

# Records Management

Guidelines for Managing Parish Records

Archdiocese of Chicago

Joseph Cardinal Bernardin Archives and Record  
Center



# Records Management: Guidelines for Managing Parish Records

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## **I. Introduction**

The Archdiocese of Chicago's Joseph Cardinal Bernardin Archives & Records Center is the official repository for the records of the Archdiocese of Chicago and the gateway to its past. As the institutional archives, its purpose is to identify, preserve, and make available archdiocesan records, which have long term value for local, national and international communities. These primary sources provide unique opportunities to examine our history, celebrate our unity as a Catholic community, and confidently face the future.

The purpose of this records management manual is to provide Archdiocese of Chicago parishes' guidance and information to properly maintain and handle their records, for both short term and long term records. The manual includes information on understanding the importance of records management as an aspect of everyday utility, how to handle electronic records in today's increasingly digital world, record keeping and filing practices, and information on record retention and disposition. A copy of the generic parish record retention schedule and commonly used forms can be found in the back of the manual, so they will be at your fingertips.

## II. What is Records Management?

Records management is the practice of overseeing the life cycle of records, from their creation or receipt, through their use, and ultimately through the records eventual disposition or transfer to the archives for permanent retention. Effectively managing an organization's records ensures their availability when and where they are needed and in a manner that they can be used appropriately. This process allows an organization to maintain control over both information and administrative operations. **Remember, these records do not belong to you; they are the property of the parish.**

### a. Authority

#### **Code of Canon Law, rev. 1983. Canon 486**

- All diocesan and parochial documents must be protected with the greatest of care.
- In every curia, there is to be established in a safe place a diocesan archive or storeroom in which the instruments and writings which refer to both the spiritual and temporal affairs of the diocese, properly arranged and diligently secured, are to be safeguarded.
- There is to be an inventory or catalog of the documents contained in the archives, with a brief synopsis of the contents of each one.

#### **Statement of the Cardinals' Cabinet, December 17, 1987,**

- "The disposition (i.e. the transfer, destruction, filming or off-site storage) of all records must be scheduled by the Archives and Record Center. Records Retention Schedules must be approved by the Records Conservation Board."

#### **Archdiocesan Records Policy**

- In order to insure the maintenance of Archdiocesan Records for legal, financial and historical purposes the following Records Policy is now in effect.
  - All records created by persons employed by the Archdiocese of Chicago, during the course of their work, are property of the Archdiocese of Chicago.
  - Records are defined as: All recorded information, regardless of medium or characteristics, made or received, and maintained by the Archdiocesan Agency or Institution, in pursuance of its legal obligations, or in the transaction of its business.

- The disposition (i.e. the transfer, destruction, filming or offsite storage) of all records must be scheduled by the Records Center Department. Schedules must be approved by the Records Conservation Board.

#### **b. Records Management Definitions:**

- **Record:** All recorded information, including: documents, papers, letters, maps, books, photographs, film, sound recordings, magnetic or other tapes, electronic data processing records, or other documentary material, regardless of medium or characteristics, made or received and preserved for preservation by an agency of the Archdiocese of Chicago pursuant to its legal obligations or the transaction of its everyday business.
- **Non-record:** Library and museum materials made or acquired and preserved solely for reference or exhibition purposes; extra copies of documents preserved only for convenience of reference; stocks of publications or blank forms; other items not otherwise include within the definition of record.
- **Agency:** A department, institution, office, parish or any subdivision thereof (including school) owned and/or operated by the Roman Catholic Bishop of Chicago, a corporation sole.
- **Records Conservation Board:** The governing authority for approval of records retention schedules for the Archdiocese of Chicago. The Records Conservation Board consists of the Archdiocesan Finance Officer, the In-House Legal Counsel, and the Assistant Chancellor for Archives and Record Center, or their designates.
- **Records Retention Schedule:** A document which governs the disposition of records of the Archdiocese of Chicago. A records retention schedule is created for each agency and lists the record classification title, description, and the retention period, which includes any legal citations for the retention. The document is approved by the agency head, the appropriate Department Director, and the Records Conservation Board.

### III. Reasons for Records Management

Why is records management important for the Archdiocese of Chicago? An effective records management program serves many purposes, including:

- **Compliance with legal retention requirements and the establishment of administrative, fiscal, and historical retention requirements** - Maintaining records in accordance with Archdiocesan Policy, State and Federal Laws is necessary to ensure compliance with legal requirements. When one does not adhere to such legal requirements, the Archdiocese is taking an unnecessary legal risk as well as assuming unnecessary operating costs.
- **Increased efficiency in retrieval of information** – Effectively managing records allows accessing records and information quicker and more efficiently. Less time is spent searching for and identifying information, thus increasing productivity and the ability to locate and utilize important information.
- **Space Savings** – An organization will recognize immediate savings in terms of space when records are managed efficiently. By destroying records when they have met retention or transferring permanent records to the archives, the space occupied by records will be reduced dramatically. This is also true for electronic records, because electronic storage comes at a cost as well.
- **Control over creation of new records** – Clearly understanding record retention policies and retention guidelines will assist in the creation of new records. Records management can help to reduce the creation of unnecessary reports, documents, and copies, and at the same time improve the effectiveness of those records that are created.
- **Identification of enduring (historical) records** – Managing records well allows for the identification and protection of records with enduring (historical) value.

#### a. Records and Litigation

Having an established records management program ensures that if the Archdiocese of Chicago is involved in a legal dispute, the management and destruction of its records cannot be questioned. Being able to show that records were handled and disposed of according to approved standards and criteria demonstrates to the courts that there was no malicious intent.

When records do become involved in a legal issue, a litigation hold will be placed upon the records. A litigation hold is a suspension of document

retention/destruction policies for those documents that may be relevant to a legal issue and/or lawsuit that has actually be filed or one that is reasonably anticipated. It ensures that relevant data is not destroyed and that key employees are notified of document preservation requirements.

