

DIOCESAN RECORDS MANAGEMENT

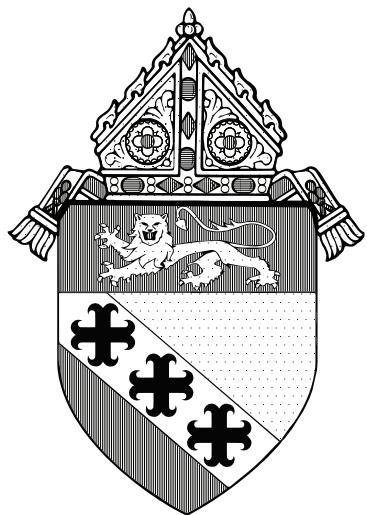


CATHOLIC DIOCESE OF CHARLESTON
OFFICE OF ARCHIVES AND RECORDS MANAGEMENT

Front cover:

Bishop's residence, Charleston, South Carolina, circa 1960.

This house dates from 1790, when Ralph Izard laid its foundation. In 1829, Colonel Thomas Pinckney purchased the unfinished residence and completed its construction. Pinckney's daughter, Rosetta Ella Pinckney Izard, sold the house in 1866 to Patrick Lynch, third bishop of Charleston. It has remained the residence of Charleston's bishops ever since.



DIOCESAN RECORDS MANAGEMENT

Introduction & Records Retention Schedules

Catholic Diocese of Charleston, South Carolina

Office of Archives & Records Management

29 May 2013

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FOREWORD

by Bishop Robert Guglielmone

It is the policy of this diocese to identify, properly arrange, maintain, and safeguard records required to conduct its spiritual and temporal affairs. The publication of this handbook is intended to help diocesan personnel satisfy that serious obligation. While it is not being promulgated as particular law, its provisions should be observed. Of course, the dictates of Canon Law as well as federal and state law always apply.

Signed,

A handwritten signature in black ink, appearing to read '+ Robert E. Guglielmone'.

Most Rev. Robert E. Guglielmone
Bishop of Charleston

INTRODUCTION

Purpose

Basic records management ensures that 1) administrators have better control of their business records, 2) the agency conforms to legal requirements, 3) time and money are not wasted on the retention of unnecessary or obsolete records, and 4) the records concerning the rights, privileges, and history of Catholics in the Diocese of Charleston are protected and preserved.

Records Management Defined

Records management is the systematic control of the recorded information necessary for an organization's operation. Its purpose is to assure that obsolete information may routinely be discarded and that valuable information is protected and maintained in a manner that facilitates its access and use. By eliminating unnecessary information and identifying information of enduring value, offices realize cost and space savings, experience an increase in efficiency, and are compliant with laws and regulations.

Not all records need to be maintained forever. Most have a relatively short time period of value and can be removed from an office on a regular basis. A records retention schedule identifies the lifespan for record series, which are groups of identical or related records that are used and filed as a unit. Record series are appraised to determine how long each must be maintained. The appraisal is based on four values:

Administrative value:

The usefulness of a record in the conduct of an organization's business. These include records that document policy and operations. Policy records are generally retained permanently, while operations records are usually considered to have short-term value.

Legal/Canonical value:

The usefulness of a record complying with statutes and regulations of all civil and canonical jurisdictions. Records having legal value generally document legal or property rights of individuals or of the entity that created or maintained the records.

Fiscal value:

The usefulness of a record in documenting the financial transactions of a company or as evidence of a company's tax liability. Records having fiscal value usually relate to financial transactions and normally have short-term retention. Records documenting fiscal policy may have permanent value.

Historic value:

Records having historic or research value are retained permanently because they provide documentation of key functions, policies, activities, and events of the organization, and/or provide information on associated persons, subjects, and events.

Instructions for Using Records Retention Schedules

Records retention schedules provide guidelines for how long an office or agency should retain groups of related documents, known as record series. The schedules set the minimum amount of time that an office should retain a record.

A general records retention schedule, like the one at the beginning of this document, is comprehensive. It includes records that may potentially be in any or all offices of an organization. As a result, staff may find that they do not have some records listed in the general schedule. That is not a problem. The general schedule only sets the retention requirements of those records that already exist in an office. It does not require an office to create all the records listed.

The other records retention schedules in this document apply to a number of diocesan offices holding record series not found elsewhere. Not every office has its own schedule. Those with unique schedules must reference them in conjunction with the general schedule. An office with a unique schedule should maintain all the record series listed on it.

Each schedule contains four columns. The first and second columns provide the title and a brief description of the record series. The third column defines the minimum retention for a record series. The last column states the final action to be taken.

Office staff should conduct records reviews regularly, usually on an annual basis. Referencing the appropriate record retention schedule(s), they can identify records ready for transfer (usually to diocesan archives) or destruction. However, staff must contact the Office of Archives and Records Management for instruction before transferring records to diocesan archives or destroying records from a scheduled series.

References

If you have any questions or concerns, or if your office holds records that are not identified on a retention schedule, please contact the Office of Archives and Records Management.

