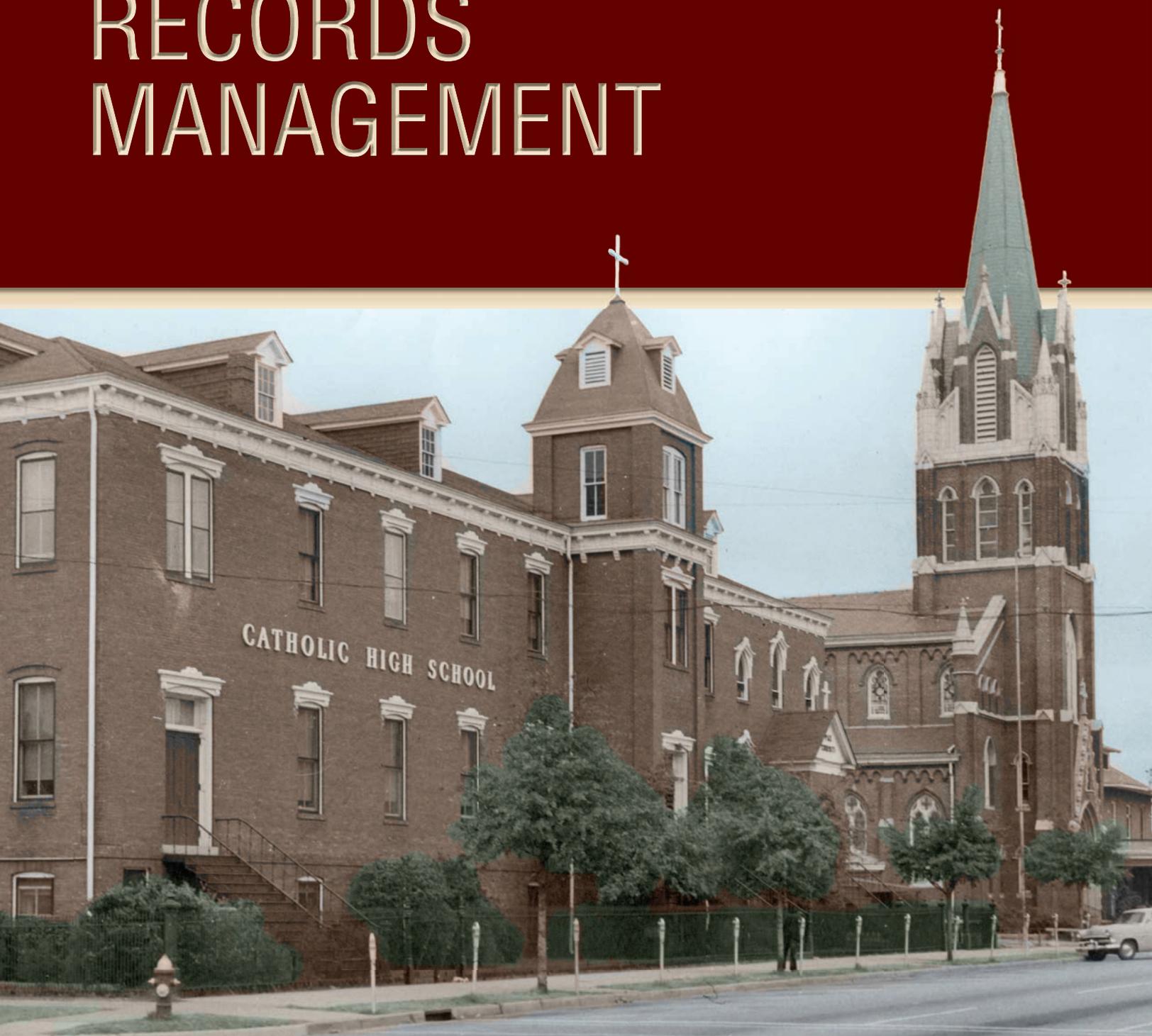


SCHOOL RECORDS MANAGEMENT



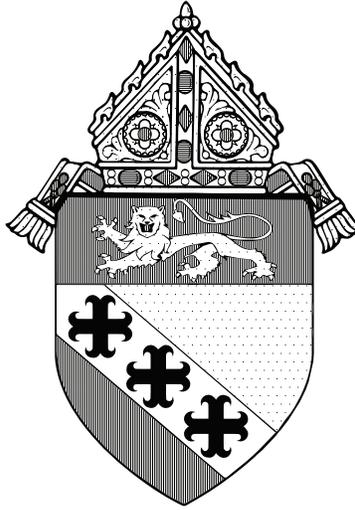
**CATHOLIC DIOCESE OF CHARLESTON
OFFICE OF ARCHIVES AND RECORDS MANAGEMENT**

Front cover:

Catholic High School, Columbia, South Carolina, circa 1959.

Founded in 1858 by Ursuline nuns, the Catholic High School was originally built as a school for girls. For approximately 70 years, the school operated as the Ursuline Convent and Academy and later Ursuline High School. In 1957, it was transferred to the Diocese of Charleston and renamed Catholic High School. Three years later the school was moved across Columbia and renamed Cardinal Newman High School.

The building was condemned and razed. St. Peter's School now stands on the site.



SCHOOL RECORDS MANAGEMENT

Introduction & Records Retention Schedules

Catholic Diocese of Charleston, South Carolina

Office of Archives & Records Management

4 September 2012

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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 school 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, reading "Robert E. Guglielmone". The signature is written in a cursive style with a cross at the beginning.

Most Rev. Robert E. Guglielmone
Bishop of Charleston

INTRODUCTION

Purpose

Basic records management ensures that 1) administrators have better control of records relating to their day to day business, 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 is systematically destroyed 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 ensure compliance with laws and regulations.

Obviously, not all records need to be maintained forever. Most have a relatively short "life span," or time period of value, and can be removed from an office on a regular basis. A records retention schedule identifies the life span for record series, which are groups of identical or related records that are normally used and filed as a unit. Records 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 short-term.

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. A general records retention schedule, like those included in this document, is comprehensive, including 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 record retention schedules that follow include record series grouped by classification: Administrative, Education, Financial, Legal, Medical, Personnel, and Property. Relevant record series are listed under each classification. Each schedule contains four columns. The first column lists the title of the record series. The second includes a brief description of the records series, and occasionally elaborates retention. The third column defines the minimum time a records series should be retained. The last column states final disposition for the record series, or the final action to be taken.

If your office holds records that are not identified on a retention schedule, please contact the Office of Archives and Records Management.

Office staff should conduct records reviews regularly, usually on an annual basis. Referencing the appropriate record retention schedule, they can identify records ready for transfer (usually to school archives) or destruction. However, staff should secure the explicit approval of the school administrator before records are transferred or destroyed.

School Archives

The fundamental requirement for a school archive is that the records are in a secure location with environmental controls. This is commonly achieved with the use of locked, metal filing cabinet in a low-traffic office space. Ideally, however, the records would be housed in acid-free folders and containers in a secure, dark environment with circulating air at a steady relative humidity of about 35% and a steady temperature of about 65° F. It is understood that ability to achieve the ideal will vary from school to school.

References

Please contact the Office of Archives and Records Management with any questions or concerns about school 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.