Should a litigation hold become necessary, the following procedures, as identified in **Archdiocesan Policy §2603 Litigation Hold Notices**, must be followed:

#### **Litigation Hold Procedures**

1. If an Archdiocesan entity receives notification of, or identifies or anticipates potential litigation, the Office of Legal Services will prepare a Litigation Hold notice for all records relevant to the identified or anticipated litigation.
2. The Office of Legal Services shall determine the initial scope of the anticipated litigation and shall issue a Litigation hold Notice to the Vice-Chancellor for Archives and Records. The Vice-Chancellor shall acknowledge receipt of the Litigation Hold Notice in writing to the Office of Legal Services.
3. The Vice Chancellor of the Archives and Records shall identify possible records custodians and the location of relevant records, and, in cooperation with the Department of Information Technology, shall suspend the routine destruction of records and shall take appropriate measures to ensure the preservation of such records for the duration of the Litigation Hold. The Vice-Chancellor shall communicate the nature of the preservation efforts to the Office of Legal Services.
4. The Office of Legal services may revise and re-issue a Litigation Hold Notice as needed during the course of investigation or litigation. The scope of a Litigation Hold may be refined in response to discovery requests or orders, or changes to the scope of the real or anticipated litigation. Any revised Litigation Hold Notices will modify the scope of the initial Litigation Hold.
5. The Office of Legal Services shall notify the Vice Chancellor for Archives and Records in writing when a Litigation Hold may be lifted. When a Litigation Hold is lifted, the destruction of records shall proceed in accordance with applicable archdiocesan record retention schedules.

## IV. Electronic Records Management

### a. Electronic Documents

Today, we find ourselves creating almost all records electronically and oftentimes duplicating these records in paper. In most cases these records are supposed to replace records that were previously maintained in physical formats and stored in office filing cabinets and storage rooms. However, the use of electronic records has not cut down on the amount of paper records being produced; rather it has increased the volume as people continually printout a hardcopy for their files in addition to the copy saved their hard drives. The accessibility of electronic records have made the use of such systems advantageous and increased office productivity. However, one must remember that such records need to be managed as well. As with paper records and records in other formats, electronic records need to be managed from their creation, through their use, and through their final disposition.

People tend to think that if a record is created and stored electronically it will always be there. This is not the case. Electronic storage has its limitations and should not be considered a bottomless filing cabinet. Additionally, over time as technology and software advance, previously used electronic storage media will become unreadable and inaccessible. In order to ensure that these electronic records are maintained for their appropriate retention, as specified in the record retention schedule, the following practices should be followed:

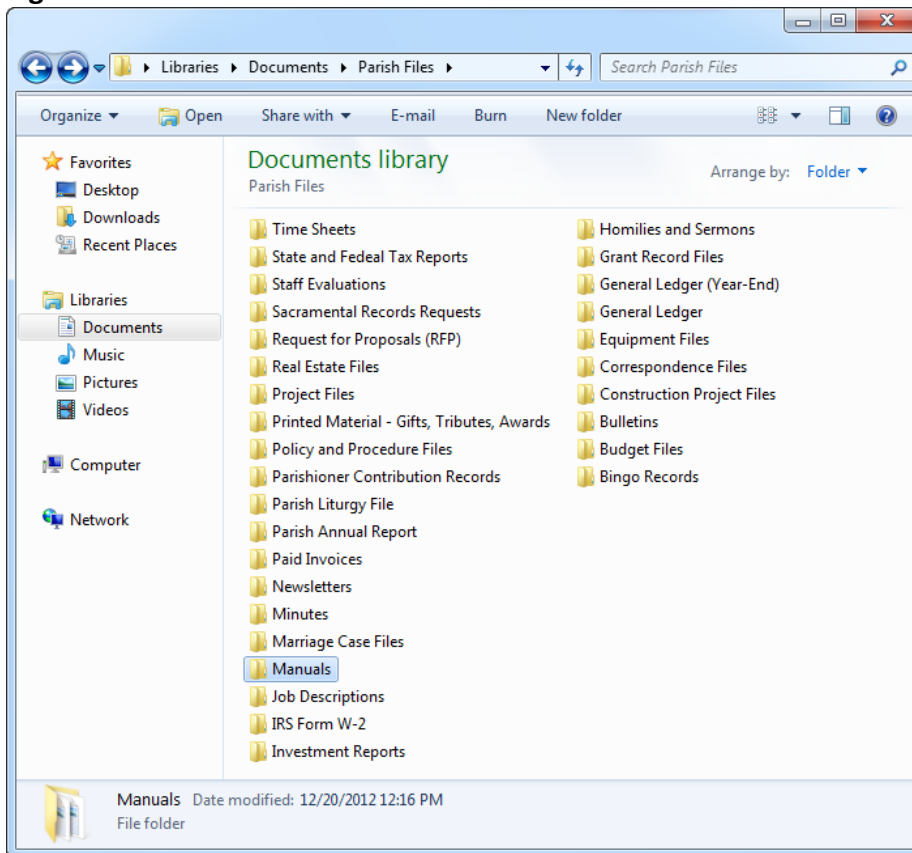
- Organization of the electronic records. Whether a record is in paper format or an electronic format, the retention period is the same. Simply saving a word file on the hard drive and not thinking about it is an ineffective way of managing the record. Replicating the file structure that is used for the paper records in your parish is a good way to maintain organization and structure of the records. This will make it easier to locate records and identify vital information quickly, also allowing you to distinguish between files that do not need to be maintained for long periods of time. Please see examples of file naming protocol below.
- Be aware of systems that become outdated. As technology advances, software will change and become outdated and inaccessible. As new operating systems and software are upgraded, it is imperative to ensure that records are migrated to the new systems. Before a system is upgraded, the records or files should be backed up. This way, should something go wrong with the upgrade, the records will not be inadvertently destroyed or lost.



**b. File Naming Protocol**

Organizing your electronic records initially can feel like an overwhelming task. However, once you have established an electronic filing system using appropriate folder structures and file naming protocols, your electronic records will be easy to maintain. The creation of an electronic filing system will take place within your Document Library in your Microsoft Office system. In order to effectively manage your electronic records, you will need to appropriately name your files. Having a unified file naming system set up will allow you to organize your electronic records in the appropriate context and in a way that mirrors the classifications that have been established in the approved Archdiocesan records retention schedules. The file naming protocols should represent both the purpose and the content of the record, e.g. School Board Meeting Minutes 01222013.

The first step that is suggested is to create an appropriate folder structure that mirrors the classifications found in the records retention schedule. It is within this folder structure that you will place the actual records. Below, Figure 1 is an example of some of the different types of record classifications that your parish may have and how you can set up your folder structure within the document library. Please note – you may or may not have to create all of the below types of folders, you do not need to create folders for which you do not have records.