ATTENTION

Records retention periods are subject to change. For the most current retention schedule, please consult the Office of Archives and Records Management.

www.sccatholic.org/archives-and-records-management/resources

GENERAL RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Budget Working Materials	Materials used by an office to prepare and submit an annual budget. Also used by Finance in compiling a draft diocesan budget.	3 years.	Destroy.
Calendars	N/A.	Until administrative value ceases.	Destroy.
Capital Goods	Inventory and documents related to equipment, furniture, and other goods with value greater than \$5,000 and a useful life greater than one year.	7 years after property disposal.	Destroy.
Check Requests (copies)	These are copies of check requests submitted by an office or agency to diocesan Accounts Payable (A/P) for issue of checks for bills of the respective agency. These are redundant copies some offices have chosen to keep. The record copy of the request is maintained by A/P.	Until administrative value ceases.	Destroy.
Conferences, Workshops, and Seminars (Diocesan Sponsored)	Includes registration materials, letters, brochures, related hotel and restaurant information, etc.	Possible selections for permanent retention; please consult Archives. Remainder retained until administrative value ceases.	Transfer permanent selections to Archives. Destroy the remainder.
Contracts, Major	Documentation of contractual relationship between the diocese or its agencies and an entity. Includes contracts of real estate, employer/employee, capital improvements, and construction projects.	Review for extended retention of select records; please consult Archives. Generally, 50 years after cancellation or expiration.	Review for extended retention; destroy the remainder.
Contracts, Minor	Documentation of contractual relationship between agencies and service providers. Includes contract with description of the services to be provided, dates of the contract, signatures, and correspondence.	Current year plus 1 year after cancellation or expiration.	Destroy.
Correspondence, Routine & General	Excludes correspondence of executive offices (e.g., Bishop, Vicar General, Chancellor, and Chief Financial Officer).	Until administrative value ceases.	Destroy.

GENERAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Credit Card Payments	Documentation that includes credit card numbers, account holder names, and security information necessary to debit a credit card. The payment may be for restricted, temporarily restricted, or unrestricted gifts. Destroyed after transaction for PCI compliance.	Just long enough to make the transaction.	Destroy.
Deeds, Titles, and Conveyance of Real Property	Deeds to real property owned or used by the Diocese of Charleston.	Permanent.	Transfer to Archives.
Executive Speeches, Homilies, etc.	Final copies of speeches concerning policy issues, strategic planning, legislation concerning the Diocese of Charleston or its agency, and other related topics.	Possible selections for permanent retention; please consult Archives.	Transfer permanent selections to Archives. Destroy the remainder.
Governing Documents	Constitutions, by-laws, policies, regulations, rules, procedures.	Select items retained permanently. Please consult Archives.	Transfer select items to Archives. Destroy the remainder.
Grants	Grant applications and correspondence with granting agencies. May also include documentation of grants awarded: contracts, financial statements, correspondence, progress and final reports, etc.	For grants awarded - permanent retention for final accounting and summary documents only. For the remainder (i.e., the working materials) and grant applications not awarded - 3 years.	For grants awarded - transfer final accounting and summary documentation to Archives. For the remainder and grant applications not awarded – destroy.
Incident Reports	Records relevant to an accident, injury, or other incident involving a staff member or visitor that has potential to hold the diocese criminally or civilly liable. Excludes allegations of misconduct (Child Protection Services – Allegations of Misconduct).	10 years.	Destroy.
Leases, Real Property	N/A.	7 years after expiration or cancellation.	Destroy.

GENERAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Leave Records (copies)	Reference copies of documentation of amount of leave earned and taken by diocesan employees. Original maintained by Human Resources and Payroll.	Until administrative value ceases.	Destroy.
Leave Requests (copies)	Reference copies of forms complete by diocesan employee to request time off from work. Originals maintained by Human Resources and Payroll.	Until administrative value ceases.	Destroy.
Litigation Case Files	Judicial proceedings which involve the Diocese of Charleston or its agency. Include some or all of the following: affidavits, summons and complaints, responses, orders of dismissal, notice of general appeal, laws and regulations applying to particular cases, legal briefs, transcripts of proceedings, orders, court decisions, correspondence, memos, binders, releases, disposition document, etc.	Selections may be retained permanently. Please consult Archives.	Transfer to Archives.
Meeting Minutes, Non-Executive Advisory Bodies	Agendas, minutes, correspondence, working papers of non-executive level groups.	Until administrative value ceases.	Destroy.
Monthly Budget Reports	Monthly expenditure details reports sent from Finance Office to agency head. Includes agency's expenditures versus income and comparison with annual budget to date.	1 year.	Destroy.
Organizational Charts	Agency/department organizational structure.	Permanent.	Transfer to Archives.
Personnel Files (copies)	Reference copies of general materials on department personnel that include copies of job description, leave requests, and copies of performance evaluations. All are reference copies. The office of record for Personnel Files is Human Resources (See HR Record Retention Schedule).	Until administrative value ceases.	Destroy.
Phone Logs	N/A.	Until administrative value ceases.	Destroy.

GENERAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Photographs	Photographs of agency activities.	Possible selections for permanent retention; please consult Archives.	Transfer to Archives.
Program/Project Files	Working files relevant to special projects.	Select items retained permanently; please consult Archives. Policy and program records kept permanent; general administrative and financial records kept 7 years; general housekeeping records kept until administrative value ceases.	Transfer select items to Archives. Destroy the remainder.
Publications and Productions	Publications and productions created by an office or agency of the Diocese.	Final product has permanent retention. Working materials retained until administrative value ceases.	Transfer to Archives.
Reference Materials	Routine office management files including memoranda, reports, printed matter, and other reference materials.	Until administrative value cease.	Destroy.
Subject Files	N/A.	Selections may be permanent. Please consult Archives.	Transfer selections to Archives. Destroy the remainder.
Summary Activity Reports	Summary statistics and/or financial report of the annual office performance (produced by that office, an entity of that office, or a third party). Note that monthly, quarterly, or other subordinate reports might fulfill this record series if the office does not maintain annual summarized reports.	Permanent.	One copy to Archives.
Surveys, Maps, and Boundaries	Developed by the agency to carry out its mission and function. Of primary importance are property and parish boundaries.	Selections may be permanent. Please consult Archives.	Transfer to Archives.

GENERAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Time Sheets (copies)	Copies of the record of individuals' work hours during one pay period (two weeks) some offices have chosen to keep. These are redundant copies. The original record copy is sent to and maintained by Payroll.	Until administrative value ceases.	Destroy.
Transmittals (copies)	These are copies of transmittals of checks or cash from an office to diocesan Finance Office for deposit that some offices have chosen to keep. These are redundant copies. The record copy of the transmittal is maintained by Finance Offices.	3 years.	Destroy.

OFFICE RECORDS

ARCHIVES AND RECORDS MANAGEMENT

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Deeds of Gift	Record of transfer of physical and intellectual ownership of records or materials to the Diocese of Charleston. In addition to the deed of gift, the series may include selections of correspondence and other documentation that demonstrates transfer of ownership.	Permanent.	N/A
Finding Aids	Print and electronic description and location guides of archival collections.	Permanent.	N/A
Image Reproduction Requests	Correspondence and signed agreements providing permission to individuals and companies for the reproduction of an image with copyright held by the Diocese of Charleston.	Indefinite.	N/A
Researcher Applications	Annual applications of researchers that include personal contact information and a brief description about their research and intent.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

BISHOP'S OFFICE

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Bishop's Correspondence, Non-Routine	All incoming and outgoing written communications, including e-mails and attachments that have long-term or permanent retention. Examples include correspondence regarding policy, procedure, or personnel.	Permanent.	Transfer to Archives.
Bishop's Correspondence, Routine	All incoming and outgoing written communications, including e-mails, with short-term administrative value. Examples include thank you notes, greeting cards, exchange of pleasantries, etc.	2 years.	Destroy.
Bishop's Office Calendar	Bishop's most inclusive schedule, available only to him and his staff.	Permanent.	Transfer to Archives.
Bishop's Subject Files	Reference files on varied subjects and individuals.	Indefinite/ Permanent.	Transfer to Archives.
Minutes	Minutes of executive level meetings. Because the Bishop is an ex officio member of all executive level committees, his office is responsible for preservation of the official copies of minutes.	Permanent.	Transfer to Archives.
Writings/Publications	Public writings (e.g., pastoral letters) and publications of the bishop.	Permanent.	Transfer to Archives.

CATECHESIS AND CHRISTIAN INITIATION

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Catechists Certificates	Copies of certificates issued to individuals who have met the diocesan standards requirements for providing religious instruction.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

CATHOLIC CHARITIES

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Accounts Payable	Regional office check requests (manual checks) drawn solely from Catholic Charities checking account. The information is recorded in the diocesan general ledger.	7 years.	Destroy.
Adoption Records	Applications, correspondence, medical information, and biological and adoptive parent information regarding children in the care of Catholic Charities adoption services.	Permanent.	Transfer to Archives.
Carter May Home, Personnel Files	Employee records required by DHEC to be maintained on-site for the personnel who administer care for residents. Information includes training, medical testing (e.g., tuberculosis screening), applications, background screening, and education credentials.	7 years after termination.	Destroy.
Carter May Home, DHEC Inspection Reports	Fire, dietary, and complete inspection.	Permanent.	Transfer to Archives.
Carter May Home, DHEC License Information	Yearly license.	Permanent.	Transfer to Archives.
Carter May Home, Quarterly Billing Reports	N/A.	7 years.	Destroy.
Carter May Home, Resident Records	Information for specific residents include dispensing of medications, admission records, medical history, orders and progress notes, home health visits, assessment care plans, discharge, next of kin, etc.	10 years.	Destroy.
Financial Assistance Records	Record of financial assistance provided to individuals by Catholic Charities or an agency of Catholic Charities.	7 years.	Destroy.

OFFICE RECORDS CONT.

CATHOLIC CHARITIES CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Legal Assistance Records	Record of legal services provided to individuals by Catholic Charities or an agency of Catholic Charities. Records may include information relevant to crime victim assistance and immigration services.	7 years.	Destroy.
Medical Assistance Records	Record of medical services provide to individuals by Catholic Charities or an agency of Catholic Charities. May include medications, admission records, medical history, orders and progress notes, home health visits, assessment care plans, discharge, next of kin, payments, invoices, etc.	10 years after death or discharge from Catholic Charities care.	Destroy.
Retirement Enrollment and Beneficiaries	Forms for enrollment, current address, and designation of beneficiaries for employees or former employees that elected to enroll in the diocesan retirement benefit.	Indefinite.	N/A.
Volunteer Applications	Application forms and confidentiality agreements for volunteers of central and regional offices. Stored at the central office.	7 years after termination.	Destroy.
Volunteer Time Sheets	Forms for tracking hours and services of volunteers.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