ADMINISTRATIVE RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Accreditation	Records relevant to accreditation of the school.	Final products and reports are permanent; working papers until administrative value ceases.	Transfer final products to school archives. Destroy working papers.
Annual Report	Annual summary reports to the diocese, NCEA, state, county or other governing or accrediting agencies, etc. Annual reports to the diocese (i.e., Superintendant Reports) should include enrollment data.	Permanent.	Transfer to school archives.
Catechists Certification	N/A.	2 years after termination.	Destroy.
Correspondence and Subject Files, General	These records are of general housekeeping nature, created or maintained by a school, but do not relate directly to the primary program responsibility of the school.	Until administrative value ceases.	Destroy.
Correspondence and Subject Files, Policy and Programs	These records document the formulation and adoption of policies and procedures and the implementation or management of the program or functions of the school or department. Included are the summary documents or final products (not working documents) of such records as ad hoc or annual statistical or narrative reports on program activities, achievements, or plans; organizational charts and mission statements; studies regarding department or office operations; and records related to significant events in which the school or department participated. Records may include photographs, published materials, audio tapes, or other recorded formats.	Permanent.	Transfer to school archives.
Faculty Meeting Minutes	N/A.	2 years.	Destroy.
Field Trip Permissions, With Incident	N/A.	6 years after settlement or resolution.	Destroy.

ADMINISTRATIVE RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Field Trip Permissions, Without Incident	N/A.	2 years.	Destroy.
Governing Documents	Constitutions, by-laws, policies, procedures, rules, regulations (final products only) for the parish or parish agency.	Permanent.	Transfer copies to school archives.
Incident reports	Records relevant to an accident, injury, or other incident involving a student, staff member, or visitor that has potential to hold the school or school personnel criminally or civilly liable.	10 years.	Destroy.
Insurance Claims	Records of accident or injury claims.	10 years.	Destroy.
Insurance Policies	See insurance record series in Financial Records.		
Parent and/or Student Organization Records	Minutes and reports for any parent or student organization of the school. Includes minutes and reports.	Permanent.	Submit one copy of approved minutes and reports to school archives.
Photographs	Photographs of faculty, staff, students, school activities, etc. Ideally persons and activities are identified (with soft pencil on the back of the print; in the properties summary field of an electronic image).	Limited selections permanently retained, especially photographs with identified individuals and activities.	Transfer selections to school archives.
Publications	Works published by the school or students. Examples might include yearbooks, newspaper/newsletter, policy manual, student handbook, etc.	Permanent.	Transfer one copy of final publication to school archives immediately after publishing.

ADMINISTRATIVE RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Recordings, Audio/ Video	Recordings of special events of the school. Although audio and video recordings have become extremely easy and inexpensive to produce, they are difficult and expensive to maintain and ensure continued access. Media formats change often, requiring migration from one format to the next. So selections of recordings for inclusion in school archives should be limited.	Limited selections permanently retained.	Transfer selections to school archives.
School Board and Committee Records	Correspondence and proceedings of meetings. Information includes date of meeting, meeting time, meeting place, members present, order of business, business discussed, decisions made, and any items/documents presented for the body's consideration.	Minutes and considered items are permanent. Only non-routine correspondence is permanent. Remainder until administrative value ceases.	Transfer minutes and non-routine correspondence to school archives; Destroy routine correspondence.
South Carolina High School League Student Eligibility Files	Documents students' eligibility to participate in sanctioned athletic events. Information includes League Handbook, birth certificate, parent permission/physical form, certificate of eligibility, interscholastic completion eligibility reporting form, high school league passes form, Form A for transfer students, request for hardship eligibility, copies of student permanent record cards, report cards, and league directory information.	League Directory/ Handbook - Until superseded; all other records - 5 years.	Destroy.
State and Local Government Information Reports	Annual report monitoring internal programs for ensuring equal employment opportunities. Information includes number of employees by job categories, by race, by sex, by salary and number of part-time and newly hired employees during the fiscal year.	Permanent.	Transfer final report, not working materials, to school archives.