**Figure 1**

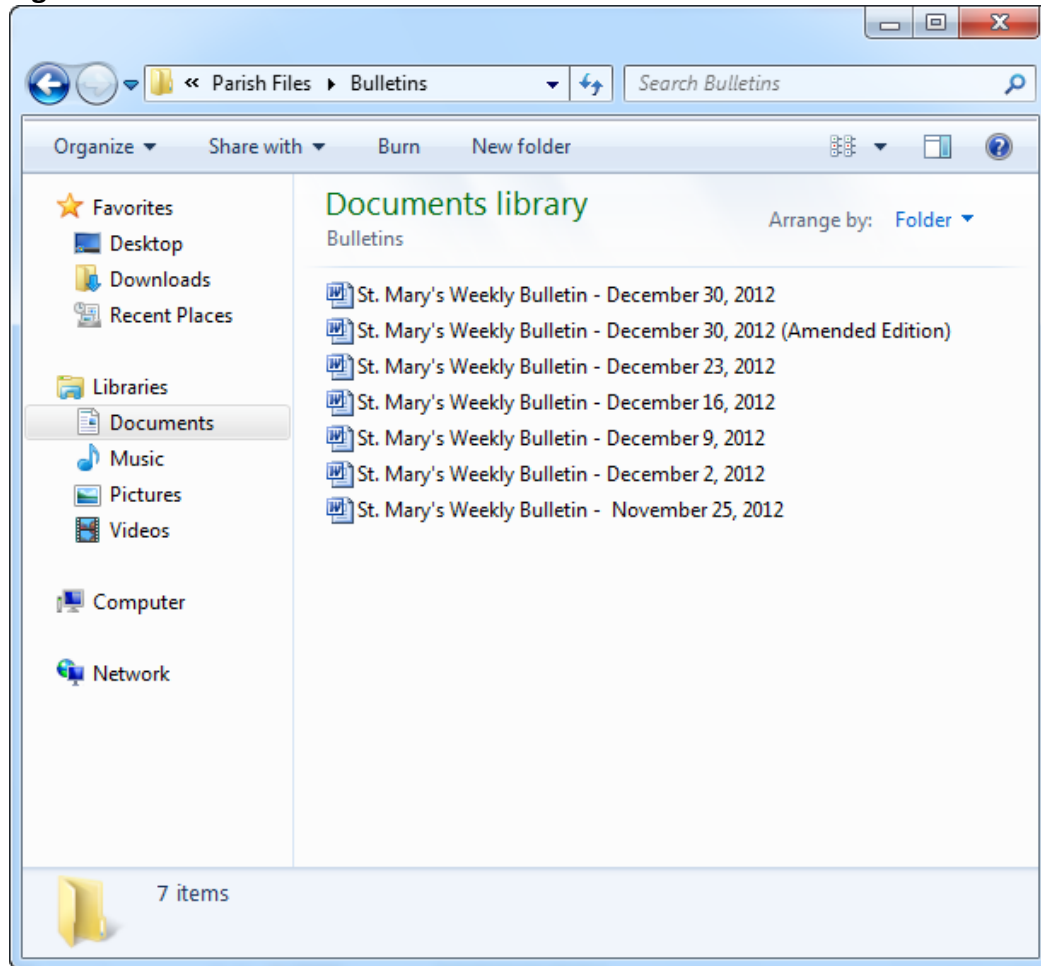
Once you have created a useful folder structure within the document library, as shown in Figure 1, consisting of the folders that have been created to mirror the appropriate retention schedules, you will need to develop an appropriate way to name your records when you place them within this folder structure. The more specific and accurate your file naming is, the easier and more effective your electronic filing system will be.

The following are suggestions for use when creating your file names. Please note, these examples may not be relevant to every file you create in your office. It is important to utilize consistent file naming protocol within your office, making these records easily identifiable to everyone who may be accessing and using these files:

- Date record created (e.g. January 12, 2012 or 01122012) – The use of the date within the file naming protocol should only be used when the date is necessary for identifying the record, as demonstrated in Figure 2 below. For example, using the date of the meeting is appropriate for minutes, however, unnecessary when saving a manual.
- Name of creator (e.g. Mary Joe, Rev. Hill)
- Description of content (e.g. paid invoices, manual, parish bulletin)

Figure 2, below, is an example of the file naming protocol for records found within the Bulletins folder structure:

