

Records Management Handbook

For Parishes, Schools and Cemeteries

Office for Archives and Records Management
Diocese of Springfield in Illinois
2015

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I: Introduction to Records Management

Record keeping in the modern era can be difficult with the ever-growing volume of paper and electronic records. Good record keeping is essential to working effectively and efficiently, but getting records under control can be a difficult task. Therefore, the Diocese of Springfield in Illinois, an Illinois not for profit corporation (the “Diocese”), consistent with its canonical obligations, is implementing a records management program to assist parishes, schools and cemeteries in the establishment of a records management system.

What is Records Management?

Records management is the systematic control of records from the time records are created until their disposition. Records management ensures that valuable records that document the activities of parishes, schools and cemeteries that have legal, fiscal, administrative or historical value are protected and accessible while records that do not have enduring value are destroyed in accordance with approved retention schedules.

Records management can assist parishes, schools and cemeteries to:

- Comply with records retention regulations stipulated by canon and civil law;
- Protect and support in litigation, investigation or audit;
- Preserve records that are important to the operation of the parish, school or cemetery;
- Improve retrieval and access to information;
- Reduce the direct and indirect costs of records storage and management; and
- Preserve the history of the parish, school or cemetery.

The Life Cycle of Records

The “life cycle of records” is an important concept in records management and refers to the idea that records become less important over time.

There are four phases of the life cycle of records:

- **Creation:** Records begin the life cycle when they are created or received.
- **Active Records:** Active records are needed frequently. They are retrieved at least once per month, so they are stored in readily accessible office spaces.
- **Inactive Records:** Inactive records are not needed for day-to-day business, but they are still needed for reference, for legal reasons or for financial reasons. They are not used often enough to justify their being stored in prime office space, so inactive records are often stored in a records center.
- **Disposition:** Disposition is what happens to records at the end of their life cycle. Records that no longer have value and have reached the required retention date are destroyed while records that need to be kept permanently are transferred to the archives of the parish, school or cemetery. “Disposition” is **NOT** the same as “destruction.”

II: What is a Record?

The policy on records and records retention is guided by Policy Book 1: §300 - General Records Policy for Parishes, Schools and Cemeteries.

The policy defines what constitutes an “official record” for parishes, schools and cemeteries. It also provides information about retention schedules and microfilming or digitizing records. The policy can be read in its entirety at: <http://www.dio.org/policy/>.

What are Records?

Records are all recorded information regardless of media type, that has been created, received, used, maintained or preserved by a parish, school or cemetery in connection with the transaction of parish, school or cemetery business. More plainly, records are those items created that reflect the parish, school or cemetery’s mission and the operation and activities of its employees, offices, departments or councils.

Please note: Electronic records are records and are subject to the same retention rules as paper records.

Records can include:

- Documents (printed or handwritten)
- Letters
- Maps
- Books
- Photographs
- Films
- Sound recordings
- Tapes (magnetic and otherwise)
- Electronic records

Examples of records:

- Meeting minutes
- Correspondence
- Cemetery plot maps
- Architectural drawings
- Photographs of a parish event
- Payroll records
- Sacramental registers
- Parish directories
- Video of parish celebration
- Insurance policies
- Student records
- E-mails

What are NOT Records?

Examples of materials that are not records include:

- Materials created by outside entities that are used solely for reference purposes (e.g., an article printed from a website, a magazine, a catalog from a supplier, etc.);
- Preliminary drafts of materials that represent basic steps in preparation of a record document;
- Stocks of printed or reproduced documents kept for supply purposes when file copies have been retained for record purposes; and
- Unsolicited materials received either in paper form or electronically that have no substantive business value.

When there is any doubt as to whether or not any of the above named items is a record, it should be considered an official record until determined otherwise by the Director of Archives and Records Management.

Records Destruction

Parish, school and cemetery employees should not remove, destroy, transfer to another media type or in any other way dispose of records, except in compliance with retention schedules and procedures developed by the Office for Archives and Records Management.

Any employee leaving his or her position should be required to leave all official records for any successor and/or supervisors. Unauthorized destruction, donation or other dispersal of records should not be permitted.

III: Establishing a Records Management Program

Establishing a records management program for a parish, school or cemetery can seem like a daunting task, especially if there is a large backlog of records. Implementing a records management program make take a lot of work initially, but once it is complete, you will save the parish, school or cemetery time and money. Storage space, which is often at a premium at a parish, school or cemetery office, will be used more efficiently and having a central location allows records to be kept in a secure location for easy access and retrieval.

Below are the steps you should take to establish records management program at your parish, school or cemetery.

Establishing a Records Management Program

Establishing a records management program for a parish, school or cemetery is a lot of work up front, but once established, an effective records management program is easy to maintain.

Below are the steps you should take to implement a records management program:

1. **Find a dedicated space for records storage.** You will need two areas, one to house the archives and one for cold storage. It is important to store permanent (archives) and non-permanent (cold storage) records separately. These two types of records can be housed in the same room, but should always be stored on separate shelves. This reduces the risk of destroying permanent records. For more information on how to properly store records (see: “Storage Guidelines” for more information on storing records).
2. **Locate all records.** The next task is to locate all the records for the parish, school or cemetery, including those stored in off-site locations, such as the home of a parish employee or volunteer, the rectory or convent, an unused parish or school building, the garage, the basement, etc.
3. **Survey your records.** Create a list of what records exist and the date range for the records. Here is a sample survey:

Record	Date Span	Retention	Disposition
Cancelled checks	1980-1995		
Finance council minutes	1990-2005		
Bank reconciliation statements	2010-2014		
Mass intention calendars	1960-1990		
Insurance policies	1972-2011		

4. **Clean out records that have reached their retention date.** Once you have completed the survey, the next step is to pull out and destroy the records that have reached their approved retention date. Check the inventory against the retention schedules and set aside all records that can be destroyed. Be sure to make a note on the survey which records are marked for destruction. For a records management system to be effective you **must** document what records will be destroyed and the date of destruction (see: “Destruction Guidelines for more information on destroying records).

This process should also include weeding out non-records, such as subject files, duplicate copies of permanent record, stacks of blank forms that are no longer used, catalogs, etc. These items can be recycled.

Record	Date Span	Retention	Disposition
Cancelled checks	1980-1995	3 years	Destroy
Finance council minutes	1990-2005	Permanent	Moved to Archives
Bank reconciliation statements	2010-2014	7 years	Moved to cold storage
Mass intention calendars	1960-1990	2 years after final intention fulfilled	Destroy
Insurance policies	1972-2011	Permanent	Moved to Archives

5. **Move remaining records to the archives or cold storage.** Records that need to be kept permanently or that have not reached the end of their retention period should be boxed and placed on the shelves in your institutional archives or cold storage area (see: “Boxing Guidelines” for advice on boxing records and labeling the boxes).
6. **Remodel your filing system.** Now that you have cleaned out the back log, it is time to get your current files in order. See “Filing Guidelines” for instructions on how best to organize your files.
7. **Repeat!** In order for a records management program to be effective, it must be maintained on a regular basis. Regularly destroying the records that may be destroyed, and transferring older records from active-use areas to storage areas are essential to avoid being overwhelmed by the sheer number of records being created annually. Consider making a convenient point (the end of the fiscal year, calendar year or school year) your organization’s “Records Management Maintenance” period.

IV: The Guidelines

The following guidelines are the best practices for storing, filing, weeding, boxing and destroying records.

Storage Guidelines

Finding space to store records can be difficult, but it is important for parishes, schools and cemeteries to set aside a space dedicated to records storage. For the purpose of these guidelines, “cold storage” refers to the place where records that will eventually be destroyed are stored. The “archives” is where permanent records are housed. **Under no circumstances should parish, school or cemetery records be kept in the home of employees or volunteers.**

It is important to store permanent and non-permanent records separately. These two types of records can be housed in the same room, but should always be stored in separate shelves. This reduces the risk of destroying records that should be kept permanently.

For non-permanent records, it is helpful to store those records with the same destruction date near each other. Most people are inclined to store everything created in a particular year together, but for records management purposes, it is more efficient to store items by the date they will be destroyed. When it is time to destroy records you will not have to dig through piles of boxes to find what you need – everything that should be destroyed will be in one location.

Here are some additional storage guidelines:

- To minimize the risk of damage from burst or leaky pipes, do not store records underneath pipework.
- To minimize the risk of damage due to a minor flood, make sure records are stored at least one inch off the ground. This can be achieved by purchasing shelving units for boxes or simply by stacking record boxes on a wooden pallet or similar item.
- Do not store records in garages, sheds, barns or basements. These spaces are prone to infestation and climates that are damaging to paper.
- Store records in standard 10”x12”x15” record boxes. Long banker boxes are too heavy for use and/or transport when full and filing cabinets are overly bulky and inconvenient when records need to be moved.
- Label boxes accurately, including the records series, date range of the contained items, institution of origin and disposition (“Permanent” for archival items or the year of destruction for non-permanent items). Only place record series with the same destruction date in the same box.