EDUCATION RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
After School Programs	N/A.	1 year after term.	Destroy.
Homebound Files	Record of homebound instruction provided for students unable to attend school for medical reasons.	5 years after term.	Destroy.
Media Center Records	Records used in the operation of the media center program. Information includes shelf lists, lists of materials available in the media center, computer information on school/books/user/return date, security bars and codes, center instruction schedules, equipment schedules, fee documentation, and end of the year inventory reports.	Until administrative value ceases.	Destroy.
Preschool Programs	N/A.	2 years.	Destroy.
Special Education Records	Documents a handicapped student's participation and progress in a special education program.	Until administrative value ceases.	Destroy.
Standardize Testing Reports	Cumulative results of standardized test administered at school.	Permanent - retain only the final cumulative report.	Transfer to school archives.
Student Cumulative Record Files	See full description on page 16.	Permanent.	Transfer to school archives.
Student Schedules	Forms completed by student and/or school personnel for student scheduling of classes.	Until administrative value ceases.	Destroy.
Teacher Grade Books	Contains student grades for six or nine week grading period for school year.	2 years after the completed term.	Destroy.
Teacher Lesson Plans	Records relevant to teacher's daily instructional plans and activities for each class.	Until administrative value ceases.	Destroy.

FINANCIAL RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Accounts Payable	File copies of invoices submitted by various vendors supplying goods and services to school. Information includes invoice: vendor name, address, date of purchase, purchase order (if any), invoice number, description of item(s) or service(s) purchased, amounts, total; check copy: vendor name, address, date of check, check number, amount, and check number.	7 years.	Destroy.
Accounts Receivable	Includes tuition and fees.	7 years if account is current; otherwise retain until reconciled or resolved.	Destroy.
Accounts, Chart of	N/A.	Permanent.	Transfer to school archives.
Audit	Printed reports documenting the audit of school funds, prepared by a third-party. The information includes balance sheets, summary of revenue and expenditures, cash balances, and statement of account by type.	Permanent.	Transfer to school archives.
Balance Sheets, Annual	N/A.	Permanent.	Transfer to school archives.
Balance Sheets, Quarterly/ Monthly	N/A.	2 years if school produces an annual balance sheet; otherwise permanent.	Destroy if parish produces annual balance sheet; otherwise transfer to school archives.
Banking Records	Cancelled checks and deposit slips written by the school, along with statements issued by the bank. Information includes checks: date, to whom paid, amount, check number, authorized signature; bank statements: list of checks for one month period, dates, beginning balance, ending balance; and deposit slips: date, amounts of deposits, and total deposit.	7 years.	Destroy.

FINANCIAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Bid File	Record of each bid submitted by vendors selling goods and/or services to the school. Information may include request for quotation, bid award letter, bid invitations, correspondence, etc.	Until administrative value ceases.	Destroy.
Bonds	N/A.	2 years after date of cancellation.	Destroy.
Budgets, Annual	Printed copies of annual budgets showing projected receipts and expenditures. Approved budget appropriations are listed for each department.	Current year + 2 years.	Destroy.
Budgets, Status	Record to inform each school of budget status. Information includes budget for expenditures, year-to-date expenditures, and budget balances.	1 year.	Destroy.
Capital Projects	Records of capital projects undertaken by the school. Includes summary documents, not working documents.	Permanent.	Transfer to school archives.
Certificates of Deposit	N/A.	2 years after redemption.	Destroy.
Check Registers or Check Stubs	N/A.	7 years.	Destroy.
Development and Fundraising Campaigns Records	Retain donor lists, case statements, correspondence, minutes, and planning documents; destroy receipts and letters of acknowledgement after 7 years	Selections permanently retained.	Transfer selections to school archives. Destroy the remainder.
Federal Lunch Program	Correspondence, lunch schedules, paid bills, vouchers, receipts, contracts, inventory, claim requisitions, and reports.	3 years.	Destroy.
Federal Title Money Files	Records of federal money spent as approved by the State Department of Education, especially in relation to Title I and Title II. Types of documents include grant applications, project approval letters, and budget reports.	7 years after completion of project.	Destroy.

FINANCIAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Financial Reports, Annual	Annual summary record of school finances. Information includes account numbers, account names, assets, reserve and fund balances, liabilities, totals, and net worth.	Permanent.	Transfer to school archives.
Financial Reports, Monthly	Monthly record of school finances. Status of expenditures for each department. Information includes account numbers, account names, assets, reserve and fund balances, liabilities, totals, and net worth.	Current year + 1 year.	Destroy.
General Ledgers	One or more series of computer or non-computer generated financial ledgers providing final year-to-date accounting summary and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all school funds and accounts, including receipts and expenditures, from all revenue sources. Records covered under this schedule include the annual accounting code and system table required to access general ledger information.	Permanent.	Transfer to school archives.
Gifts and Contributions, Permanently 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, and life insurance policy statements.	Permanent.	Transfer to parish 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, and life insurance policy statements.	7 years after restriction has been met.	Destroy.

FINANCIAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
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, and life insurance policy statements.	7 years.	Destroy.
Grants	Correspondence, applications, 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 school archives. For the remainder and grant applications not awarded, destroy.
Insurance, Auto	Insurance policy for motor vehicle.	7 years.	Destroy.
Insurance, Flood	Flood insurance policy.	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 policy for property.	100 years.	Destroy.
Journal	Records used for reviewing and adjusting various accounts before transferring information to the general ledger. Information includes name of the department, account number, description, voucher number, date, reference number, debit, credit, and date.	7 years.	Destroy if summarized in general ledger.

FINANCIAL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Payroll	Documents wages/salary paid to school employees for services rendered. Records also include payroll withholdings, such as social security, federal income tax, state income tax, etc.	7 years.	Destroy.
Petty Cash and Accounts	N/A.	7 years.	Destroy.
Receipts/ Receipt Books	Copies of receipts issued for funds received. Information includes date, receipt number, from whom received, amount, purpose, and signature of person who received the funds.	7 years.	Destroy.
Student Activity Audit	Audit documenting student money collected by the school and applied to funding for various school-related programs such as pictures, book fairs, fund raising, class activities, alumni assistance, and club (French, music, etc.) dues. Type of information includes receipt number, original amount, charged amount, and difference. Also includes bank reconciliation statements and correspondence.	7 years.	Destroy.
Retirement	General correspondence regarding retirement. Contribution activity reports and adjustments, annual accounting, auditor's report, bank statements, compensation reports, monthly deposit reports, proposals, stocks and bonds, annual reports, and retirement actuarial valuation.	The most cumulative report (quarterly, annual, etc.) has permanent retention. The remainder of content retained for 3 years.	Transfer to most cumulative records school archives. Destroy the remainder.
Tax Records	N/A.	7 years.	Destroy.
Ticket Sales for School Events	Records documenting the audit practices of the school in keeping record of ticket sales, income and other pertinent records related to athletic events, activity cards, school productions, or extracurricular events which charge admission.	7 years.	Destroy.

LEGAL RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Act or Articles of Incorporation	Documentation of incorporating or bringing into existence a corporate body of the school.	Permanent.	Transfer to school archives.
Bequests and Estate Papers	N/A.	Permanent.	Transfer to school archives.
Contracts, Major	Documentation of contractual relationship between the diocese or its agencies and an entity. Includes contracts of real estate, employer/employee, and capital improvements.	50 years after cancellation or expiration.	Review for extended retention of select records - 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 + 1 after cancellation or expiration.	Destroy.
Leases	N/A.	Current year + 1 after cancellation or expiration.	Destroy.
Litigation Case Files	Judicial proceedings which involve the Diocese of Charleston or its agency. Includes 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.	Permanent.	Transfer to diocesan archives.

MEDICAL RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Clinic Records	Medical assistance and medication provided/ dispensed by school.	3 years.	Destroy.
Hepatitis "B" Program/ Blood Pathogen Training Files	Records of training in blood borne pathogens as mandated by state regulations.	30 years after termination of employment.	Destroy.