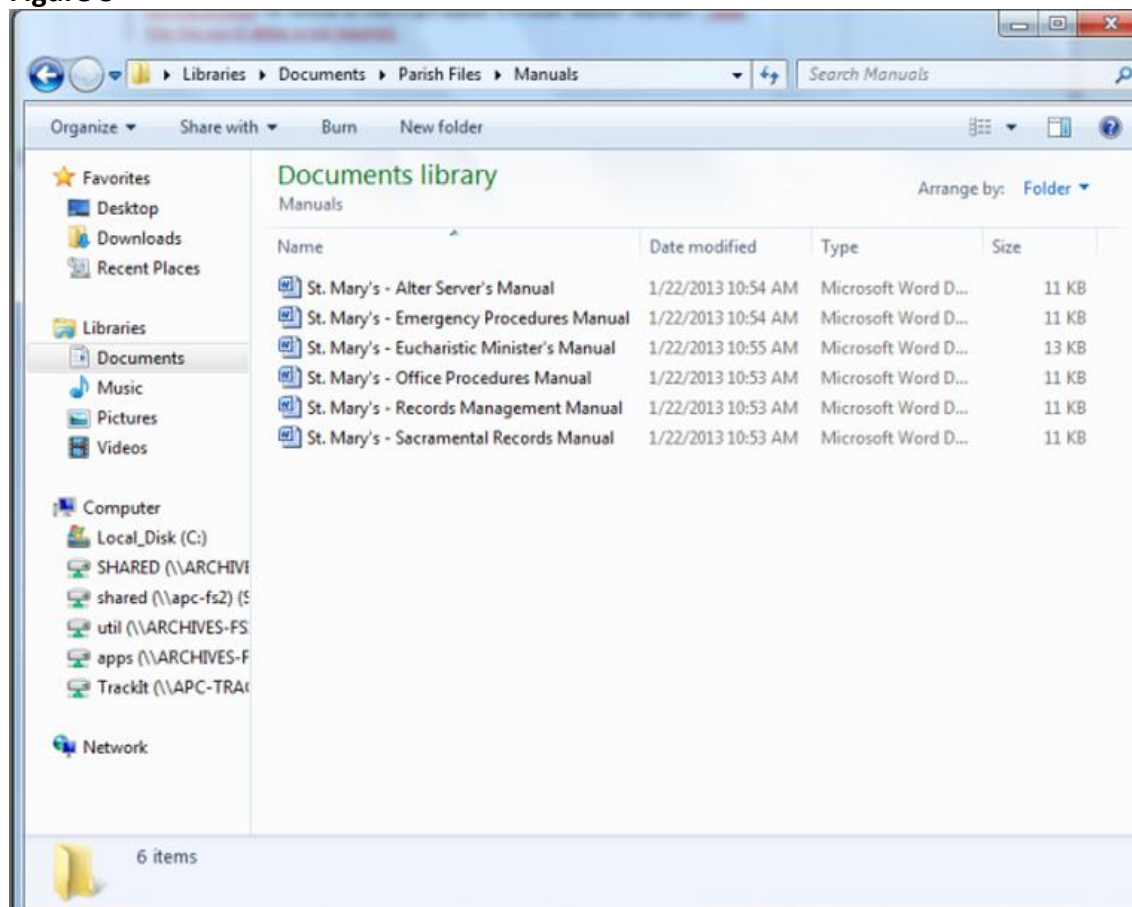
**Figure 2**



Each of the files shown in Figure 2 identifies the owner of the record (St. Mary's), has a title that identifies the content of the record (Weekly Bulletin) and names the date of the record (December, 30, 2012). Not all records will need to have the date identified, however, for a record such as bulletins the use of the date will be necessary to easily identify which file you are looking for. Additionally, you will notice that there are two files for December 30, 2012, with one labeled as an "Amended Edition." Labelling as such keeps things clear and helps to avoid duplication or inadvertently deleting necessary records.

Figure 3 is a second example of how to appropriately use file naming protocol for records as they might appear in a folder labeled "Manuals". Note that the use of dates is not required.

Figure 3



Again, the file name identifies the owner of the record (St. Mary's), and has a title that identifies the content of the record (e.g. Office Procedures Manual).

### **c. E-Mail Records**

Electronic communication is the transfer of information from the sending party to one or more receiving parties through an electronic telecommunication system. E-mail has become a critical part of the Archdiocese of Chicago's everyday business practices. As with paper communication, e-mail messages need to be managed and maintained for appropriate periods of time.

Working in a parish, it is common practice to use e-mail accounts that are not associated with the Archdiocese of Chicago, e.g. Gmail, Hotmail, and other proprietary accounts associated with the parish. It is imperative to note that the use of these systems does

not exclude the e-mail records from the approved Archdiocese of Chicago retention schedules. All e-mails used in connection with Archdiocesan business are subject to possible litigation and discovery, use of a third party email system does not mean otherwise.

When conducting Archdiocesan business, particularly when interacting with Archdiocesan offices, it is highly recommended and encouraged that you use your Archdiocesan email account. This ensures that these records, which are Archdiocesan records, are maintained and managed properly. It is imperative to note that use of the Archdiocesan E-mail system means that the emails sent or received by an employee of the Archdiocese are property of the Archdiocese of Chicago and as such need to be maintained accordingly. While you may have no control over the e-mails that you receive, any records that are sent out using an Archdiocesan computer and/or email account constitutes a conscious decision to use AOC resources. The emails that you send out must be maintained as a business record, which requires that the records be retained for three years according to 805 ILCS 410/1-6 (Uniform Preservation of Private Business Records Act).

While it is easy to identify emails that are being sent as falling under the business record classification, incoming emails require a little more management. E-mail such as advertisements and junk mail do not need to be maintained. However, other e-mail records need to be categorized. See below for examples of the different record classifications and records that would fall under them.

E-Mail can be broken down into the following categories:

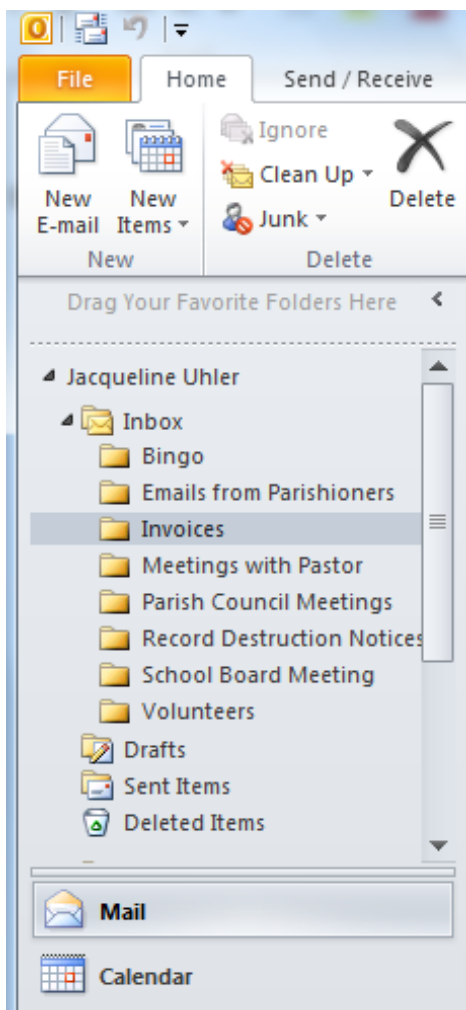
1. E-mail Administrative Support – This is the classification used for business record emails. It consists of all e-mail of a general facilitative nature created or received in the course of administering programs.  
Retention: Retain for three years then dispose.  
Examples of emails that would fall under this classification include records that document the business processes of your Parish such as correspondence and reports.
2. E-mail Reference – E-mail received or created by employees of the Archdiocese of Chicago that is only used for reference purposes. May contain attachments. This classification must not be used for records that document business processes or managerial decisions.  
Retention: Maintain for one year after creation.  
Examples of emails that would fall under this classification include information regarding Parish Leadership Day saved for your future reference.
3. E-mail Transitory – E-mail of a short term interest that have no documentary or evidential value.  
Retention – Maintain for 90 days after creation.

Examples of emails that would fall under this classification include meeting invitations, notice of the time the plumber will be coming out to look at a problem, etc.

