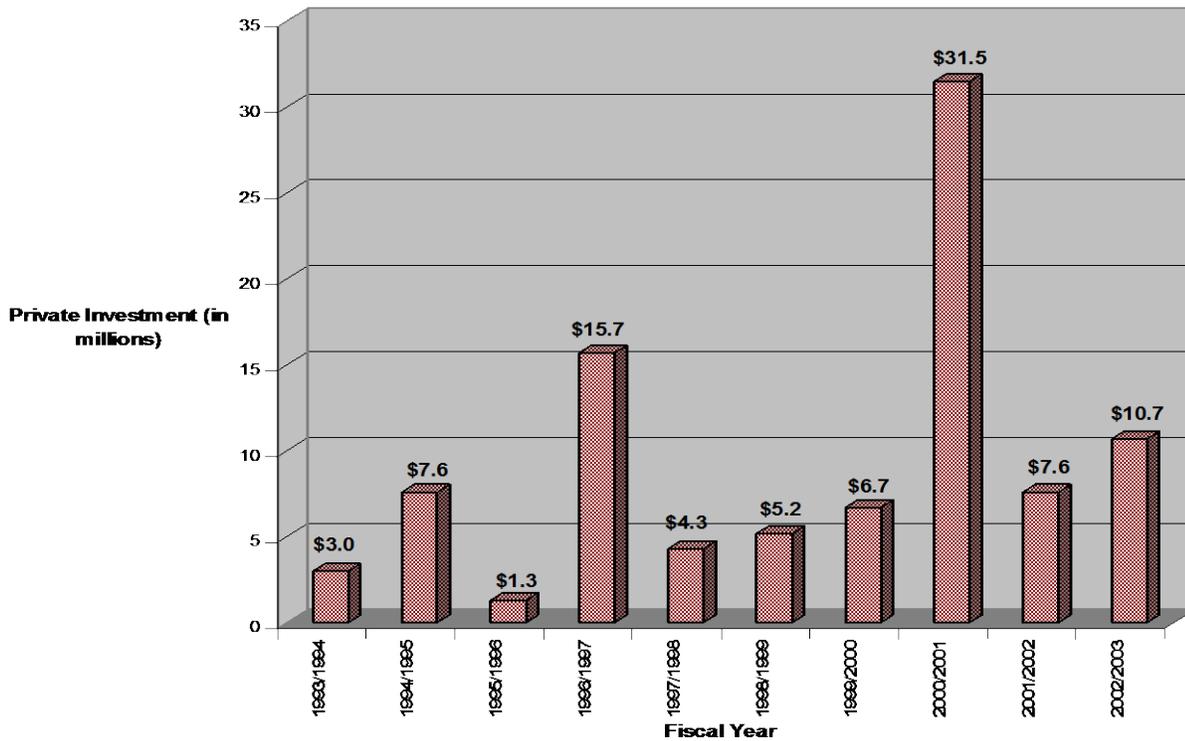
b. Measure Definition: In partnership with our Public, Private and Home Schooling communities we work with educators to more effectively teach the use of primary and secondary resources for historical research. Through this effort we work with students to become involved in a National program called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