CEMETERIES

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Burial Contracts	Agreement of payment between the customer and the diocese. Office of Cemeteries maintains electronic scans of originals. Copies of scans maintained off-site.	Paid in full: 1 year. Cancelled: 100 years.	Destroy.
Burial Marker Orders	Order materials, including inventory reference numbers and the like, for individual grave markers.	Until administrative value ceases; not less than 3 years.	Destroy.
Burial Registry Database	Comprehensive electronic database that records, among other things, individuals buried, location of burial, payments made, amounts due, birth and death dates of buried, date of burial, funeral home used, opening/closing of graves, exhumation and transfers, date and reference number of original deeds, date and reference number of original contract, transfer of deeds, etc. Cemeteries regularly backs-up database to compact discs. Back-up CDs are maintained off-site.	Indefinite.	N/A
Certificates of Burial Rights (copies)	Certificates of burial rights. No transfer of property ownership. Duplicates held in Cemeteries Office, originals held in Chancery (Bishop's Office). Office of Cemeteries maintains electronic scans of originals. Copies of scans maintained off-site.	Originals - Permanent. Copies - Until administrative value ceases.	Transfer originals to Office of the Bishop. Destroy copies.
Day Planners	Calendars listing individual burials on the relevant date.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

CHANCELLOR, OFFICE OF THE

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Building and Maintenance	Materials relevant to the maintenance of Chancery structures.	3 years. Selections may be permanent (e.g., architectural drawings). Please consult Archives.	Transfer permanent selections to Archives. Destroy the remainder.
Caritas	Monthly information package of news items, minutes, forms, calendars, etc. usually mailed to each parish and priest. (See also Media Relations – Correspondence/Press Releases).	Permanent.	Transfer to Archives.
Certificates of Burial Rights	Original certificates of burial rights for Holy Cross and St. Lawrence Cemeteries.	Permanent.	Transfer to Archives.
Chancellor's Correspondence, Non-Routine	All incoming and outgoing written communications, including e-mails and attachments, which have long-term or permanent retention. Examples include correspondence regarding policy, procedure, or personnel.	Permanent.	Transfer to Archives.
Chancellor's Correspondence, Routine	All incoming/outgoing written communications, including e-mails, with short-term administrative value. Examples include thank you notes, greeting cards, exchange of pleasantries, etc.	2 years.	Destroy.
Marriage Dispensations	N/A.	Permanent.	Transfer to Archives.
Papal Audience	Materials relevant to requests for papal audience.	Until administrative value ceases.	Destroy.
Papal Blessings	Materials relevant to requests for papal blessings.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

CHIEF FINANCIAL OFFICER, OFFICE OF THE

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Audit, Internal and External	Final report.	Permanent.	Transfer to Archives.
Budget Reports	Annual chancery budget report.	Current year plus 2 years.	Destroy.
Catholic Umbrella Pool (CUP) Agreement	Agreement of participation in the Catholic Umbrella Pool.	Indefinite. For the life of the pool.	Transfer to Archives.
Chief Financial Officer's Correspondence, Non-Routine	All incoming/outgoing written communications, including e-mails and attachments, which have long-term or permanent retention as identified by office staff. Examples include correspondence regarding policy, procedure, or personnel.	Permanent.	Transfer to Archives.
Chief Financial Officer's Correspondence, Routine	All incoming/outgoing written communications, including e-mails, with short-term administrative value. Examples include thank you notes, greeting cards, exchange of pleasantries, etc.	Until administrative value ceases.	Destroy.
Construction	Records of building projects and activities including general correspondence regarding projects, meeting notices and information, architectural drawings, land plats/surveys, project budget information, project photos, contractor agreements, contractor invoices. See also General Schedule – Contracts, Major.	As-built drawings, land plats, and surveys retained permanently. Construction drawings retained until receipt of as-built drawings. 15 years for the remainder.	Transfer select documentation to Archives. Destroy the remainder.
Endowment, Bishop Annual Appeal (BAA) - formerly Diocesan Development Fund (DDF)	A record of activity pertaining to BAA. General correspondence, historical data, kickoff meeting information, consultant/consulting services, fund statements, applications, meetings (dates, information, correspondence, etc.).	Until the fund is exhausted plus 3 years.	Destroy.
Estates/Gifts/Trusts/Endowments	Copies of wills and agreements.	Permanent retention of select documentation at closing of fund. Please consult Archives.	Transfer to Archives select documentation at closing of fund. Destroy the remainder.

OFFICE RECORDS CONT.

CHIEF FINANCIAL OFFICER, OFFICE OF THE, CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Funds, Miscellaneous	Includes applications, campaign information, stewardship appeals, annual reports, endowment booklets, correspondence, etc.	Until administrative value ceases.	Destroy.
General Ledgers	Record of incoming and outgoing monies.	Permanent.	Transfer to Archives.
Gifts and Contributions, Restricted	Life insurance policies of donors, gift annuity information, matching gifts application, confirmation receipts of investment sales, investment statements of accounts of donors, investment company notices of address changes of donors, bankruptcy notices, stock certificate copies, corporate action notices, donor wills, titles to real estate for time shares, life insurance policy statements.	Permanent.	Transfer to Archives.
Gifts and Contributions, Temporarily Restricted	Life insurance policies of donors, gift annuity information, matching gifts application, confirmation receipts of investment sales, investment statements of accounts of donors, investment company notices of address changes of donors, bankruptcy notices, stock certificate copies, corporate action notices, donor wills, titles to real estate for time shares, life insurance policy statements.	7 years after restriction has been met.	Destroy.
Gifts and Contributions, Unrestricted	Life insurance policies of donors, gift annuity information, matching gifts application, confirmation receipts of investment sales, investment statements of accounts of donors, investment company notices of address changes of donors, bankruptcy notices, stock certificate copies, corporate action notices, donor wills, titles to real estate for time shares, life insurance policy statements.	7 years.	Destroy.