Filing Guidelines

Filing your records in a neat and efficient manner makes it easier to find and retrieve documents. It also allows you to transfer items that are no longer active to the archives or cold storage in a timely manner, thus preventing a backlog of records from accumulating. Below are some recommendations for filing your records.

- **Use hanging folders in addition to file folders, not ‘instead of.’**

While it may seem inconvenient to create manila file folders for your records, this will save you considerable time when boxing your records for storage or destruction. Hanging folders should not be allowed in the archives or cold storage due to their size. By filing your records in manila file folders within the hanging folders, you will be able to quickly box your records.

- **Name your folders wisely.**

File folder labels should include the following three components:

- **Record Series:** “Meeting Minutes” is the Record Series name as it is listed in the retention schedules.
- **Topical Subseries:** Files can be further separated into subseries if needed. For example, if your office is responsible for maintaining minutes for more than one group, the label can include the name of the group as a subseries.
- **Date Subseries:** It is very important to add a date to all file labels. This allows the user to easily know when the records were created, which is important when following retention schedules. Dates can be listed as calendar year (CY), fiscal year (FY) or academic year (AY) depending on the records. Files can also include an approximate year (c. 2014) or a date range (2012-2014), depending on the type and quantity of records. Always include a date!

Sample file folder label

Meeting Minutes:
Finance Council – CY 2014

- **Avoid interfiling reference material and records.**

Records are the documents created by your office in the course of its business. While you may use copies of articles or books as reference material when creating projects or reports, those items are not considered records and will not be kept long-term after they outlive their usefulness.

Therefore it is strongly recommended that reference material be filed separately from the records of your office or institution.

Weeding Guidelines

When preparing records for transfer to the archives or cold storage, please discard the categories of materials listed below. The result is significant savings in storage space and costs and faster and more efficient retrieval of information for business and research purposes. This is especially important when record groups contain large numbers of reference copies or duplicate copies of documents. Transfer only those materials that are original to your department or those that you, as an employee or associate of the parish, school or cemetery played an active role in creating.

Weed and Discard the Following:

Drafts: Upon final signature of a contract, agreement, letter or policy, all prior drafts and notes, whether handwritten, hard copy or electronic, should be destroyed.

Routine Correspondence (“Housekeeping” Records): Included in this category are letters of transmittal or cover letters that merely forward an enclosure and add nothing to the content of the item transmitted, meeting announcements, address changes, envelopes, invitations, calendars, phone logs and requests for general information.

Memoranda: Only those memoranda sent by your department as the originating office should be transferred to storage. Discard those concerning routine matters, such as holidays, vacation schedules, etc. Retain those concerning policies, procedures and the collections of funds. Correspondence and memoranda sent outside the parish, school or cemetery relating to matters that are contentious or are likely to be contentious in the future should also be retained.

Inactive Routine Department Budget Files: Detailed and summary financial records are retained by the Finance Department. They do not need to be retained by other departments.

Faxes: Copy all significant communications received on thermal fax paper to regular bond paper. Thermal copies will be virtually unreadable in the future. Discard them.

Newspaper Clippings: Copy any newspaper clippings related to your parish, school or cemetery onto bond paper.

Personal Papers: Materials relating solely to an individual’s private affairs, including diaries, journals, personal correspondence or other personal notes that are not prepared in the process of transacting diocesan business are not to be sent to the archives or cold storage.

Miscellaneous: Discard duplicate copies of documents and publications, old reference materials and books (including tax guides), supply and vendor catalogs, office supplies, tickler files, all binders, records and publications of other departments and institutions, software manuals, blank forms, stationery, obsolete equipment manuals and warranties, as well as holiday decorations.

Boxing Guidelines

The following recommendations should be used when boxing items for transfer to the archives or cold storage:

- Only pack records that are original to your parish, school or cemetery. Discard anything that is not a record (see page 3 for a definition of what is not a record).
- Review records for items that may be discarded based upon the *Weeding Guidelines*. Any duplicates, drafts, reference material, unofficial notes, routing slips and other non-record material should be removed and destroyed.
- Use only standard 10”x 12”x15” sized record boxes. Copy paper boxes, long banker boxes and odd cardboard boxes are unacceptable.
- Transfer records from hanging folders (Pendaflex) and binders to manila folders and retain folder titles, which should be written on the tabs. Hanging folders and binders are not records and take up too much space.
- Keep files in their original order as arranged in the file drawers or binders. Pack files standing up vertically in boxes if possible. Records in file cabinets that are not arranged in a logical order for easy retrieval should be put in order before packing boxes.
- Do not overload cartons beyond original size.
- Do not pack records with different destruction dates in one box. The date of destruction on the outside of the box must be appropriate for all records inside the box. Never pack permanent records with records that will eventually be destroyed.
- Label the outside of the box with the parish, school or cemetery name, record series, date span of the records in the box, the retention period and a date of destruction (see example below).

Sample Box Label

Springfield, Blessed Sacrament
Record Series: Bank reconciliation statements
Date Range: FY 2014
Retention: 7 years

DESTROY: July 2021

Destruction Guidelines

For impermanent records, destruction marks the end of the records life-cycle. Records must be destroyed shortly after their retention period expires, unless they are involved in current or pending investigations or litigation.

Parish, school and cemetery employees are **strongly encouraged** to document the destruction of all records, except for those that have a retention period of “Until Administrative Use Ceases.” In the event of a legal or audit challenge, this documentation provides crucial evidence of a “defensible disposition,” demonstrating that the agency was aware of and compliant with current records retention requirements *at the time the records were destroyed*. Destruction logs should be retained permanently.

A destruction log should include the following information:

- The title of the record series;
- Date range of records being destroyed;
- Date of destruction;
- Type of media and quantity (e.g. 3 boxes of paper, 10 CDs, 1,200 emails, etc.); and
- Signature of the person creating the destruction log and the person authorizing the destruction.

To properly destroy records they must be shredded. Parishes, schools and cemeteries may purchase a shredder or employ a shredding service.

Shredders: Cross-cut shredders are the most secure type of office shredder and are recommended for confidential paper records. Instead of the long and easy-to-piece together strips from a straight-cut shredder, cross-cut shredders make small pieces similar to confetti.

If your office works with credit card information, you **MUST** use a cross-cut shredder in order to comply with the Payment Card Industry Data Security Standards (PCI DSS).

Shredding Services: If you choose to employ a shredding service to destroy your records, please make sure of the following:

- Prompt destruction of records is ensured;
- The records are not unattended and unprotected prior to destruction;
- A receipt of destruction is issued to your office to keep. Staple this receipt to the destruction log as proof that the records in question were destroyed.

Sample Destruction Document

The following is a sample of a destruction document that parishes, schools and cemeteries can use to document the destruction of records that have reached the end of their retention period. The document should include the following information: the record series title; the date range of the records being destroyed; the date of destruction; the type of media and quantity (e.g. 3 boxes of paper, 10 CDs, 1,200 emails, etc.); and the signature of the person created the destruction log and the person authorizing the destruction.

RECORDS DESTRUCTION AUTHORIZATION AND CERTIFICATE OF DESTRUCTION

Springfield, Blessed Sacrament

Date: July 5, 2014

RECORDS TO BE DESTROYED

Quantity	Records Series Title	Date Range	Schedule No.	Retention	Medium
3 boxes	Checks, Cancelled	FY2000-2011	2014.022	3 years	paper
2 boxes	Bank reconciliation statements	FY2000-2007	2014.009	7 years	paper
4 boxes	Parishioner Contribution Envelopes	FY2010-2013	2014.107	1 year	paper

DESTRUCTION APPROVALS

We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed and no pending or ongoing litigation or investigation involving these records is known to exist.

Approving
Official: Rev. Joe Johnson

Signature:

Date: 7.5.2014

I hereby certify that the records listed above have been destroyed.

Records destruction affirmed by: Sherry Smith, Office Manager

Date of Destruction: 7.6.2014

Method:
Shredding
Electronic

V: Electronic Records

Electronic records are subject to the same discovery laws and retention regulations as physical records, and therefore must be included in any records management discussion. These guidelines will discuss the naming, formatting, storage and destruction of digital records.

File Naming

The goal for a digital file name is to describe the digital file in enough detail that the user does not have to open the document to know what it is. We recommend that a document's name describe the following:

- **What is this document?**
Is this a set of meeting minutes? A letter of recommendation? A financial report? The file name should have this information. Rough drafts should also be delineated from final versions in the name.
- **Who is this document for/from?**
While Windows does assign an "Author" to documents, the name will not always be accurate or useful for determining what the record is. If the document is a set of minutes, then the Council or Board name should be in the name. If it is a letter of recommendation, the person being recommended should be in the name.
- **What date is the document for?**
Windows tracks when a document was altered, but if the digital record is for a particular meeting day, or mass, or covers a date range, that information should be included in the name. To allow Windows to put the records in accurate order when alphabetizing, the date should be in the YYYY-MM-DD format.