Students Participating In National History Day in S.C. Schools
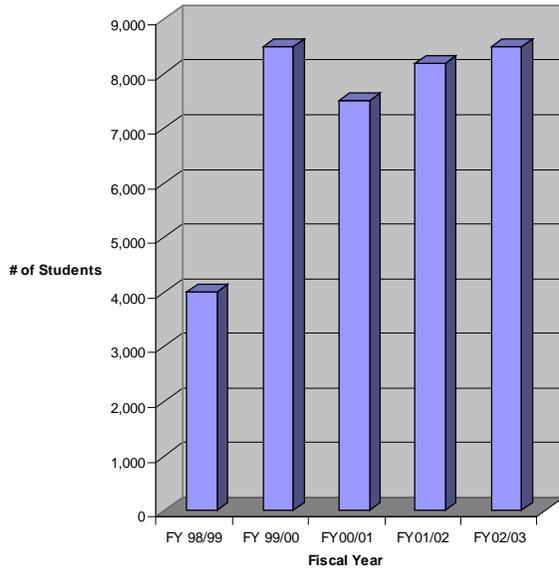
National History Day Data
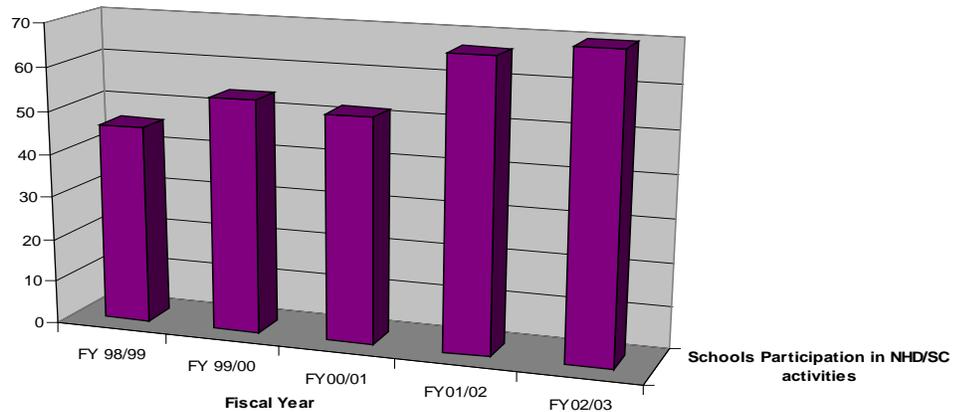
c. Measure Definition: We review and approve the text for historical markers erected by communities and organizations across the state. (In 2000/2001 we evaluated and improved the process and eliminated a backlog.)

Historical Markers Approved
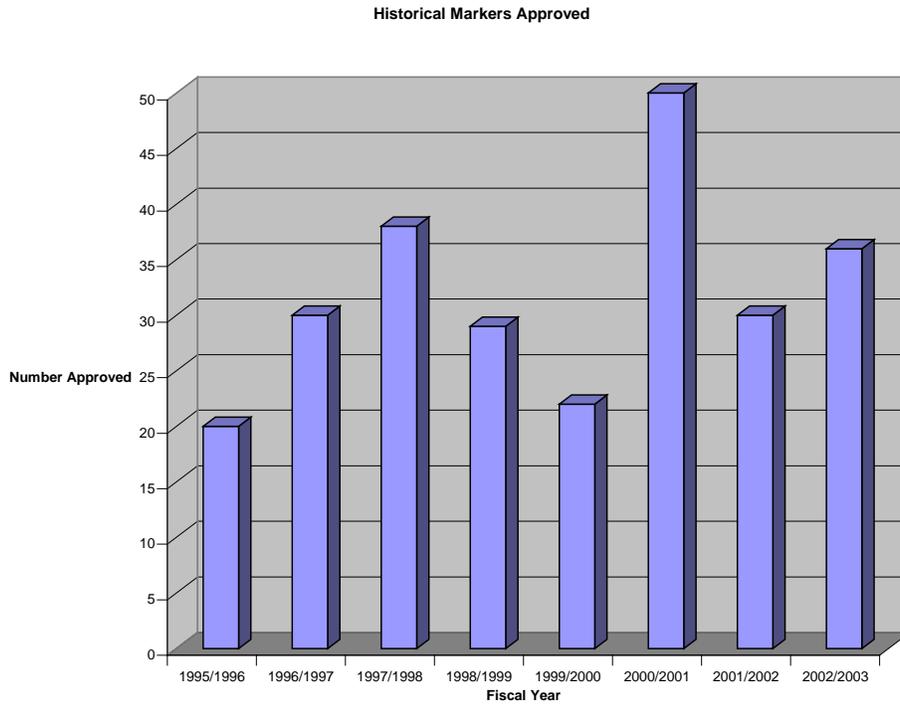
d. Measure Definition: Working with our government partners we provide safe and environmentally controlled storage for records. Through our Records Management Division in FY 01/02, **45 million pages** of records in paper and microfilm were transferred by state agencies and local governments for security Records Center Storage. 17.7 Million pages 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 our agency is currently working on to begin tracking data. 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.