OFFICE RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Insurance, Auto	Insurance policies for motor vehicle.	7 years.	Destroy.
Insurance, Flood	Flood insurance policies.	7 years.	Destroy.
Insurance Ledger	Catholic Mutual Group ledger pages.	Current year plus 2 years.	Destroy.
Insurance, Liability	Insurance policies for liability; includes general liability, fiduciary liability, directors and officers (D&O) liability, etc.	100 years.	Destroy.
Insurance, Property	Insurance policies for property.	100 years.	Destroy.
Job Economic Development Authority	Funding for schools and teachers.	Until administrative value ceases.	Destroy.
Journal	Details of ledger.	7 years.	Destroy.
Leases, Real Property	N/A.	7 years after expiration or cancellation.	Destroy.
Legal Invoices	Invoices of diocesan counsel.	3 years.	Destroy.
Legal, General	Chronological files regarding legal matters and insurance claims.	7 years after final action or adjudication.	Destroy.
Litigation Funding	Funding related to class action suit and other litigation.	Permanent retention of select documentation as determined by legal counsel.	Transfer selections to Archives. Destroy the remainder.
Parish Files	Miscellaneous loan information, school information, financial issues, general correspondence, Catholic Mutual risk management information including property inspection, non-confidential legal issues, parish loan issues, contracts/agreements, property liens, etc.	Indefinite.	Item by item review of materials by office personnel necessary before destruction.

OFFICE RECORDS CONT.

CHIEF FINANCIAL OFFICER, OFFICE OF THE, CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Priest Retirement	N/A.	The most cumulative report (quarterly, annual, etc.) has permanent retention. The remainder of content retained for 3 years.	Transfer cumulative report to Archives. Destroy the remainder.
Property Tax Billings	Billing records, paid and received, for parishes. Includes taxes, property bills, and utilities.	Current year plus 2 years.	Destroy.
Vehicle Titles	Titles to all diocesan vehicles under Bishop of Charleston name.	3 years after final disposition of vehicle.	Destroy.

CHILD PROTECTION SERVICES, OFFICE OF

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Allegations of Misconduct	Records of allegations against laity or cleric, victim records, investigation notes, correspondence, phone logs, settlements.	100 years.	Destroy.
Audits, Safe Environment Program	Annual audit of safe environment program, conducted by third party.	100 years.	Destroy.
Background Screenings	Biographical materials, criminal record report, central registry report, credit report, driving history, Screening Review Committee dispositions on adverse cases.	100 years.	Destroy.
Safe Environment Facilitators	Training and evaluation sessions leaders/facilitators.	100 years.	Destroy.

OFFICE RECORDS CONT.

CONTINUING EDUCATION FOR PRIESTS

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Priest Ongoing Formation	Materials concerning the continuing education of the recently ordained - seminars, readings, workshops, etc.	Until administrative value ceases.	Transfer relevant documentation to Vicar for Priest Office.

DIACONATE, OFFICE OF THE

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Deacon Applicants	Individuals seeking acceptance into the permanent diaconate program. Incomplete application documents.	Until administrative value ceases.	Destroy.
Deacon Aspirants	Records pertaining to individual aspirants who were accepted to the program but have yet been ordained. Documents include application materials, records of sacraments, agreements and contracts, correspondence, education, criminal check, and medical evaluations. The records are organized by surname of the individuals.	Permanent.	Transfer to Archives.
Deacon Background Screening	Background screening, VIRTUS training records, policies acknowledgements for deacons serving in the Diocese of Charleston. Mostly sexual abuse policy materials. Maintained largely for Office of Child Protection Services - segregated from the rest of personnel file at OCPS request.	100 years.	Destroy.
Deacon Personnel	Records pertaining to individual deacons. Documentation includes agreements and contracts, correspondence, education, certificates of faculties, psychological and medical evaluations, and records of sacraments. The records are organized by surname of the individuals. The file of an individual is coded to indicate his status: active, incardinated, excardinated, out of state, on leave (inactive), retired, deceased, etc.	Permanent.	Transfer to Archives.

OFFICE RECORDS CONT.

EDUCATION, OFFICE OF

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Hazardous Material Reports	Tri-annual reports from older schools containing the site test results for asbestos, lead, and radon.	Permanent.	Transfer to Archives.
Principals and Teachers Contracts	Employment contracts of individuals and teachers. See also General Schedule – Contracts, Major.	50 years after cancellation or expiration.	Destroy, provided there is a permanent service record for the individuals.
Schools Accreditation, Statement	Southern Association of Colleges and Schools statement of accreditation.	Permanent.	Transfer to Archives.
Schools Accreditation, Supporting Documentation	Documentation used to support the Southern Association of Colleges and Schools accreditation process.	Until administrative value ceases.	Destroy.
Student Records, Closed Schools	Student records including correspondence, attendance, grades, disciplinary actions, standardized testing, etc.	Permanent.	Transfer to Archives.
Superintendent's Correspondence, Non-Routine	All incoming/outgoing written communications, including e-mails and attachments that have long-term or permanent retention as identified by office staff. Examples include correspondence regarding policy, procedure, litigation, or personnel.	Permanent.	Transfer to Archives non-current correspondence of permanent value as identified by office staff.
Superintendent's Correspondence, Routine	All incoming/outgoing written communications, including e-mails, with short-term administrative value. Examples include thank you notes, greeting cards, exchange of pleasantries, etc.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

EXECUTIVE ADVISORY BOARDS (CURIA, PRESBYTERAL COUNCIL, ETC.)