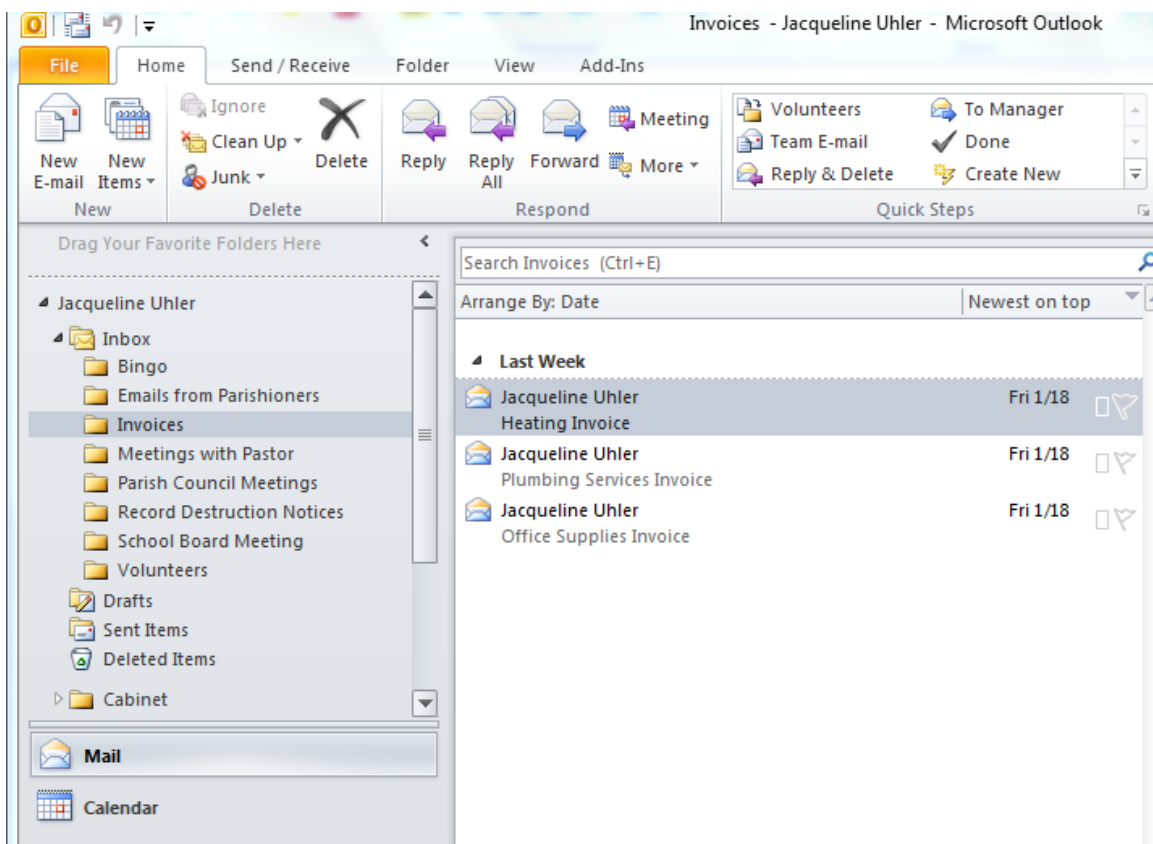
Organizing your email into filing cabinets within the e-mail system with appropriate classifications, as opposed to keeping everything in your inbox, will allow you to better manage and utilize your e-mail records. This is the same thing as the folder structures that you created above as demonstrated in Figure 1. Please note that junk mail does not need to be maintained.

Please see the below example of an e-mail account setup to properly manage e-mail records:

**Figure 4** – This shows you how the file cabinet folders are set up. These are the folders in which you will file your e-mail; you can create subfolders as shown below if you want to organize your records on more of an individual basis.



**Figure 5** – The following is an example of the emails inside of the Invoices folder, this is the same as the approved record schedule of Paid Invoices. As you can see, records relating to invoices for the Parish have been filed in this folder and will need to be maintained for three years.



Setting up your records by classifications/subjects will allow you properly identify records that have met their required retention. Once these records have met their retention, please follow the destruction procedures and request approval as outlined in section VII of this manual.

## **V. Record Keeping and Filing Practices**

While not required, it is good practice for each Parish to have a person who is responsible for overseeing the management of records. This person would ensure that the files are maintained properly and records are destroyed according to the retention schedule. Having someone who is familiar with the record retention schedule and proper record keeping practices will help to keep the Parish's records managed properly. This should be done in conjunction with the Vicariate Offices and Business Managers, following proper protocol and established procedures.

Parish records will be comprised of numerous types of records, or record classifications. A majority of the records will be administrative in nature and not have long term retention; however, some records will have historical value and need to be maintained for longer, if not permanently. Such records include sacramental records which will be addressed specifically in Section VI.

### **a. File Naming Protocol**

As mentioned previously in the Electronic Records Management section, page 9, the way in which you name your files is very important. The same is true for your paper records. Organizing your files in such a way will allow you easy access to the records when needed and will also allow you to properly identify records as they become eligible for destruction.

Just as you did in with electronic records, it is recommended that you create your file structures based on the record classifications found in the approved records retention schedule, refer to Figures 1-3. For example, maintaining your paid invoices in one file drawer, then filing by year will allow you to easily identify when those invoices have met their retention and can be prepared for destruction. Another example would be arranging your correspondence by year, and then subsequently by topic if that level of arrangement is necessary.

### **b. Storage of Records**

The majority of records that are created in the parish, as mentioned previously, will be records of an administrative nature. These records will be maintained within the office in which they are created and then destroyed once they have met their appropriate retention and have been approved for destruction. When records are stored within the office, they should be maintained in a way that meets office needs for functionality and accessibility and should be filed so that anyone can easily identify the nature and content of the files. This filing system should also resemble



the established record classifications as much as possible for easier identification of appropriate retention.

## VI. Sacramental Records

The most important records that a Parish maintains are Sacramental records. As identified in the Book IV, *The Sanctifying Office of the Church*, §900 *Sacramental Records*, Sacramental Records are owned by the Archdiocese and the Archbishop delegates the “responsibility for ensuring that the sacramental records of the Archdiocese are kept in accordance with these policies [§900 Sacramental Records] Canon Law and attendant procedures.” Why is it that these Sacramental Records are considered invaluable?