In-House Publications Cost-Savings
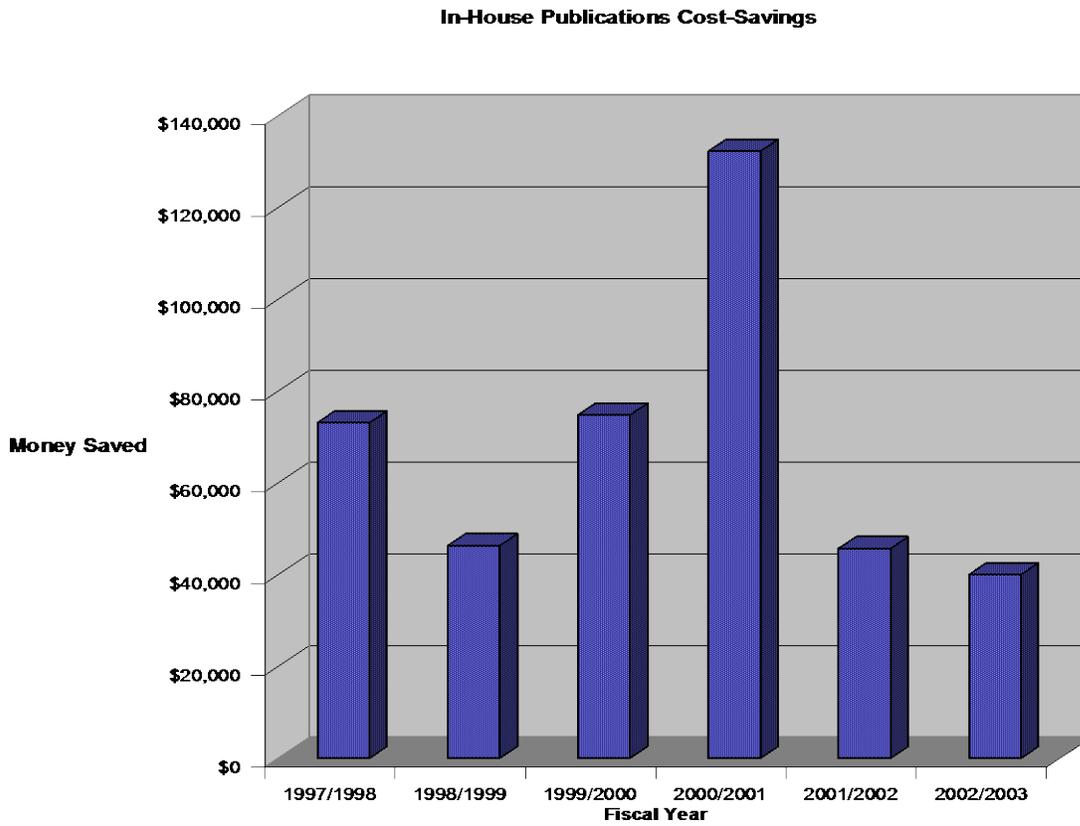
Facility Usage

a. Measure Definition: This illustration tracks revenue from the Facility Rental.