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Ballots	Ballots on issues requiring a written vote.	1 year after certification by higher authority.	Destroy.
Decrees and Resolutions	Any product of an executive advisory board that has permanent legal, canonical, historic, or fiscal value.	Permanent.	Transfer approved signed/dated original to Archives.
Minutes, Agendas, and Attachments	Minutes and agendas of executive level meetings, including meeting handouts, attachments, or presentation notes/products (e.g., as built architectural drawings, audit reports, boundary maps, etc.).	Permanent.	Transfer approved signed and dated original to Archives.
Plans, Architectural Drawings, and Specifications	Blueprints and other graphic illustrations of designs submitted by contractors for the construction, reconstruction, alteration, or repair of diocesan/parish buildings.	Permanent retention of as-builts. Drafts and proposals retained until administrative value ceases.	Transfer as-builts to Archives; destroy drafts and proposals.

OFFICE RECORDS CONT.

FINANCIAL SERVICES

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Accounts Payable	N/A.	7 years.	Destroy.
Accounts Receivable, External Billing	N/A.	7 years after last transaction.	Destroy.
Accounts Receivable, Internal Billing	N/A.	7 years.	Destroy.
Bank Statements	Contains accounts balances and reconciliations.	7 years.	Destroy.
Brokerage Statements	Contains cash and money fund balances, portfolio summary, and details including transactions, gains/losses.	Year end statements permanent.	Transfer to Archives.
Christian Brothers Employee Benefits Trust	Bills and spreadsheets by departments to track and detail employees and priests of the diocese. Health, dental, long-term disability, and life insurance. Spreadsheet allocation with invoice is used as source documentation for transactions recorded in accounting systems.	3 years.	Destroy.
Deposits	Payment remittance transmittals.	7 years.	Destroy.
Gifts and Contributions	Confirmation receipts of investment sales, investment company notices of address changes of donors, stock certificate copies.	7 years.	Destroy.
Parish Quarterly Financial Reports	Balance sheet, statements, reconciliations, general ledgers - Fourth quarter report is an annual summation.	3 years; fourth quarter report permanent.	Transfer fourth quarter reports to Archives; destroy the remainder.
Payroll	Employee information on file for diocesan federal and state use. Diocese of Charleston payroll form, US Dept. of Justice I9 form, W4 form, copy of 403(b) enrollment form, copy of CBEBT enrollment form, records of information change.	7 years after termination.	Destroy.
Payroll, Benefits Report	Annual total of employees leave.	7 years.	Destroy.

OFFICE RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Payroll, Direct Deposit	Bank name, address, account number, fixed dollar amount or net to account, attached to deposit slip or voided check.	7 years after obsolescence or employment termination.	Destroy.
Payroll, Journal	Payroll registers for each pay period.	7 years - summary information provided in other record series.	Destroy.
Payroll, Priest Retirement	Spreadsheets used to record retired priests salary amounts and withholdings per month. Includes retired priests' names, addresses, social security number, and gross pay.	7 years.	Destroy.
Payroll, Quarterly and Annual Reports	Records for state and federal payroll backup, tax filing quarterly and annually. Annual statements of deposits and filings, W2 earnings and summary, wage and tax register, W2 employer copies, SC wage report.	7 years.	Destroy.
Request for Taxpayer Identification Number (TIN), Diocesan	Diocesan requests to obtain a tax identification number.	Permanent.	Transfer to Archives.
Request for Taxpayer Identification Number (TIN), Extra-diocesan	Diocesan request for tax identification number of another entity.	7 years.	Destroy.
Sales, Use Tax	Copy of South Carolina use and sales tax; returns paid monthly; invoices from out-of-state vendors paid without state sales tax. Spreadsheet lists vendors involved and calculates the amount of sales tax due each month. Used to allocate sales tax expense to appropriate cost center.	7 years.	Destroy.
Stock Donations, Restricted	Letter from donor and any information on donor, confirmation from broker, copy of check from broker, copy of check request to entity, copy of letter to parish.	Permanent.	Transfer to Archives.

OFFICE RECORDS CONT.

FINANCIAL SERVICES CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Stock Donations, Unrestricted	Letter from donor and any information on donor, confirmation from broker, copy of check from broker, copy of check request to entity, copy of letter to parish.	7 years.	Destroy.
Stock Log, Restricted Gifts	Stock donation references including date received, received from whom, description, CUSPID/ Customer number, number of shares, gifted to whom (what entity), date sold, amount of proceeds, date proceeds received, dates proceeds mailed, total amount of proceeds and check number.	Permanent.	Transfer to Archives.
Stock Log, Temporarily Restricted Gifts	Stock donation references including date received, received from whom, description, CUSPID/ Customer number, number of shares, gifted to whom (what entity), date sold, amount of proceeds, date proceeds received, dates proceeds mailed, total amount of proceeds and check number.	7 years after restriction is met.	Destroy.
Stock Log, Unrestricted Gifts	Stock donation references including date received, received from whom, description, CUSPID/ Customer number, number of shares, gifted to whom (what entity), date sold, amount of proceeds, date proceeds received, dates proceeds mailed, total amount of proceeds and check number.	7 years.	Destroy.
Subsidy List	Amounts sent monthly to retired priests, Christian Formation, Priest/pastoral Assistance, Catholic Charities, Institute, etc., to subsidize that entity.	7 years.	Destroy.

OFFICE RECORDS CONT.