Examples:

FinanceCouncil.Minutes.2015-08-01.doc

Spfld.LittleFlower.InstallationHomily.2014-12-06.pdf

Timesheet.Memo.2015.doc

File Format

One of the most important issues in electronic records management is that of the file format. The file format of a digital record determines what software can open it, whether it is compressed, as well as how easy it will be to access in the future. The general rule is to save digital objects in an open-source format, as that will minimize the risk of not being able to convert or open the document in the future. Below are our recommendations, listed by file type:

Text Documents: Text documents are those created by word processing programs like Microsoft Word, Notepad, OpenOffice, etc. For items that require editing, the RTF (Rich Text Format) or TXT formats are recommended for maximum accessibility. Once a document is finalized and all edits are made, it should be saved in the PDF/A format (ISO 19005-1) for long-term retention. This will prevent any additional edits being made and will maximize accessibility for future use.

To save a Microsoft Word document as a PDF/A (in Word 2010):

1. Click “File” and “Save As”
2. Under “Save as type:” choose “PDF”
3. Click the “Options” button
4. Under “PDF options” check the box labeled “ISO 19005-1 compliant (PDF/A)”
5. Click “OK”
6. Type in an appropriate file name and click “Save”

Once the ISO 19005-1 box is checked, Word should default to saving all PDFs as PDF/As, so steps 3-5 need not be repeated.

Datasets (Spreadsheets & Databases): While datasets can be saved in the PDF/A format, they are often most functional when saved in a form that can be opened in an editor like Microsoft Excel or Access. The recommended formats for datasets are the CSV (Comma-Separated Values) or SQL DDL formats.

Images: When storing photographs and images, one should preserve the file in a format that will not compress the image. Compression makes a file smaller, but also results in the loss of data. The recommended formats are uncompressed TIFF, lossless JPEG2000 (.jp2), or PNG.

File Storage

In addition to the format of the digital file, the type of storage media it is housed in will greatly affect longevity. There are three storage medium types that can be used in-house and there is also the option of outsourcing digital storage to vendors. Below is a description of your options.

Hard Drives: Hard drives are the most common form of file storage, as they are part of every PC. In addition to the internal hard drive, you can purchase external hard drives to store your files or setup a server to store your archived digital materials. Hard drives are easy to access, making them one of the more reliable and easy-to-use storage mediums. However, they actually are made of moving parts, which makes them vulnerable to damage and failure. The estimated longevity of a hard drive is 2-5 years, which means they will need replacement relatively frequently.

Optical Media: Optical media are CDs, DVDs, Blu-Rays, etc. This storage method is low-cost in both storage cost (discs are small) and in price, as CDs are fairly cheap to purchase. This method of storage has a good record of backwards compatibility; DVD players can play CDs, and Blu-Ray players can play both CDs and DVDs, etc. However, anyone who has tried to play a scratched CD knows that optical media is quite vulnerable to damage that makes the data practically impossible to use. Due to this vulnerability, the National Archives and Records Administration’s estimated lifespan for optical media is 2-5 years. If you choose to save your records on optical media, the “archival quality” discs that use a gold layer and phthalocyanine dye are the recommended option for long-term storage, as the materials are least likely to decay or be corrupted by pollutants.

Magnetic Tape: Linear Tape-Open (LTO) and Digital Data Storage (DDS) are commonly used for large-scale backups of systems, as they have high storage capacity and low storage costs. This option is only recommended if your organization has an extremely large amount of important digital data, as the initial investment is expensive. Magnetic Tape has an estimated longevity of 5-10 years.

‘The Cloud’: Cloud storage has become extremely popular in the past few years. There is no ‘cloud’ of digital data; it is simply a euphemism for outsourcing one’s data storage to an outside vendor. The vendor is therefore responsible for backups, server maintenance, etc. For digital records, vendor options vary from “storage only” options to full-service maintenance and preservation of digital records. For those with small amounts of data to manage or little technical knowledge, this can be a good option.

There are some cons to the cloud approach, however. As this method relies on vendors, the user has no control over backup methods or storage locations. It may also be difficult to insure that all backup copies of digital records are deleted once their retention period has completed. Security is also a concern. Unless a vendor follows federal regulations regarding data security, outsourcing secure information could be a risky endeavor. Cloud storage also relies on the user having a good and consistent internet connection, as the user’s files will not be accessible if the user is unable to connect to the cloud via the internet. If your organization wishes to use a vendor for digital data storage, we recommend that you use a Trusted Digital Repository (ISO 16363), as they are required to follow best practices for digital records management.

If working with essential and irreplaceable digital records, it is good to remember LOCKSS: Lots Of Copies Keeps Stuff Safe. The federal government’s preferred system of digital archiving is to store master copies of digital files on a hard drive system, with sets on magnetic tape as backup. They also recommend multiple backups, with at least one backup copy separated by significant geographical distance. For example, if you are in a hurricane-prone area on the Gulf Coast, it is recommended that one of your backups be kept in a part of the state (or nation) that does not have the same risk.

However, even the best storage medium is not as reliable as good-quality paper and ink. The nature of digital records will require you to: check your storage media for errors, “refresh” your media by occasionally trying to access an item (guidelines recommend doing this annually for every digital item in your collection), migrate your files to a new storage medium when the old one is failing or becoming obsolete and convert your files to new formats to ensure their long-term accessibility.

Destruction of Digital Records

Digital records must be considered to be as “real” as their paper counterparts, and must follow the same retention schedules. It may be easier to keep decades of records on your PC than it is to keep them in a file cabinet, but they must be destroyed once their retention period passes. Destruction documentation must also be kept for the disposal of digital records, for audit purposes.

“Shredding” Digital Records

Contrary to popular opinion, emptying your PC’s “Recycle Bin” does not mean that you have thoroughly destroyed the digital records it contained. The Recycle Bin function only removes the bit of data that tells your operating system where that file is located on your hard drive. That data will eventually be overwritten with normal use, but it is best to use software like Piriform’s CCleaner to securely delete sensitive files. When configured properly, CCleaner and similar products will overwrite the section of the hard drive on which your “deleted” item was stored, making it increasingly difficult to recover the file.

Disposing of Optical Media

It is very common for organizations to keep records on optical media (CDs, DVDs, etc.), either for backup or for distribution of records between users. The records on these discs must also be destroyed when the applicable retention period passes. The simplest way to do this is to destroy the disc itself. Higher quality paper shredders often feature the ability to shred discs, and many document destruction companies have a service for destroying optical media. If your organization works with very sensitive

data and often puts that data on optical media, purchasing a CD shredder or grinder may worth the investment.

Disposing of Old Computers

When replacing PCs, diocesan institutions need to remember that the data on the old PCs' hard drives can be retrieved, unless the computer is wiped before it is disposed of. Products like DBAN or Blancco will perform wipes of the entire hard drive, making your data irretrievable. We strongly recommend that all PCs be wiped before they are disposed of.

VII. Retention Schedules

The following retention schedules have been approved by the Records Conservation Board and are effective July 1, 2015.

The schedules are grouped by function: Administrative, Financial, Legal, Personnel, Parish and Schools. The Administrative category is broken into the following sub-sections: Building and Property, Cemeteries, Insurance and Tribunal.

How to Use the Retention Schedules

All schedules in this book have five main components: Record Series, Series No., Description, Retention and Disposition.

Sample Retention Schedules

Record Series	Series No.	Description	Retention	Disposition
Bank Deposit Slips	2014.008	Receipts from a financial institution that documents a deposit.	3 years. (805 ILCS 410/1-6)	Destroy.
Meeting Minutes	2014.073	Agendas, minutes, correspondence, working papers of councils, boards, commissions, etc.	Permanent, pending Archivist review.	Transfer to Archives.

- **Records Series:** A Record Series is a group of records that are related as a result of being created, received or used in the same activity or that have a similar function. When filing your records, it will be useful to use these Record Series as the name of the file folders. See the *Filing Guidelines* for additional information.
- **Series No.:** The Series No. provides information about when the retention period for that series was approved.
- **Descriptions:** The Description column contains a description of the Record Series, which allows you to determine whether a particular Record Series is the appropriate descriptor for your records. The Description column may also contain additional important information on the records: what they should contain, how they should be filed, etc.
- **Retention:** This column tells you how long the records need to be kept. There are three calendar years that are used for the schedules: calendar year (January-December), fiscal year (July-June) and academic year (July-June).

Sample Retention Schedules

Record Series	Description	Retention	Disposition
Bank Deposit Slips	Receipts from a financial institution that documents a deposit.	3 years. (805 ILCS 410/1-6)	Destroy.
Meeting Minutes	Agendas, minutes, correspondence, working papers of councils, boards, commissions, etc.	Permanent, pending Archivist review.	Transfer to Archives.
Program Files	Working files relevant to ongoing programs.	Permanent, pending Archivist review.	Transfer to Archives.

There are four main categories of retention:

- a. **(###) years:** This category is the simplest; keep the records for the number of years listed. Example: A retention of 3 years means the office should keep the current year plus the three preceding years.
 - b. **(###) years after (event):** In this category, the retention period of ### years does not start until a particular event occurs. The event could be the filing of taxes, the termination of an employee, etc. Example: Contracts must be kept for 10 years after the completion of terms, expiration or cancellation. If a contract expires on June 10, 2000 – it must be retained until June 11, 2010.
 - c. **Until administrative use ceases:** These records are not of any enduring value and can be disposed of once their usefulness has passed. Record series with this retention period cannot be transferred to the Archives or cold storage.
 - d. **Permanent:** These records are considered extremely important and may not be destroyed.
- **Disposition:** Disposition refers to the process of either destroying the record or transferring it to storage. The column will nearly always say “Destroy” or “Transfer to Archives.” In the schedules, “Archives” refers to the Diocese of Springfield in Illinois Archives and Records Center.