*“The parishes of the Archdiocese are relatively new when considered within the total history of the church. Yet there are many signs that as a church community we are coming of age,” not just because of the passing of time, but also because of a more mature sense of our identity. It is an identity which is not completely of our own making, but rather one that has been shaped in history. More and more we realize that we are a community of people with a past as well as a present and a future.*

*Some of the most important sources for understanding this historical identity are parochial sacramental registers of Baptism, Confirmation, Marriage, Death and First Communion. These books are an invaluable record of the people who made up a parish, and collectively the Archdiocese, at a given time. They are of vital interest not only to the Church, but also to countless individuals and even whole communities. Their value is acknowledged in both civil and Canon Law.*

*(May 25, 19993)*

Per Archdiocesan Policy, §901.3, the “person in charge”, typically the Priest, is responsible for ensuring the following:

1. That sacramental records are properly maintained and kept in accordance with established Archdiocesan procedures and those of Canon Law (C. 535),
2. That sacramental records are clearly and promptly annotated;
3. That sacramental records are properly preserved;
4. That access to sacramental records is in compliance with accepted Archdiocesan procedures.

The preservation of Sacramental Records is outlined in Archdiocesan Policy, §903 as follows:

### **§903.1 Storage**

**903.1.1 Policy** Sacramental registers are to be kept in a secure place (e.g., the parish safe) as well as stored and handled in an environment that ensures their preservation (C. 535, pages 4 & 5). Ideally this means a constant cool temperature with relative humidity of 40% to 50% and no prolonged exposure to sunlight or artificial light. While most parish offices cannot fulfill such precise requirements, steps can always be taken to avoid high temperatures, dampness and direct sunlight.

### **§903.2 Restoration**

**903.2.1 Policy** Registers that have been worn out by use and age can be rebound and restored, provided this work is done according to archival requirements. Rebinding that destroys any data or renders any part of the records unusable is not acceptable. For these reasons, the Vice Chancellor for Archives and Records shall be consulted before any rebinding or restoration work is undertaken.

### **§903.3 Copies**

**903.3.1 Policy** Sacramental registers can be protected from loss due to fire, age or heavy use by making duplicate copies in any one of several ways: transcripts, microfilm and digital images. Under no circumstances, however, shall the original register be discarded. For the purpose of providing secure duplicate copies, the Archdiocese has undertaken a diocesan-wide digitization project of sacramental records which includes the periodic updating of the digital images. This project and any other steps taken on the parish level shall be regarded as a means of preservation, not free access or publication. The same restrictions of access apply to copies as to original records. As with original records, no copies of sacramental records or the data they contain, whether on microfilm, digital images or other form, may ever be given, loaned or sold to any person or institution without the written permission of the Archbishop, except for the legitimate access described in §904.1., below. Permission so granted shall specify the condition for use, duplication and publication.

### **§903.4 Transfer to Archdiocesan Archives/Closed Parishes**

**903.4.1 Policy** The ordinary repository for sacramental registers is the parish that created them. In the event that a parish or institution does not have the facilities or the means to preserve their older books or to handle the volume of research requests, the Archdiocesan Archives and Records Center shall be contacted for a possible transfer of the registers to the Archdiocesan Archives and Record Center. In the event that a parish is closed, the registers and all other parochial records shall be surveyed by the Archives and Record Center staff to determine appropriate retention periods. Archives and

Records will inventory sacramental registers and transfer them to the parish which assumes parochial responsibility for the majority of the closed parish's territory. (The Vice Chancellor for Archives and Records, the pastor or administrator of the closed parish and the Office of Research and Planning, shall designate which parish assumes parochial responsibility.) The registers shall remain in the parish that assumes parochial responsibility for three years and then be sent to the Archdiocesan Archives and Records Center which shall assume the responsibility for administering them.

At any time, should you have questions or concerns about the maintenance of the Parish's sacramental records, please contact the Archives and Records Center for assistance and direction.

## VII. Record Retention and Disposition

The life cycle of a record begins with its creation or receipt and follows it through its period of active use, to its final disposition of either permanent retention or destruction. The destruction of records is an important part of the management of records. To assist with the destruction of records, the record retention schedules have been established and approved to ensure that records are maintained for the appropriate time periods and then destroyed to save space, reduce litigation risks, etc.

### a. Record Retention Policy

Record retention schedules are established by the Archives and Records Center and approved by the Records Conservation Board. The authority for this comes from Archdiocesan Policy §2602 - Records Retention Schedules:

**2602.1 Policy** Records retention scheduling for the disposition of all Archdiocesan Records shall be approved by the Records Conservation Board and administered by the Archives and Records Center.

A records retention schedule is created by the Archives and Records Center Staff for each agency of the Archdiocese and includes a record's classification title, description, retention period and legal citation. This schedule mandates the minimum retention period of records and the agency and is approved by the agency head, the Department Director and the Records Conservation Board. As the disposition of all records is to be in compliance with these schedules, all employees should consult the retention schedule for his or her respective agency. Any questions in this regard should be directed to the Archdiocesan Archives and Records Center.

### b. Disposition of Records

When your office has identified records that have met their appropriate retention, as outlined in the approved retention schedules, the Parish will need to complete an *Application for Authority to Dispose of Records*. This form will need to be completed in duplicate by the Parish, listing the following information for each record classification:

1. Retention Schedule Number (from the approved retention schedule).
2. Classification Title (from the approved retention schedule).
3. Inclusive Dates (this will be the time span for all of the records that are a part of this record classification).

4. Volume (approximate volume of the records to be destroyed – Volume conversion charts are available from the Archives and Record Center).

Following completion of the *Application for Authority to Dispose of Records* found on page 41, the agency head will need to sign and date both completed copies. Mail both copies of the Application for Authority to Dispose of Records to: Archdiocese of Chicago's Joseph Cardinal Bernardin Archives and Records Center, 711 W. Monroe, Chicago, IL 60630.

**Please Note** – Records may not be disposed of until approval has been received from the Archives and Records Center (the Archives and Records Center will act upon all Applications within 15 business days of their receipt).

Once the approved destruction form has been returned, records should be disposed of immediately after the date indicated by the Archives and Records Center. Records should be burned or shredded, if possible. Otherwise, agency head or designate should witness pick up and removal by scavenger service or authorized records destruction service. Under no circumstances should intact records be placed in an unsecured garbage can or dumpster. A Records Disposal Certificate must be filled out at the time of the disposal of the records. The approved copy of the Application for Authority to Dispose of Records should be maintained in your Parish's files permanently.