HUMAN RESOURCES

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
403(b)	Quarterly reports of accounts, correspondence regarding mechanics, executive payroll contributions, diocesan-wide distributions. This records series also includes materials from older retirement plans: e.g., Miles & Assoc. retirement plans and allocations reports; Travelers administration manual, check requests, transmittal reports, data schedule, monthly activity schedules; and Aetna information packet, quarterly meeting information, lay retirement application forms, statistical reports, plan transaction notices, lay retirement correspondence regarding hardship, 403(b) correspondence, annual reports. Also includes Beneficiary designation forms (additional copy kept separate from personnel file). See also Retirement Enrollment and Beneficiaries.	Most cumulative reports (e.g., year-end reports) have permanent retention. The remainder is retained for 3 years.	Transfer to Archives the most cumulative reports. Destroy the remainder.
Employee Medical Information	FMLA requests, physician certifications, fitness for duty notes, long term disability claims.	30 years after termination.	Destroy.
Executive Payroll	Time sheets, payroll data, monthly reports for thirteen diocesan executive positions. Employee tax information.	7 years after filing date.	Destroy.
Medical Insurance Premium Bills	Monthly diocesan premiums (lay), monthly diocesan premiums (priests), insurance plan and rate memorandums, plan renewal information.	7 year.	Destroy.
OSHA Incident Report Forms	N/A.	30 years.	Destroy.
OSHA Logs	300 Logs.	Current year plus 5 years.	Destroy.
Payroll	Employee information on file for diocesan federal and state use. Diocese of Charleston payroll form, US Dept. of Justice I9 form, W4 form, copy of 403(b) enrollment form, copy of CBEBT enrollment form, records of information change.	7 years after termination.	Destroy.

OFFICE RECORDS CONT.

HUMAN RESOURCES CONT.

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Payroll, Direct Deposit	Bank name, address, account number, fixed dollar amount or net to account, attached to deposit slip or voided check.	7 years after obsolescence or employment termination.	Destroy.
Pension, Lay	Records of an old pension plan for lay personnel.	Permanent.	Transfer to Archives.
Pension, Priest	Current pension policies and actuarial records for the priest pension plan. Also includes beneficiary designation forms.	Permanent.	Transfer annual actuarial records to Archives.
Personnel	Employment application, I-9, W-4, insurance application, annual evaluation, life insurance claims, disability claims, letters of recommendation and/or reprimand; benefit enrollment forms/waivers (health insurance, basic life/LTD, vision, supplemental life) and beneficiary designation forms; federal I-9 employment eligibility verification form; W-4 tax withholding, pay change authorization forms; performance evaluations, references, corrective additions; request for leave forms. See also Retirement Enrollment and Beneficiaries.	7 years after termination.	Destroy.
Retired Priests Medical Billing	Alphabetically arranged by surname of retired priests; contains correspondence related to medical bill issues and payment of medical bills.	30 years after termination.	Destroy.
Retirement Enrollment and Beneficiaries	Forms for enrollment, current address, and designation of beneficiaries for employees or former employees that elected to enroll in the diocesan retirement benefit.	Indefinite.	N/A.
Workers' Compensation	Employee reports of injury; claims adjustor monthly reports, annual MOD reports; employee medical records and records of exposure to toxic substances.	30 years after termination.	Destroy.

OFFICE RECORDS CONT.

INFORMATION TECHNOLOGY, OFFICE OF

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Daily Backup Tapes	Storage and backup of electronic documents and website on diocesan servers. Backed up daily off-site.	Until superseded.	Destroy.
Software	Original software products and literature/manuals licensed to the diocese.	Until superseded.	Destroy.
Telephone Services	Records of telephone activity such as installs, removals, quotes for services, etc.; vendor information, user billings, equipment proposals, billing spreadsheets, billing account codes, calling card information, mobile phone information.	Until administrative value ceases.	Destroy.

MEDIA RELATIONS

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Correspondence/Press Releases	Outgoing correspondence and press releases.	Permanent.	Transfer to Archives.
Subject Files	Subject and reference files related to incident involvement of the diocese.	Possible selections for permanent retention; please consult Archives.	Selections transferred to Archives; destroy the remainder.

OFFICE RECORDS CONT.

PRIESTS, VICAR FOR

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Diocesan Priests	Personnel records of priests (secular or religious) who regularly perform clerical functions under the auspices of the Diocese of Charleston. This is NOT restricted to only incardinated priests. Content includes checklist, biographical materials, correspondence, appointment letters, faculties, funeral instructions and wills, academic records, photos, publications, ordination documents, financial agreements, and matters of conscience and discipline.	Permanent.	Transfer to Archives.
Ordained Applicants	Correspondence of ordained applying to the Diocese of Charleston; summaries of why applicant was not accepted for service within the diocese.	5 years.	Destroy.
Visiting Priests	Includes letters of good standing from the ordinary of the home diocese of visiting priests who on occasion or in a single incident perform a clerical function for the diocese. Note that a priest from another diocese who performs a function in this diocese on a regular basis (e.g., celebrates a Vietnamese Mass monthly) should be treated as a Diocesan Priest for the purpose of record keeping.	2 years.	Destroy.

OFFICE RECORDS CONT.