Final Notes

This handbook is not a one-size-fits-all document, nor is it static. Staff in the Office for Archives and Records Management have attempted to identify all records produced by parishes, schools and cemeteries, but we understand that some records may have been missed. In the event that you have files that cannot fit under any record series listed, or noticed that your office *needs* to keep items for more (or less) than the retention period listed, please contact Director of Archives and Records Management. We will be reviewing these retention schedules on a regular basis and want to incorporate feedback from parishes, schools and cemeteries into future editions.

**Diocesan Records Series:
Administrative – General**

Record Series	Series No.	Description	Retention	Disposition
Applications	2014.062	Forms seeking permission for a right or privilege: parking permits, camp attendance, scholarships, etc.	3 years. (805 ILCS 410/1-6)	Destroy.
Audio/Visual Materials	XXX	See: Publications (ADMN/P0057).	XXX	XXX
Calendars	2014.063	Schedule of daily events. Does not include executives' (Bishop, Vicar General, Chancellor, CFO) calendars.	Until administrative use ceases; maximum of 2 years.	Destroy.
Certificates of Destruction	2014.064	The form recording the destruction of records after their prescribed retention period.	Permanent.	Transfer to Archives.
Correspondence, Official	2014.065	Policy and program planning, official communication, official statements, discussions relating to strategic initiatives or mission program activities, etc. Also includes substantive correspondence received from such government agencies as the Internal Revenue Service, etc.	Permanent. Keep current year plus 2 in office.	Transfer to Archives.
Correspondence, Routine	2014.066	Includes paper versions of messages, travel arrangements, meetings, appointments, acknowledgements, ordering, transmittals, reminder notices, cover letters, announcements, etc. Excludes correspondence of executive offices (Bishop, Vicar General, Chancellor, CFO).	Until administrative use ceases; maximum of 1 year.	Destroy.
Councils/Boards/Commissions, Non-Diocesan	2014.067	Various non-diocesan consultative bodies (i.e. boards, councils, taskforce, etc.) on which an employee serves. May contain: reports, correspondence, printed materials, etc. May contain subseries (Minutes, Correspondence, etc.) depending on volume.	Until administrative value ceases.	Destroy.
Equipment Files	2014.068	Files created to document the purchase and continuing maintenance of equipment purchased. May include: copies of invoices, purchase orders, operating manuals, etc.	For life of equipment.	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Events	2014.069	Record of the planning, administration, and follow-up to events, seminars, workshops, etc. held in the Diocese. May include: correspondence, financial records, photographs, clippings, publicity, a/v materials, etc.	Permanent, pending Archivist review. Keep current year plus 2 in office.	Transfer to Archives.
Gifts, Tributes & Awards	2014.071	Materials given to the Diocese or a Diocesan official as a gift, tribute or award. May include: certificates, scrapbooks, spiritual bouquets, etc.	Permanent, pending Archivist review. Keep current year plus 2 in office.	Transfer to Archives.
Grants	2014.072	Grant applications and correspondence with granting agencies. May also include documentation of grants awarded: contracts, financial statements, correspondence, reports, etc.	Grants Awarded: Permanent for final accounting and summary documents. Keep current year plus 2 in office. Working Materials/Rejected Applications: 3 years. (805 ILCS 410/1-6)	Transfer to Archives. Destroy.
Meeting Minutes	2014.073	Agendas, minutes, correspondence, working papers of councils, boards, commissions, etc.	Permanent, pending Archivist review.	Transfer to Archives.
Newsletters	XXX	See: Publications (ADMN/P0057).	XXX	XXX
Office Copies	2014.074	Office or personal copies of records where the original item (or official copy) is retained by another office. Includes budget reports, check requests, paid invoices, memorandums, duplications of meeting minutes, reference copies of items already sent to Archives, etc.	Until administrative use ceases; maximum of 1 year.	Destroy.
Organizational Charts	2014.075	Agency/departmental organizational structure.	Permanent.	Transfer to Archives.
Photographic Materials	2014.076	Photographic materials may include photographs, slides, negatives, motion picture films, etc.	Permanent, pending Archivist review.	Transfer to Archives.

Record Series	Series No.	Description	Retention	Disposition
Policies & Procedures	2014.077	Records that document the development, revision and promulgation of diocesan policies. May be Diocese-wide or office-specific.	Permanent.	1 copy to Archives for permanent retention. Keep reference copies until administrative use ceases.
Policies & Procedures: Manuals	2014.077	Manuals detailing personnel policies.	Permanent.	1 copy to Archives for permanent retention. Keep reference copies until administrative use ceases.
Press Releases	2014.079	Press releases issued by a Diocesan office.	Permanent, pending Archivist review. Keep current year plus 2 in office.	Transfer to Archives.
Program Files	2014.080	Working files relevant to ongoing programs.	Permanent, pending Archivist review.	Transfer to Archives.
Project Files	2014.081	Working files relevant to special projects.	Permanent, pending Archivist review.	Transfer to Archives.
Publications	2014.082	Publications (in print, electronic, A/V, etc.) created by a Diocesan office, parish, school, or other agency. Includes videos, newsletters, mailings, books, pamphlets or published/unpublished histories that commemorate specific events, anniversaries or jubilees.	Final Product: Permanent. Working Papers: Until administrative value ceases; maximum of 1 year.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases. Destroy.

Record Series	Series No.	Description	Retention	Disposition
Scrapbooks	2014.084	A book that includes photographs, newspaper clippings, cards, etc. Documents events and activities held at a parish or school.	Permanent, pending Archivist review.	Transfer to Archives.
Secret Marriage Register	2014.085	Traditional marriage record register for recording Secret Marriages as mandated by Canon Law.	Permanent. (1983 Code C. 1130-1133, C. 490)	Transfer to Archives.
Secret Marriage Supporting Documentation Files	2014.086	May also contain marriage files relating to Secret Marriages. The files may contain permission that the pre-matrimonial investigation be made secretly, promises of secrecy, and traditional marriage investigation documents.	Permanent. (1983 Code C. 1130-1133, C. 490)	Transfer to Archives.
Statistical Reports	2014.087	Internal reports created to demonstrate changes/trends in projects, financial situations, office activities, mass attendance, etc.	Until administrative use ceases; maximum of 1 year.	Transfer to Archives for review.
Subject Files	2014.088	Reference materials not created by a diocesan office. May include news clippings, brochures, pamphlets, etc.	Until administrative use ceases; maximum of 2 years.	Destroy.
Surveys, Studies & Planning	2014.089	Surveys, studies and planning materials relating to Diocesan issues. May be produced internally or externally.	Permanent, pending Archivist review.	Transfer to Archives for review.
Telephone Logs	2014.090	Records kept of telephone activity. If log pertains to allegations of sexual misconduct with minors, or belongs to employees identified as childcare workers: retain 20 years after claimant reaches age of majority, or, if age is unknown, 30 years. If claimant is legally disabled, the 20-year period does not start until the disability is removed. (735 ILCS 5/13-202.2)	Until administrative use ceases; maximum of 1 year.	Destroy.
Time Capsules	2014.091	A container used as a repository for items (i.e. newspaper, ephemera, coins, mementos, dated documents, etc.) placed in a building or specific geographic location to be opened at a predetermined period of time with the intention of tying the past to the present.	Permanent.	Transfer to Archives.
Vendor Files	2014.092	Files relating to offers of services, equipment or supplies. Informational; does not include formal proposals. May contain catalogs, brochures, etc.	Until administrative use ceases; maximum of 1 year.	Destroy.

**Diocesan Records Series:
Administrative – Buildings & Property**

Record Series	Series No.	Description	Retention	Disposition
Architectural Drawings: As-Builts	2014.121	Drawings prepared for the design and construction of structures. Must be preserved in some form permanently.	Permanent.	1 copy to Archives.
Architectural Drawings: Drafts, Proposals	2014.122	Drawings prepared for the design and construction of structures. May be revised and superseded as a project develops.	Until administrative value ceases.	Destroy.
Asbestos Abatement Files	2014.123	Files documenting asbestos presence and abatement in diocesan buildings. Arranged alphabetically by city, parish, building name.	Permanent.	Transfer to Archives.
Capital Goods Inventory	2014.124	Inventories and documents related to equipment, furniture and goods with a value greater than \$5,000 and a life of longer than 1 year.	7 years after disposal of related capital good.	Destroy.
Construction Files	2014.125	Records documenting construction projects on diocesan land. May contain architect's renderings, certificates of insurance from contractors, letters of permission from the Bishop, project manuals, correspondence, permits, inspection files, reports, etc. and related correspondence. Organized by project. Arranged alphabetically by city, parish, building (or property) name, year(s) of project. Possible Subseries: Certificates of Insurance, Bonds, Correspondence, Inspections, Permission Letters, Permits, Project Manuals.	Permanent.	Transfer to Archives.
Incorporation Files	2014.126	Files documenting the diocesan restructuring project that began in 2011.	Permanent.	Transfer to Archives.
Property Files	2014.127	Records depicting the legal acquisition, rental and disposal of properties. May include deeds, easements, leases, sales documents, etc. and related correspondence. Arranged alphabetically by city, parish, building (or property) name. Possible Subseries: Deeds, Easements, Leases, Sales.	Permanent.	Transfer to Archives.
Tax Exemption Certificates	2014.128	The certificates of tax exemption from county property tax assessors.	Until property is no longer owned.	Destroy.