PERSONNEL RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Employment Application, Successful	Application materials of a person accepted for employment.	Retain for life of personnel file.	Transfer to Personnel File.
Employment Application, Unsuccessful	Application materials of a person not accepted for employment.	Until administrative value ceases.	Destroy.
Certified Staffing List	List of certified teachers employed by the school. Information includes social security number, teacher name, race, sex, year certified, group, class, grade, days actually employed, federal funds, total annual salary, and school.	Until superseded.	Destroy.
Class list	This should include the school year and the teacher's name.	Permanent.	Transfer to school archives.
Class Rank List	N/A.	Permanent.	Transfer to school archives.
Guidance Counselor Student Files	N/A.	Until after student's separation from school. Some selections may be included in students cumulative record file after separation from school.	Destroy or transfer selections to students cumulative record file.
Leave Report	N/A.	7 years.	Destroy.
Personnel Files	Forms and materials relating to individual employees of the school, including substitute teachers hired. Files may include applications, salary data, professional background, evaluations, leave, and contracts and other documents related to employment history.	7 years after termination, provided service information of the individual is included among a permanent service record series.	Destroy, provided service information of the individual is included among a permanent service record series.
Service Record	Information that serves as proof of individuals' position(s) and dates of employment with the school or other agency.	Permanent.	Transfer to school archives.

PERSONNEL RECORDS CONT.

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Student Attendance Records	Record of student's daily attendance. Cumulative information may be provided at year's end for cumulative student record file.	1 year.	Destroy.
Student Cumulative Record Files	Cumulative record of student's activities throughout their elementary and secondary education career. Also recorded are personal and physical data relevant to each individual student. Information includes name, grade, attendance, courses taken, and standardized test scores. They may also include other types of materials such as photographs, tests (mental and physical), application for admission, health cards (immunization records), general correspondence to/ from parents/ guardian and school personnel, special medical reports, guidance counseling records, and legal documents verifying birthdates and name changes. The separation date is always included whether by graduation, withdrawal, or expulsion.	Permanent.	Transfer to school archives.
Student Discipline, Suspension, and Expulsion Records	Records documenting inappropriate student behavior and corrective actions taken.	If suspended or expelled, transfer to cumulative student record file; otherwise, retain until 1 year after student's permanent separation from the school.	Transfer to Cumulative Student Record File (if suspended or expelled) or destroy.
Student Registration	Records of student registering at school.	Until administrative value ceases.	Destroy.
Volunteer Files	See personnel files.		
Workers Compensation Records/ OSHA	Case files containing records and reports generated as a result of work-related accidents and injuries involving school employees; exposure to toxic substances in the workplace.	30 years after termination of employment.	Destroy.

PROPERTY RECORDS

RECORD SERIES	DESCRIPTION	RETENTION	DISPOSITION
Architectural Plans and Drawings, As-Builts	N/A.	Permanent.	Transfer to school archives. Provide one certified copy to diocesan archives.
Architectural Plans and Drawings, Proposed	N/A.	Until administrative values ceases.	Destroy.
Fixed Asset Inventories	An inventory of fixed assets (office equipment and furniture, motor vehicles, etc.), especially for equipment associated with Federal Title money. Information includes school, item number, item description, and funding source.	Until superseded.	Destroy.
Insurance, Auto	Insurance policies for motor vehicle.	7 years.	Destroy.
Insurance, Flood	Flood insurance policies.	7 years.	Destroy.
Insurance, Property	Insurance policies for property.	100 years.	Destroy.
Leases, Real Property	N/A.	Current year + 1 after cancellation or expiration.	Destroy.
Mortgage Documents	Mortgage document and any documentation that demonstrates the satisfaction of mortgage.	Permanent.	Transfer to diocesan archives.
Surveys/ Plots	N/A.	Permanent.	Transfer to school archives. Provide one certified copy to diocesan archives.
Titles, Vehicle	N/A.	3 years after final disposition of vehicle.	Destroy.
Titles, Deeds, and Conveyances of Real Property	Includes any title searches or title warranties.	Permanent.	Transfer to diocesan archives.

THIS HANDBOOK IS PRODUCED BY

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