#### **c. Archdiocese of Chicago's Joseph Cardinal Bernardin Archives and Record Center**

The Archdiocese of Chicago's Joseph Cardinal Bernardin Archives & Records Center is the official repository for the records of the Archdiocese of Chicago. As the institutional archives, its purpose is to identify, preserve, and make available Archdiocesan records, which have long term value for local, national and international communities. These primary sources provide unique opportunities to examine our history, celebrate our unity as a Catholic community, and confidently face the future. With more than 8,000 cubic feet of archival materials, the Archdiocese of Chicago's Joseph Cardinal Bernardin Archives & Records Center constitutes one of the world's largest repositories of Archdiocesan Archives.

Archives and Record Center staff are available for assistance with Parish Records Management issues and questions. **The Archdiocese of Chicago's Joseph Cardinal Bernardin Archives & Records Center is located at:**

**711 West Monroe Street  
Chicago, Illinois 60661  
Tel. (312) 534-4400  
Fax (312) 831-0610**

## VIII. Archdiocese of Chicago Archives and Record Center

### Generic Parish Records Retention Schedule

| <b><u>Administrative Records</u></b>  | <b><u>Schedule Number</u></b> |
|---|-------------------------------|
| <b>Agency Budget (Office Copy)</b><br>Proposal for agency budget. Contains itemized account budgets, description of account, proposed budget, previous budget, etc. Official copy kept by financial services.<br><b>Retention:</b><br>Destroy in 2 years. Maintained in office until administrative use is complete, then destroy.  | <b>2012/11/01</b>             |
| <b>Appointment Books</b><br>Calendar appointment books for each year detailing the day to day activities of individual generating the book.<br><b>Retention:</b><br>Retain for two years. Retention based upon administrative usefulness.<br>Destroy in two years.  | <b>2012/11/02</b>             |
| <b>Asbestos Abatement Files</b><br>Files relating to the elimination of asbestos in AOC facilities. Files contain: correspondence, management plan, surveys, abatement proposals, etc.<br><b>Retention:</b><br>Retain permanently.  | <b>2012/11/03</b>             |
| <b>Budget Report (Office Copy)</b><br>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. Original sent to Budget and Analysis. Copy kept in for administrative use.<br><b>Retention:</b><br>Retain in office until administrative usefulness is completed then disposed of. | <b>2012/11/04</b>             |
| <b>Computer Software</b><br>Magnetic disk that contains information to run an agency computer system.<br><b>Retention:</b><br>Maintain permanently or submit to archives to aid future emulation efforts in document recovery.  | <b>2012/11/05</b>             |

**Construction Project Files****2012/11/06**

Files created to document new construction or remodeling of CBC owned, rented, or leased buildings. Files may contain: Capital Project Summary Form, correspondence, site surveys, reports, construction contracts, etc. This classification is specifically for use by Facilities and Construction.

**Retention:**

Retain in office for one year following completion of project, then transfer to Archives for permanent retention.

Contracts should be maintained for 10 years after completion of the project. Ill. Rev. Stat. ch. 110, para. 13.206 (Contracts).

Note to parishes – When project is handled by the Office of Facilities and Construction, OFC maintains the record of copy. In such cases, the parish needs only to retain the record until the project is completed. If the project is not handled by the Office of Facilities and Construction, the parish maintains the copy of record and should follow the above retention.

**Correspondence Files****2012/11/07**

Correspondence (memos, letters, etc.) between agency and other agencies and the public. Folders arranged alphabetically with chronological breaks.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Equipment Files****2012/11/08**

Files created to document the purchase and continuing maintenance of equipment purchased by the agency, parish or school. May include: copies of purchase orders and requisitions, proposals, operating manuals, service contracts, etc. Any invoices should be maintained under the record classification, *Paid Invoices*.

**Retention:**

Retain for life of equipment.

**Grant Record Files****2012/11/09**

Files used to track the progress of funded groups during the funding year (7/1-6/31). National & Local grant records include application, correspondence, contracts, etc. Also rejected proposals, pre applications, and seed grants.

**Retention:**

Retain approved grants for 10 years after completion of terms of the grant. Ill. Rev. Stat. ch. 110, para. 13.206 (Contracts).

Rejected proposals and pre-applications can be destroyed when record ceases to have administrative value.



**Insurance Records****2012/11/10**

May include policies, payments, statements, and/or correspondence.

**Retention:**

Insurance policies must be retained permanently. Records of payment should follow the generic retention schedule for business records in the Archdiocese of Chicago. Retain for three years then dispose. 805 ILCS 410/1-6. Uniform Preservation of Private Business Records Act).

**Manuals****2012/11/11**

Books that give detail instructions of how to perform a task, operate office equipment, etc.

**Retention:**

Keep until superseded or if necessary to emulate previous system.

**Minutes****2012/11/12**

A record (either synopsis or verbatim) of a meeting.

**Retention:**

Retain permanently. Submit to Archives for Archival Review.

**Newsletters****2012/11/13**

Publication of the agency, parish or school, distributed to interested parties inside and outside the entity. Contains articles, news, information of interest to the readership.

**Retention:**

Retain two copies of publication permanently.

**Policy and Procedure Files****2012/11/14**

Records that document the development and revision of policies and procedures that give guidelines and direction to archdiocesan employees. These policies and procedures can be Archdiocesan-wide or office specific. May include: policy drafts, revisions, approval documentation, etc.

**Retention:**

Retain multiple copies until superseded by new manual. Administrative value ceases. Transfer original manuals to Archives for archival review.

**Printed Material: Gifts, Tributes, Awards****2012/11/15**

Material given to the AOC or an official as a gift, tribute, or award. Can consist of any of the following: proclamation, certificate, scrapbook, spiritual bouquet, etc.

**Retention:**

Submit to Archives for archival review.

**Program Booklet****2012/11/16**

Booklet that describes event and list of people involved. Could be plays, school graduation, parish event, etc.

**Retention:**

Disposition by administrative decision. Retain until administrative use is complete, then archives staff conduct archival review.

Records documenting school graduation should be maintained permanently.

**Program Files****2012/11/17**

File folders arranged by program; includes correspondence, reports, audit reports, budget material.

**Retention:**

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Submit for Archival Review.

**Project Files****2012/11/07**

Files relating to the administration of a limited or one-time action of the agency, parish, or school. File may include: correspondence, reports, data, etc., gathered to documents aspects of the project.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Real Estate Files****2012/11/18**

Deeds, titles, surveys, correspondence, etc. relating to the ownership, purchase, or sale of real property.