**Diocesan Records Series:
Administrative – Cemeteries**

Record Series	Series No.	Description	Retention	Disposition
Burial Authorization	2015.052	Documents authorizing the burial of an individual.	Permanent.	Transfer to Archives.
Burial Contracts	2015.045	Agreement of payment between the client and cemetery for burial and/or grave maintenance.	Permanent.	Transfer to Archives.
Burial Marker Orders	2015.046	Order materials, including inventory reference numbers and the like, for individual grave markers.	Permanent.	Transfer to Archives.
Burial Registry Database	2015.047	Comprehensive electronic database that records individuals buried, location of burial, payments made, amounts due, birth and death dates of those 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.	Permanent.	Transfer to Archives.
Cemetery Maps	2015.053	Maps that depict the cemetery grounds. May include data on individual burial plots, information on named sections of the cemetery, etc.	Permanent.	Transfer to Archives.
Certificates of Burial Rights	2015.048	Certificates of burial rights. No transfer of property ownership.	Permanent.	Transfer to Archives.
Designation Document	2015.054	Document designating burial rights to an individual. Assigns a burial plot to an individual.	Permanent.	Transfer to Archives.
Day Planners	2015.049	Calendars listing individual burials on the relevant date.	Until administrative value ceases.	Transfer to Archives.
Deeds	2015.050	Legal documents establishing or transferring ownership of burial plot or cemetery land.	Permanent.	Transfer to Archives.
Encroachment Records	2015.051	The records documenting the notification of surviving heirs to the encroachment of a burial marker or other object upon a person's burial plot, and the plans to rectify any encroachment by reinterring the deceased, etc.	5 years. (765 ILCS 835/14.5(d))	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Individual Burial Records	2015.055	Documents recording individual burials, including individual burial cards, burial registers, etc.	Permanent.	Transfer to Archives.
Lot/Plot Records	2015.056	Records detailing the locations of burial lots.	Permanent.	Transfer to Archives.
Veteran Burial Records	2015.057	The Claim for Standard Government Headstone or Marker (VA Form 40-1330), Claim for Government Medallion (VA Form 40-1330M), Veterans Grave Registration (IDVA 3WVGR), etc. Per 330 ILCS 110/2, some record of veteran burials must be maintained permanently.	Until administrative value ceases; minimum of 3 years.	Destroy.

**Diocesan Records Series:
Administrative – Insurance**

Record Series	Series No.	Description	Retention	Disposition
Appraisal Reports	2014.150	A report describing an item (piece of art, land parcel, building, etc.), its condition and its approximate value. Primarily created for insurance purposes.	Permanent.	Transfer to Archives.
Auto Insurance Enrollment Cards	2014.129	Proof of insurance for vehicles insured by the Diocese of Springfield in Illinois.	Until replacement card is issued.	Destroy.
Claims, Personal Injury	2014.130	Insurance claims for incidents involving personal injury. May include, correspondence, invoices, copies of checks, witness statements, court documents, etc.	2 years after date of cause of action. (735 ILCS 5/13-202)	Destroy.
Claims, Personal Injury of Minor or Legally Disabled Person	2014.131	Insurance claims for incidents involving personal injury of a minor or a legally disabled person. May include, correspondence, invoices, copies of checks, witness statements, court documents, etc.	Cases of Childhood Sexual Abuse: 20 years after the person abused reaches age 18 or discovers both that abuse has occurred and that the injury was caused by said abuse. (735 ILCS 5/13-202.2) All Other Cases: 2 years after legal disability is removed or minor reaches age 18. (735 ILCS 5/13-211)	Destroy.
Claims, Property & Non-injury	2014.132	Insurance claims for property damage and/or non-injury accidents. Forms are sent to insurance company for processing and resolution as appropriate. May include: correspondence, copies of bills, statements, etc.	5 years after notification of insurance provider to bring action or 1 year after resolution of claim. (735 ILCS 5/13-205)	Destroy.
Claims: Transmittal Files	2014.133	Records relating to insurance claims made upon the Diocese that were sent to the insurance carrier. Includes: correspondence, copies of subpoenas, attorney's lien, etc.	2 years after date of cause of action. (735 ILCS 5/13-214.4)	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Death Benefits	2014.134	Record of Diocesan employee death benefits or notices. May include: employee data information, contract number and beneficiary, insurance enrollment cards, proof of death, copies of payment checks, etc.	1 year after termination of plan. (29 CFR 1627.3)	Destroy.
Health Insurance Claim Files	2014.135	Files created by the diocesan insurance provider as employee medical claims are filed. May contain: personal health information (PHI), applications, billing statements and other medical records.	6 years. (45 CFR A§164.530j)	Destroy.
Health Insurance Correspondence & Transmittals	2014.136	Correspondence from parishes and schools regarding additions, deletions and changes in health insurance coverage of employees.	2 years.	Destroy.
Health Insurance Employee Files	2014.137	May include: enrollment forms, correspondence related to an individual's insurance charges, etc.	2 years after termination of employee enrollment with carrier. (26 CFR 31.6001-1)	Destroy.
Health Insurance Enrollee Listing	2014.138	CPO listing all enrollees from carrier. Used to reconcile with in-house listings of enrollees. May include check vouchers/stubs.	3 years. (805 ILCS 410/2)	Destroy.
Insurance Policies	2014.139	Insurance policies and documentation related to auto, property, liability insurance, etc. May include records of payment, policies, statements, correspondence, etc.	Permanent, pending archivist review. Keep current policies in office.	Transfer to Archives.
Life Insurance Benefits Files	2014.140	May include all life insurance benefit information, the most recent/accurate life insurance application form, correspondence, etc.	1 year after termination of plan. (29 CFR 1627.3)	Destroy.
Pension Files	2014.141	Files of employees and beneficiaries enrolled in the pension program. Includes W-2 forms, personnel record, pension card, correspondence, benefit information and worksheets, etc.	1 year after termination of plan. (29 CFR 1627.3)	Destroy.
Pension Log Books	2014.142	Record of filing activity with pension administrator. Includes name of employee, date notification received from recipient, date of paperwork filed, date forms sent to recipient, date of completed forms.	1 year after termination of plan. (29 CFR 1627.3)	Destroy.
Pensions: Benefit Listings	2014.144	Year-end summary from pension management organization listing the employees enrolled in the pension system and their benefits.	1 year after termination of plan. (29 CFR 1627.3)	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Pensions: Monthly Reports	2014.143	Reports from pension administrator used as proof of monthly payment of pension.	2 years.	Destroy.
Probe Data	2014.145	Administrative information on insurance plans. Used for controlling costs, evaluating coverage, and usage.	Until administrative use ceases; maximum of 1 year.	Destroy.
Unemployment Contribution Report	2014.151	UC-3-40 form showing how much an employee earns per quarter. Includes date, employee's name, SSN, total wages, employee's account number and state's account number.	5 years. (820 ILCS 405/1801)	Destroy.
Unemployment Compensation Files	2014.146	Files of unemployment compensation forms from parishes and schools.	5 years. (820 ILCS 405/1801)	Destroy.
Unemployment Insurance Claims Activity Group Summary	2014.147	CPO from insurance carrier listing status of all unemployment claims.	5 years. (820 ILCS 405/1801)	Destroy.
Workers' Compensation Claims	2014.148	Claims arising from on-the-job injuries or job-related injuries.	3 years after date of injury or 2 years after the last payment of compensation, whichever is later. (820 ILCS 305/6)	Destroy.
Workers' Compensation Claims: Radiation/Asbestos	2014.149	Claims arising from on-the-job injuries or job-related injuries from exposure to radiological material or asbestos.	25 years after termination of employment. (820 ILCS 305/6)	Destroy.

**Diocesan Records Series:
Administrative – Tribunal**

Record Series	Series No.	Description	Retention	Disposition
Dispensations	2015.067	The Dispensations issued by the Bishop. Includes Disparity of Cult, Mixed Religion, Radical Sanation, Consanguinity, Affinity Degree Direct Line, etc.	Permanent.	Transfer to Archives.
Sanatio in Radice	2015.065	Retroactive convalidation with dispensation from form and impediments. Often seen in the form of a letter or decree.	Permanent.	Transfer to Archives.