## Facility Rental Revenue by Fiscal Year
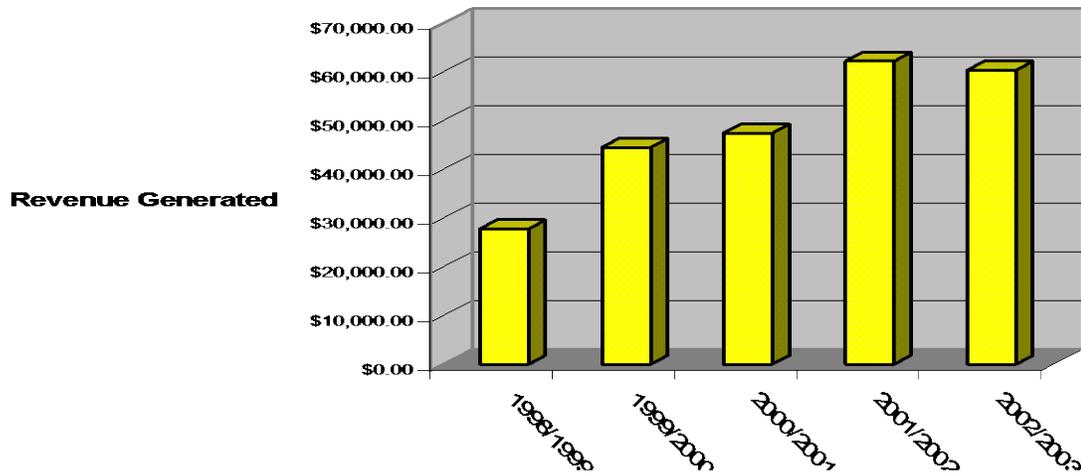
B. Measure Definition: We view our Facility Rental program, as not only a source of income, but also as an opportunity to have people visit the Archives and History Center. While here, visitors have an opportunity to learn about our programs and visit the exhibitions in our gallery. In 2001/2002 the increase in external visitors while the number of groups declined reflects our strategy to attract larger groups. This means our facility rental coordinator has fewer contracts to complete while increasing both visitors and income.

External Visitors
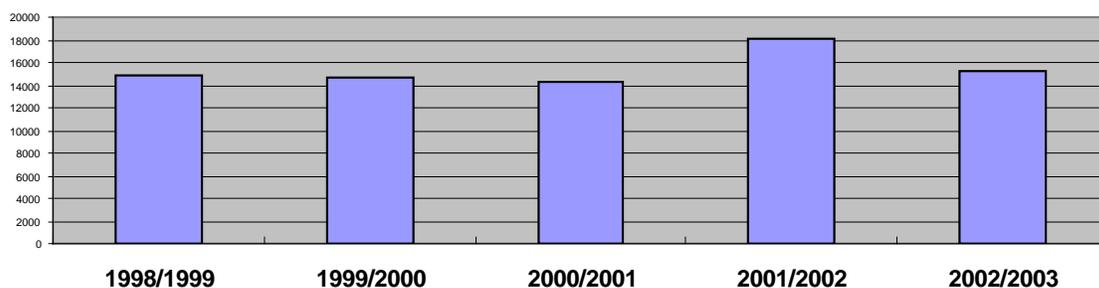
of Groups Using Facility
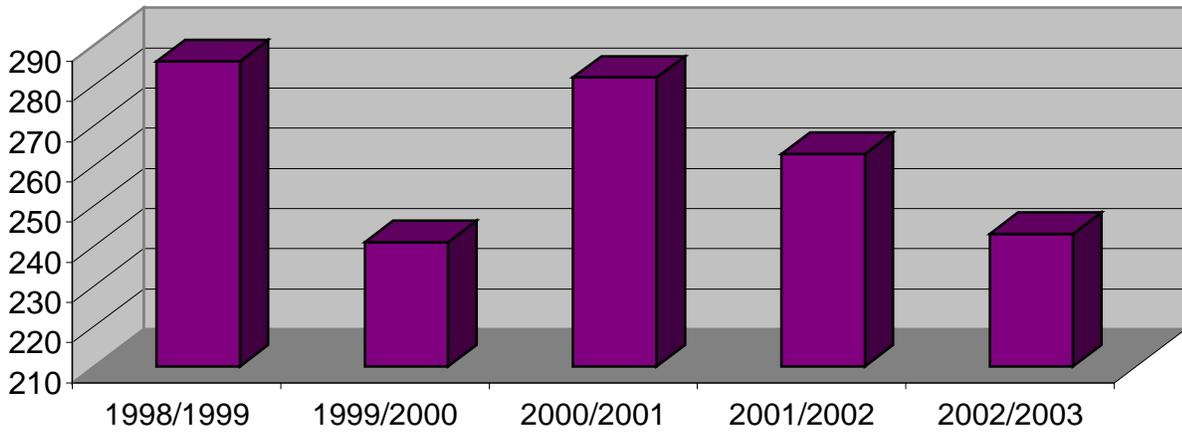
State Records Center

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.

71% 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