PUBLICATIONS AND INFORMATION, OFFICE OF; AND THE CATHOLIC MISCELLANY

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
E-mail Distribution	Memoranda broadcast via e-mail, fax, etc. from the Bishop/Administrator to all parishes and staff of the diocese.	Permanent	Transfer to Archives.
Correspondence, Chronological	All outgoing correspondence, chronologically arranged, under the name of bishop, director of publications, or editor.	All executive-level correspondence retained permanently; all others retained a minimum of 2 years.	Transfer executive correspondence to Archives.
Letters to the Editor	Readers' comments and critiques of published articles.	Until administrative value ceases; no greater than 2 years.	Destroy.
Audio/Visual	Photographs, videos, and audio recordings created by the office for diocesan publication or production.	Selections may be permanent. Please consult Archives.	Transfer to Archives.
Reporter's Notes	Notes, usually handwritten, of interviews with individuals regarding events and special topics.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

RESEARCH AND PLANNING, OFFICE OF

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Cumulative Statistics Database	A SQL- or MySQL-based electronic application that holds statistical data pulled from annual parish reports since 1991. The data is the source for diocesan- to parish-level reports of ethnicity, gross numbers, sacraments, etc. In-house database, constructed by Computer Services.	Permanent.	Transfer to Archives.
Inventory of Real Estate	Alphabetical listing of properties owned by the diocese.	Permanent.	Transfer to Archives.
Parish Annual Reports	The paper documents from which the database is constructed. Reports vary in format and types of data acquired. Most data is demographic in nature.	Permanent.	Transfer to Archives.
Parish Boundaries	Consists of working papers for drafting decrees for establishing boundaries for territorial parishes.	Permanent.	Transfer to Archives.
Parish Visits Reports	Formalized documents/reports composed by the Planning Office after the canonical annual visit by the bishop or his representative. The reports highlight parish compliance with pastoral planning endeavors.	Permanent.	Transfer to Archives.

OFFICE RECORDS CONT.

STEWARSHIP AND MISSION ADVANCEMENT, OFFICE OF

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Endowment, Bishop Annual Appeal (BAA)	Formerly Diocesan Development Fund (DFF). See Chief Financial Officer, page 16.		
Parishes Files	Correspondence between individual parishes and stewardship. Correspondence is chronological within parish and parishes are organized by deanery.	Until administrative value ceases.	Destroy.
Pledges, Restricted	Pledges cards (or correspondence) from individuals towards a specific fund/endowment. Includes name of the individuals, amount of payment, and method of payment. If method of payment is by credit card, keep copy of signed acknowledgement letter on file in place of credit card information.	Permanent.	Transfer to Archives.
Pledges, Temporarily Restricted	Pledges cards (or correspondence) from individuals towards a specific fund/endowment. Includes name of the individuals, amount of payment, and method of payment. If method of payment is by credit card, keep copy of signed acknowledgement letter on file in place of credit card information.	7 years after restriction is met.	Destroy.
Pledges, Unrestricted	Pledges cards (or correspondence) from individuals towards a campaign. Includes name of the individuals, amount of payment, and method of payment.	1 year after pledge fulfilled.	Destroy.
Raiser's Edge	Tracking software that maintains records of individual donors, stewardship communication with individuals, gifts, funds, parishes.	Indefinite.	N/A.
Receipt Batches (copies)	Records of deposit for individual gift/donations received, arranged chronologically by date of deposit. Original sent to Finance.	Until administrative value ceases.	Destroy.

OFFICE RECORDS CONT.

TRIBUNAL

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Annulment Case Files	Paper-based documentation related to annulment process. Includes Index Card Files.	Permanent. After 20 years, all but sentences, decrees, and prohibitions may be transferred to a format other than paper.	Transfer to Archives.
Case Master	Database that tracks annulment case process and holds some elements of cases.	Indefinite.	N/A.
Penal Case Files	N/A.	Permanent. After the death of the accused party, or ten years after a condemnatory sentence, a summary of the facts and the text of the definitive judgment are kept permanently and the reminder may be destroyed.	Transfer to Archives.

VICAR GENERAL, OFFICE OF THE

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Vicar General Correspondence, Non-Routine	All incoming/outgoing written communications, including e-mails and attachments that have long-term or permanent retention. Examples include correspondence regarding policy, procedure, or personnel.	Permanent.	Transfer to Archives.
Vicar General Correspondence, Routine	All incoming/outgoing written communications, including e-mails, with short-term administrative value. Examples include thank you notes, greeting cards, exchange of pleasantries, etc.	2 years.	Destroy.

OFFICE RECORDS CONT.

VOCATIONS, OFFICE OF

RECORD SERIES	DESCRIPTION	RETENTION	FINAL DISPOSITION
Seminarian Applicants/ Seminarians	Records of individuals who are seeking ordination in the Diocese of Charleston. Applicants are defined as "seminarians" of the diocese when the Board of Vocations and the Bishop of Charleston has formally voted to accept the individual as such and the diocese enrolls that individual in a seminary. Physical exams, psychological exams, transcripts, reimbursements, autobiography, interview notes with Vocations Board, correspondence, release statements, letters of recommendation, application forms and materials (e.g., vital and sacramental certificates), evaluations, criminal screening reports, references, seminary academic evaluations. A record for an applicant is not begun until after an initial screening process including the receipt of a formal application.	Permanent.	Transfer to Vicar for Priests upon ordination.
Terminated Seminarian Applicants	Incomplete application packages for individuals who did not follow through completely with the application process.	Until administrative value ceases.	Destroy.
Terminated Seminarians	Records of applicants/seminarians who have discontinued their pursuit of ordination with the diocese. Physical exams, psychological exams, transcripts, reimbursements, autobiography, interview notes with Vocations Board, correspondence, release statements, letters of recommendation, application forms and materials (e.g., vital and sacramental certificates), evaluations, criminal screening reports, references, seminary academic evaluations, reason for termination.	75 years.	Transfer to Archives.

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