**Diocesan Records Series:
Financial¹**

Record Series	Series No.	Description	Retention	Disposition
Audit Reports	2014.005	Annual audit of finances of institution. Shows gross receivables and payables, financial statements, notes.	Permanent.	1 copy to Archives for permanent retention. Keep reference copies until administrative use ceases.
Budget	2014.012	The annual budget listing major accounts (and agencies) and the amounts allotted for expenditures. Originals kept by Office for Finances; reference copies for other offices can be disposed of as administrative use ceases.	Permanent.	1 copy to Archives for permanent retention. Keep reference copies until administrative use ceases.
General Ledger (Year-End)	2014.031	General ledger compiled at end of year showing income and expense for all accounts. Ledger need not show each journal entry but should include compiled income and expense for each account.	Permanent.	Transfer to Archives.
Parish Annual Report	2014.041	The annual parish statistical and financial report sent to the Diocese.	Permanent.	1 copy to Archives for permanent retention. Keep reference copies until administrative use ceases.
State & Federal Taxes: Exemption Files	2014.052	Documentation relating to the verification of tax-exempt status for diocesan/parish organizations and properties. May include PTAX-300 forms, Exempt letters from the state or IRS, etc.	Permanent.	Transfer to Archives.
Accounts Receivable Files	2014.003	Documentation of monies received by office in course of business. Includes Cash Application Worksheets, etc.	7 years.	Destroy.

¹ Please Note: For Financial Records, “year” refers to the Fiscal Year.

Record Series	Series No.	Description	Retention	Disposition
Bank Reconciliation Statements	2014.009	Monthly statement from financial institution showing bank account transactions and balance. Statements are then reconciled and balanced against outstanding debits and credits.	7 years.	Destroy.
Bank Statements	2014.010	Monthly statements of account activity, listed by account, issued by bank.	7 years.	Destroy.
Statement of Loan Account	2014.059	Printout of transactions in parish, office, trust fund loan accounts. Shows open balance, transactions, close balance, interest due.	7 years.	Destroy.
Payroll Documentation	2014.044	Records used to compile payroll information: timesheets, payroll worksheets, payroll deduction, etc. Per 820 ILCS 112/20, this must include employee name, address, occupation, and wages paid.	5 years. (820 ILCS 112/20)	Destroy.
Payroll Register	2014.045	Record shows employee name, SSN, pay period, amount paid and deductions, check number, etc.	5 years. (56 IAC 2760.115, 820 ILCS 112/20)	Destroy.
Bingo Records	2014.011	Records regarding the establishment and running of Bingo games at parishes. May include: cancelled checks and supporting documentation, licenses, and any other records documenting Bingo proceeds.	4 years. (230 ILCS 25/4)	Destroy.
State & Federal Taxes: Business Taxes	2014.051	Reports and documentation related to the business –related taxes (Retailers’ Occupation Tax, Hotel Operators’ Occupation Tax, etc.) that the diocese/parish may be subject to.	4 years.	Destroy.
State & Federal Taxes: Payroll Taxes	2014.053	Reports of quarterly income tax paid by employer, IRS Form 941, 1099, etc. and related documentation (bank statements, deposit slips, etc.)	4 years. (26 CFR 31.6001-1)	Destroy.
State & Federal Taxes: Payroll Taxes: W-2 Forms	2014.054	IRS Form W-2.	4 years. (26 CFR 31.6001-1)	1 copy to Pension Files (Office of Insurance and Benefits) for long-term retention. Other copies: Destroy.
Accounts Payable Files	2014.001	Includes reports of Aged Open Items, etc.	3 years. (805 ILCS 410/1-6)	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Accounts Payable Register	2014.002	Includes all payables for the month. Gives vendor name, vendor number, invoice number, due date, purchase order number, description, amount, etc.	3 years. (805 ILCS 410/1-6)	Destroy.
Accounts Receivable Register	2014.004	Monthly register giving account number, invoice number, date, amount, partial payments, net amount and adjustment.	3 years. (805 ILCS 410/1-6)	Destroy.
Audit Working Papers	2014.006	Notes, authorizations, printouts, etc. used by auditors in preparing annual audit.	3 years. (805 ILCS 410/1-6)	Destroy.
Bank Books	2014.007	Record of individual or institutional transactions at a financial institution.	3 years. (805 ILCS 410/1-6)	Destroy.
Bank Deposit Slips	2014.008	Receipts from a financial institution that documents a deposit.	3 years. (805 ILCS 410/1-6)	Destroy.
Cash Flow Report	2014.015	Daily accounts payable and accounts receivable reports of cash flow to/from various banks. Shows daily balance, transfers, receipts, disbursement.	3 years. (805 ILCS 410/1-6)	Destroy.
Cash Posting Report	2014.016	Computer printout listing all postings and edits of ledgers. Detail includes account number, amount and description of action.	3 years. (805 ILCS 410/1-6)	Destroy.
Cash Receipts	2014.017	Receipt for payment of services rendered.	3 years. (805 ILCS 410/1-6)	Destroy.
Cash Receipts Journal	2014.018	Journal of cash receipts. Shows account credited to, amount, date, entry number.	3 years. (805 ILCS 410/1-6)	Destroy.
Check Registers	2014.020	A register of checks issued, meant to assist in tracking checks and balancing accounts.	3 years. (805 ILCS 410/1-6)	Destroy.
Check Requests	2014.021	Record of vouchers requested for checks in payment for goods or services. Also may include copies of invoices and receipts. Originals kept by Office for Finances; reference copies for other offices can be disposed of as administrative use ceases.	3 years. (805 ILCS 410/1-6)	Destroy.
Checks, Cancelled	2014.022	Checks returned to issuer after clearing bank. Proof of payment.	3 years. (805 ILCS 410/1-6)	Destroy.
Deposit & Loan Report	2014.025	Computer printouts generated daily which show interest accrued on deposits or loans by parish, office or trust fund.	3 years. (805 ILCS 410/1-6)	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Financial Reports	2014.027	Various reports produced for statistical analysis. May contain: Parish Interim Report, Parish Budget to Actual Comparison, Five Year Trend Analysis, Director's Book, Quarterly Financial Report, etc.	3 years. (805 ILCS 410/1-6)	Destroy.
Financial Statements	2014.028	Cash flow analysis and statement of revenue and expenses. Shows YTD and MTD in separate reports. Balance sheet, detailed accounts payable and receivable in monthly report. Year-end auditor reports called Financial Statements are considered permanent.	3 years. (805 ILCS 410/1-6)	Destroy.
General Journal	2014.029	Journal of all debits and credits by month. Shows account and status. Retain for 3 years then dispose.	3 years. (805 ILCS 410/1-6)	Destroy.
General Ledger	2014.030	Reports compiled to create general ledger. May be organized by account. Includes information on all accounts and transactions.	3 years. (805 ILCS 410/1-6)	Destroy.
General Ledger Trial Balance	2014.032	Shows whether debits and credits balance. Reports all accounts, beginning balances, and details any current monthly activity.	3 years. (805 ILCS 410/1-6)	Destroy.
Health Insurance Billing Statements	2014.033	Monthly billings of agencies and parishes for health insurance premiums.	3 years. (805 ILCS 410/1-6)	Destroy.
Income & Expense Report	2014.034	Monthly report showing to date status of budget and remarks for all Diocesan offices. Reports include balance sheets and recaps.	3 years. (805 ILCS 410/1-6)	Destroy.
Income Statements	2014.035	Statements of income by account. Shows income to date.	3 years. (805 ILCS 410/1-6)	Destroy.
Investment Reports	2014.036	Investment statements containing information on sale of bonds, securities, etc. May include in-house or external reports, as well as Investment Reconciliations.	3 years. (805 ILCS 410/1-6)	Destroy.
Journal Entries	2014.037	Compendium of input documents and supporting documentation for journal entries. Includes ledger sheets, input forms, photocopies of checks and vouchers.	3 years. (805 ILCS 410/1-6)	Destroy.
Journal Entry Postings	2014.038	Printout showing all postings to journals. Shows amount, account, journal entry number, comments.	3 years. (805 ILCS 410/1-6)	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Paid Invoices	2014.039	Files documenting payments to vendors for goods or services. May include copies or original invoices, check copies or vouchers, receiving information, purchase order copies, etc. Originals kept by Office for Finances; reference copies for other offices can be disposed of as administrative use ceases.	3 years. (805 ILCS 410/1-6)	Destroy.
Parish, Office, Institution Files	2014.043	Invoices to parishes, offices and institutions for assessments, and other accounts receivable. May include summary report of all monthly transactions.	3 years. (805 ILCS 410/1-6)	Destroy.
Parish Remittance Files	2014.042	Files relating to payouts by the Diocese for construction projects at parishes. Includes: correspondence, specifications, fire code violation notices, check vouchers, insurance claims, etc.	3 years. (805 ILCS 410/1-6)	Destroy.
Petty Cash Receipts	2014.046	Receipts and payment acknowledgement of items purchased out of Petty Cash Fund.	3 years. (805 ILCS 410/1-6)	Destroy.
Priest Accountable Expense Plan	2014.047	Records relating to the Accountable Expense Plan, which allows the Diocese to reimburse priests for business expenses.	3 years. (805 ILCS 410/1-6)	Destroy.
Purchase Orders	2014.048	Record of order for good or service to be purchased. Contains item description, quoted cost, vendor name, approvals, etc.	3 years. (805 ILCS 410/1-6)	Destroy.
Purchase Requisitions	2014.049	Requests by the office for Purchasing to issue a purchase order for goods or services. Approved in turn by office head, department head, purchasing.	3 years. (805 ILCS 410/1-6)	Destroy.
Sales Journal	2014.050	A journal used to keep track of the sales of items purchased on account.	3 years. (805 ILCS 410/1-6)	Destroy.
State & Federal Taxes: Property Taxes	2014.056	Reports and documentation related to any property taxes the diocese or parish owns.	3 years after tax is paid. (805 ILCS 410/1-6)	Destroy.
Statement of Amount Due for Benefits Paid	2014.057	Statement of Amount Due for Benefits Paid and supporting documentation. BEN-118R and check stub. Documents payments of unemployment claims.	3 years. (805 ILCS 410/1-6)	Destroy.
Statement of Deposit Account	2014.058	Printout of transactions in parish, office, trust fund deposit accounts. Shows open balance, transactions, close balance, interest paid, whether check issued or account credited.	3 years. (805 ILCS 410/1-6)	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Trial Balance Report	2014.061	Printout generated quarterly that shows trial balances for each account number. Used to compare account books.	3 years. (805 ILCS 410/1-6)	Destroy.
Budget Report	2014.013	Lists major accounts and shows how amount spent compares to amount budgeted. Includes account name, year budget, year-to-date spent, budgeted amount balance, over or under budget amount, and percent of budget used. Originals kept by Office for Finances; reference copies for other offices can be disposed of as administrative use ceases.	1 year.	Destroy.
Checks, Deposited/RDC	2014.023	Checks deposited via Remote Deposit Capture or “mobile deposit.”	1 year.	Destroy.
Parish Annual Budget	2014.040	Budget for parish prepared by the parish and sent to Office for Finances. Includes income and expense projections, salary information, etc.	1 year.	Destroy.
State & Federal Taxes: Payroll Taxes: Withholding Report	2014.055	Report of taxes (state, federal, local) withheld from payroll. Shows employee name, amount withheld.	1 year. (26 CFR 31.6001-1)	Destroy.
Budget Working Materials	2014.014	Materials used by an office to prepare and submit an annual budget. Final, approved budget kept by Finance.	Until administrative use ceases; maximum of 1 year.	Destroy.
Chart of Accounts	2014.019	Listing of all account numbers. Shows number, office, description of use.	Until administrative use ceases.	Destroy.
Stock Transaction Files	2014.060	Copies of stock certificates, check requests, credit memos, letters to pastors, stockbroker confirmation and copies of checks from the broker.	Until administrative use ceases.	Destroy.
Credit Card Payments	2014.024	Documentation (CC numbers, security info, etc.) necessary to debit a credit card.	Until transaction completed.	Destroy.

**Diocesan Records Series:
Legal**

Record Series	Series No.	Description	Retention	Disposition
Articles of Incorporation & Bylaws	2014.095	Documentation on the formation of a corporation and its rules of operation.	Permanent.	Transfer to Archives.
Attorney Billings	2014.096	Billings by outside counsel and attorneys. Records include: billing summaries, detail invoices, case progress, other correspondence.	3 years. (805 ILCS 410/1-6)	Destroy.
Contracts	2014.098	Record between two or more parties in which each party agrees to perform services or provide goods in exchange for compensation.	10 years after completion of terms, expiration or cancellation. (735 ILCS 5/13-206)	Transfer to Archives.
Estate Settlements	2014.099	Legal records of bequests, legal file folders, tri-folded letters, correspondence relating to estate settlements, etc.	Permanent.	Transfer to Archives.
Legal Case Files	2014.097	These files may contain request for investigation, correspondence, subpoenas, court documents (i.e. arbitration briefs, notice of lien, transcripts, motions, decisions), financial statements of case, copy of requests for funds and disbursements, client documents, case summary sheet, etc.	Permanent, pending Archivist review.	Transfer to Archives.
Special Consultation Files	2014.100	Identical in possible content to Case Files, but concern more sensitive cases and for security reasons are maintained in the Director's office.	Permanent, pending Archivist review.	Transfer to Archives.

**Diocesan Records Series:
Parishes**

Record Series	Series No.	Description	Retention	Disposition
Baptismal Registers	2014.101	Register that documents all baptisms performed at a parish. See <i>Care and Management of Sacramental Records</i> , 2013 for further requirements.	Permanent. (1983 Code c. 535)	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Census Records	2014.102	Vital data on parishioners. Records may include: name, address, family members, sacramental data, etc. May be in index cards, bound ledgers or created as part of parish membership database in the form of a record for a specific snapshot in time. Computer-generated reports should exclude financial data and social security numbers.	Permanent.	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Combined Sacramental Registers	2014.103	Register containing more than one type of sacrament performed at a parish. See <i>Care and Management of Sacramental Records</i> , 2013 for further requirements.	Permanent. (1983 Code c. 535)	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Confirmation Registers	2014.104	Register that documents all confirmations performed at a parish. See <i>Care and Management of Sacramental Records</i> , 2013 for further requirements.	Permanent. (1983 Code c. 535)	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Convert Registers	2014.105	Register of names of people who have converted to Catholicism.	Permanent. (1983 Code c. 535)	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Death Registers	2014.106	Register that documents all deaths or funerals performed at a parish. See <i>Care and Management of Sacramental Records</i> , 2013 for further requirements.	Permanent. (1983 Code c. 535)	Keep at parish. Consult Archivist if records are fragile or overly numerous.

Record Series	Series No.	Description	Retention	Disposition
First Communion Registers	2014.109	Register that documents all First Communions performed at a parish. See <i>Care and Management of Sacramental Records</i> , 2013 for further requirements.	Permanent. (1983 Code c. 535)	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Homilies & Sermons	2014.110	Homilies or sermons given to celebrate significant events in the parish's history (parish anniversaries, dedications, etc.).	Permanent.	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Liturgy Files	2014.111	Filed created to document significant liturgical events (parish anniversaries, jubilees, celebrations, musical events, etc.). May include: music, programs, project manuals, worship aids, lists of participants, etc.	Permanent.	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Marriage Registers	2014.112	Register that documents all marriages performed at a parish. See <i>Care and Management of Sacramental Records</i> , 2013 for further requirements.	Permanent. (1983 Code c. 535)	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Mass Intentions	2014.113	Record of intentions and stipends for each Mass said during the calendar year.	Two years after final intention fulfilled.	Destroy.
Parish Bulletins	2014.114	Weekly publication covering events in the parish, parish organization news, times of liturgical events, names of parish staff, articles of interest, etc. Contains historical information.	Permanent.	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Parishioner Contribution Envelopes	2014.107	Envelopes from donors documenting receipt of pledge bundled with internal Batch Slip and calculator tally slip. Written on envelope is donor number, amount of gift and check number if gift was a check.	1 year.	Destroy.
Parishioner Contribution Statements	2014.108	Periodic statements tracking the contributions made by donors to the parish. Shows amounts, dates and year's total. May be arranged by envelope number or by donor name.	3 years. (805 ILCS 410/1-6)	Destroy.

Record Series	Series No.	Description	Retention	Disposition
Prenuptial Files (Marriage Case Files)	2014.115	Arranged either chronologically, by case number or alphabetically. May contain some or all of the following: memoranda, letters, copies of sacramental records, agreements, marriage data sheets, etc.	Permanent.	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Sacramental Record Indexes	2014.116	Indexes to sacramental registers. May be bound registers, index cards or maintained in electronic database or spreadsheet.	Permanent.	Keep at parish. Consult Archivist if records are fragile or overly numerous.
Sacramental Record Notations, Received	2014.117	Requests received from other parishes for annotating baptismal records indicating the reception of additional sacraments (e.g. confirmation, marriage, holy orders, etc.).	Until annotation is recorded.	Destroy or return to requesting parish.
Sacramental Record Notations, Sent	2014.118	Requests sent to other parishes for annotating baptismal records indicating the reception of additional sacraments (e.g. confirmation, marriage, holy orders, etc.).	Until acknowledgement of entry is received. Until acknowledgement is received, reminders should be sent at 30-day intervals.	Destroy.
Sacramental Records Supporting Documentation Files	2014.119	Legal documents that serve as evidence of change to a sacramental record (e.g. adoption documents proving paternity, affidavits attesting to previously omitted baptisms, notarized court or governmental documents concerning name change, etc.). Documents should be kept in separate files corresponding to each sacramental register. Documents should be annotated with the register and page number.	Permanent.	Keep at parish.
Sick Call Registers	2014.120	Register of visits by pastoral staff to local hospitals and nursing homes. Includes: dates, name of person, location, reason for visit. May show illness and whether or not deceased.	75 years.	Transfer to Archives for review.

**Diocesan Records Series:
Personnel**

Record Series	Series No.	Description	Retention	Disposition
Background Checks	2015.038	Background checks conducted on all diocesan employees and volunteers in accordance with USCCB guidelines. Includes the DCFS CANTS forms.	5 years.	Destroy.
Employment Applications	2015.039	Record of application for employment. May contain: application, resume, application appraisal, skills tests, reference checks, rejection letters, etc.	3 years after hiring decision. (29 CFR 1627.3)	Destroy.
Employment Eligibility Verifications (I-9)	2015.040	Record mandated by Immigration Reform and Control Act of 1986. Used to verify eligibility of persons for employment. Should be filed separately from Personnel Files.	3 years after termination. (8 CFR 274a.2)	Destroy.
Job Descriptions	2015.041	Descriptions of tasks performed by employees. May be created by employee, agency head or Employee Services. One copy of job description should be filed in employee's Personnel File upon hire or change in position.	Until superseded.	Destroy.
Personnel Files	2015.042	Personnel files for lay employees. May include: employment applications, referral letters, vita information, letters of appointment, emergency cards, W-4 forms, evaluations, correspondence, etc. Does not include payroll or pension records.	3 years after termination. (29 CFR 1627.3)	Destroy.
Personnel Files (Office Copy)	2015.043	Agency copies of personnel records. May include: evaluations, resumes, correspondence, copy of the application, etc. Does not include payroll-type information. No record should be placed in a personnel file maintained by an agency that is not also included in the official personnel file kept at Human Resources. Any admonitions or discipline information must be forwarded immediately to the official personnel file in Human Resources.	1 year after termination. (29 CFR 1627.3)	Destroy.
Personnel Files: Teachers	XXX	See: School Schedules: Personnel Files: School Employees.	XXX	XXX

Record Series	Series No.	Description	Retention	Disposition
Volunteer Files	2015.044	File created for each person interested in volunteer work. May include: Volunteer information form, references, TB test results, criminal background checks, hour logs, etc.	Volunteer Files: Permanent.	Transfer to Archives.
			Inactive Applications: (Volunteer did not actually serve.) 2 years after application becomes inactive.	Destroy.

**Diocesan Records Series:
Schools**

Record Series	Series No.	Description	Retention	Disposition
Alumni Lists	2015.075	Records show name, address, month and year of graduation.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.
Class Photographs	2015.076	Photographs of each class in the school.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.
Curriculum Materials	2015.077	Materials developed by the educational programs to educate students in a particular subject. Documents the basic educational content, the source of the information and the manner in which it is to be presented.	Until administrative use ceases.	Destroy.
Diplomas	2015.078	Unclaimed diplomas and jackets of students either lacking credits for graduation, with outstanding fees or not picked up.	10 years after date student was to graduate.	Destroy.
Federal Title & Chapter Program Files	2015.079	Administrative files of federal Title and Chapter programs (grants and subsidies for educational purposes). Includes: applications, vouchers, compliance reports, etc.	3 years after the expiration of the contract or grant, provided that all audits and other requirements have been met.	Destroy.
Graduation Programs	2015.080	Printed programs which list all graduates to be presented at graduation. May also list honors achieved, scholarships awarded, etc.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.

Record Series	Series No.	Description	Retention	Disposition
INS Form I-20	2015.081	Federal I-20 form used to determine and prove a foreign student's eligibility to attend school in the United States.	3 years after the student has permanently withdrawn from the school. (8 CFR 214.3g)	Destroy.
Orders of Protection	2015.074	Certified copies of orders of protection filed with schools or daycare programs under the Illinois Domestic Violence Act of 1986 (750 ILCS 60/222(f)) File with Student Temporary Record.	See Student Temporary Record.	See Student Temporary Record.
Permission Slips	2015.068	Records documenting parental permission for a child to participate in an activity (field trip, dance, athletics, etc.).	3 years.	Destroy.
Personnel Files: School Employees	2015.082	Files containing evaluations, contract agreements, attendance records, resume, etc. Does not include payroll or pension records.	Work and Salary History: Permanent.	Transfer to Archives.
			All Others: 3 years after termination. (29 CFR 1627.3)	Destroy.
Pupil Record Cards	2015.069	Index cards (4x6) containing condensed student transcript. Includes name, address, DOB, dates entered and withdrawn, and grades for each class taken. Span from mid-1920s to late 1940s, depending on the school.	Permanent.	Transfer to Archives.
Scholarship Files	2015.083	Records of scholarships and tuition reimbursements granted. Includes: applications, accounting for funds, correspondence, etc.	3 years after final disbursement.	Destroy.
Scholarship Recipient List	2015.084	A list of all scholarship recipients. Kept for historical purposes.	Permanent.	Transfer to Archives.
School Calendar	2015.085	Calendar of school events.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.

Record Series	Series No.	Description	Retention	Disposition
School Directory	2015.086	Directory of students, faculty and staff. May include information about school rules, policies, etc.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.
School Evaluative & Accreditation Files	2015.087	Records relating to school evaluations and accreditation proceedings. May include: final reports, interim reports, background materials and briefing papers. May include evaluations by the North Central Association, OCE or ISBE.	Permanent.	Transfer to Archives.
School Handbooks	2015.088	Student and faculty handbooks which describe policies and procedures of the school.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.
School Lunch Records	2015.070	Records pertaining to the administration of school and/or free and reduced lunch programs. May include: order forms, reimbursement forms, reports, applications, verification records, direct certification records, etc.	3 years after submission of final claim for reimbursement. (7 CFR 210.23(c))	Destroy.
School Newspaper	2015.089	Newspaper published by the school. Contains information about school events, issues of importance, op-ed, etc.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.
School Promotion Book	2015.090	Bound volume listing names of students promoted from grade to grade.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.

Record Series	Series No.	Description	Retention	Disposition
School Statistical Data	2015.091	Statistical information collected by education office on various demographic and administrative concerns: racial, religious, enrollment testing, etc.	Permanent.	Transfer to Archives.
Student Achievement Tests	2015.092	Any standardized test results arranged by class with summary data for each child. Retain child's summary data in student permanent record.	5 years after the class has permanently withdrawn from the school. (105 ILCS 10/4)	Destroy.
Student Achievement Tests – Summary Data	2015.093	Summary data compiled by testing source (e.g. Terra Nova, California Achievement Test, etc.). Reports sent to education office and schools for analysis and accountability.	Education Office: 5 years. Schools: Until administrative use ceases.	Destroy.
Student Grade Books	2015.094	Records of student grades: Each volume covers an academic year and includes one to three grade levels. Includes: name of student, DOB, date of enrollment, parents names, grade, etc.	5 years. (105 ILCS 10/4)	Destroy.
Student Grade Books - Historical	2015.095	Pre-1950 records of student grades. Each volume covers an academic year and includes one to three grade levels. Includes: name of student, DOB, date of enrollment, parents names, grade, etc.	Permanent.	Transfer to Archives.
Student Health Records	2015.071	The medical records of students. May include: identifying information, health history, results of mandated testing and screenings, medication dispensation records and logs(e.g., glucose readings), long-term medications administered during school hours, and other health-related information that is relevant to school participation (e.g., nursing services plan, failed screenings, yearly sports physical exams, interim health histories for sports).	60 years after student has permanently withdrawn from the school. (105 ILCS 10/4)	Destroy.
Student Permanent Record	2015.096	The minimum personal information necessary to a school in the education of the student and contained in a school student record. Such information includes the student's name, birth date, address, parents' names and addresses, attendance records, transcripts and report cards, achievement test scores (grades 9-12), record of release of information, etc.	Permanent, pending Archivist review.	Transfer to Archives.

Record Series	Series No.	Description	Retention	Disposition
Student Religious Education Records	2015.097	Records which document the formal religious education of a student. May include: sacramental certificate, enrollment forms, evaluations, notices to parishes, correspondence, parish school of religion registration cards, etc.	5 years.	Destroy.
Student Special Education Records	2015.098	Records that related to the identification, evaluation, placement, or provision of education to, students with disabilities. Includes Individualized Education Plans. Records created by public school districts may require return to the district upon student withdrawal; contact local district office.	5 years after student has permanently withdrawn from the school. (105 ILCS 10/4)	Destroy.
Student Temporary Record	2015.099	All information contained in a school student record but not contained in the student permanent record. Such information may include family background information, intelligence test scores, aptitude test scores, psychological and personality test results, teacher evaluations, achievement test scores (grades K-8) and other information of clear relevance to the education of the student.	15 years.	Destroy.
Student Transfer Forms	2015.072	Record of a student transferring schools.	60 years after student has permanently withdrawn from the school. (105 ILCS 10/4)	Destroy.
Transcript Requests	2015.100	Requests by students or schools for transcripts to be sent. Includes letter of requests, notations of fee paid and date sent.	3 years. (805 ILCS 410/1-6)	Destroy.
Tuition Contracts & Supporting Records	2015.101	Agreement between parents and school to pay tuition. May include billing notices, payment ledgers, receipts, etc.	10 years after completion of terms, expiration or cancellation. (735 ILCS 5/13-206)	Destroy.
Visitor Logs	2015.073	The register tracking visitors to a school or agency.	1 year.	Destroy.
Yearbooks	2015.102	A published volume documenting the events of the school year.	Permanent.	2 copies to Archives for permanent retention. Keep reference copies until administrative use ceases.

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