Note to parishes – The copy of record is maintained by the Office of Real Estate. Any records not duplicated at the Pastoral Center should be sent to the Office of Real Estate for review and inclusion.

**Retention:**

Retain permanently. Transfer to Archives upon disposal of property.

**Report****2012/11/07**

A specific report created by an Archdiocesan Department, Agency, Office or Individual that summarizes or documents the status of a project, event or research. Submit to Archives for archival review.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Records Act). Archival review for possible historical material.

**Subject Files****2012/11/19**

Drop files used for administrative purposes, usually alphabetically arranged by subject. May contain brochures, newspaper clippings, packets of information, etc.

**Retention:**

Retain for two years then transfer to Archives for archival review. Destroy in 2 years.

**Time Sheets****2012/11/20**

Record of an employee's attendance at work. May be in the form of punch cards, handwritten sheets, etc. May include name, pay period, department number or employee number, hours worked or days attended.

**Retention:**

Retain for four years. 26 CRF 31.6001-1

**Video Recordings****2012/11/21**

Magnetic and digital video media produced by or about an Archdiocesan agency, institution, parish or school. Media should be maintained in a sealed case with the name of the event, place, and date. Original master format of the media should be sent to the Archives as soon as possible to ensure preservation.

**Retention:**

Submit to Archives for archival review.

**Financial Records****Schedule Number****Accounts Receivable Files****2012/11/07**

Documentation of monies received by agency in course of business. Administrative and fiscal usefulness.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Auditor's Reports****2012/11/22**

Annual or periodic audit of finances of institution. Shows gross receivables and payables, financial statements, notes.

**Retention:**

Retain permanently.

**Bank Books****2012/11/07**

Record of individual or institutions transaction at a financial institution.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Bank Deposit Slips****2012/11/07**

Receipts from a financial institution that document a deposit.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Bank Statements****2012/11/07**

Monthly statements of account activity.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Bingo Records****2012/11/23**

Records regarding the establishment and running of Bingo games at parishes. May include: cancelled checks and supporting documentation, licenses, and any other record documenting Bingo proceedings.

**Retention:**

Destroy in 3 years. 230 ILCS 25/4. Retain current year plus three.

**Cancelled Checks and/or Supporting Documentation****2012/11/07**

Cancelled checks, voided checks, deposit slips, credit and debit memos, daily check clearance report.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Cash Receipts****2012/11/07**

Receipt for payment of services rendered.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Check Copies****2012/11/24**

A carbonless or carbon copy of a check used in payment of an account. The check copy provides verification of the payee and payment amount of the original check. May be filed alphabetically by payee, numerically, or filed with the invoice.

**Retention:**

Retain for one year or until administrative value ceases, whichever is longer. Copies filed with paid invoices need not be destroyed until invoices are destroyed. Destroy in 1 year.

**Check Register****2012/11/07**

Computer print-out listing checks issued. Record shows check number, payee, date, debit general ledger number, amount detail, amount of check.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Check Requests****2012/11/07**

Record of vouchers requested for checks in payment for goods or services. Also may include copies of invoices and receipts.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Deposit Advice****2012/11/25**

Form and supporting documentation of agency revenue. Form and monies to be deposited are sent to Accounting. Copy is retained by agency.

**Retention:**

Retain agency copy for current year plus one previous year.

**General Ledger****2012/11/07**

Reports compiled to create general ledger. May be organized by account. Includes information on all accounts and transactions.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**General Ledger (Year-End)****2012/11/26**

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.

**Retention:**

Retain in some form permanently.

**Investment Reports****2012/11/07**

Investment statements containing information on sale of bonds, securities, etc. May be in various forms (i.e. computer printout, bound ledger, etc.). May include in house reports or external reports.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago. Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**IRS Form W-2****2012/11/27**

Employer's copy of form which shows gross earnings, taxes withheld non-taxable income, etc.

**Retention:**

Retain for four years. 26 CFR 31.6001-1

**Paid Invoices****2012/11/07**

Files documenting payments to vendors for goods or services. File may include copies or original invoices, check copies or vouchers, receiving information, purchase order copies, etc.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago. Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Payroll Documentation****2012/11/28**

Records used to compile payroll information: time sheets, payroll worksheets, payroll deduction, etc.

**Retention:**

Retain for four years, then dispose. 26 CFR 31.6001-1.

**Real Estate Tax Payments****2012/11/07**

Tax bills and payment documentation for properties owned by CBC. Record copy is maintained by the Office of Real Estate.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act).

Record copy is maintained by the Office of Real Estate, parish copies may be destroyed once administrative value ceases.

**Reconciliation Statements****2012/11/07**

Statements are reconciled and balanced against outstanding debits and credits.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for current year, plus one. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act).

**State and Federal Tax Reports****2012/11/29**

Reports of quarterly income tax paid by employer, form 941 and related documentation.

**Retention:**

Retain for four years. 26 CFR 31.60-01-1.

**Tax Exemption Recertification****2012/11/30**

Documentation relating to the verification of tax-exempt status of properties owned by the CBC.

**Retention:**

Retain Permanently.

**History Records****Schedule Number****Architect's Renderings****2012/11/31**

Drawings by the architect to show future look of interior or exterior of structure. Often hand-colored.

**Retention:**

Retain permanently. Transfer to Archives for archival review.

**Architectural Drawings****2012/11/32**

Drawings prepared for the design and construction of specific structures.

**Retention:**

Drawing must be preserved in some form permanently for administrative and historical purposes.

**Audio Recordings****2012/11/33**

Audio recordings produced by AOC agency, parish, or school for internal or external use. May also be sourced from commercial producers, but are made by or for the AOC specifically. Submit to Archives for archival review.

**Retention:**

Retain in agency until administrative usefulness is complete, then transfer to Archives for archival review. Scripts or transcripts should be transferred with audio recordings.

**Commemorative Book****2012/11/34**

Books prepared to commemorate specific events, anniversaries, jubilees, etc. Commemorative books can celebrate parishes, individuals, and agencies. Books usually contain a history of the parish or biography of the person, photographs, lists of parishioners, and advertisements.

**Retention:**

Records assigned this retention schedule have been reviewed by the Archives and Record Center and deemed to have enduring value. Records should be kept permanently. May be converted to another format by the Archives for long-term storage.

**Homilies and Sermons****2012/11/34**

Copies (edited or unedited) of homilies & sermons regardless of format (written or audio).

**Retention:**

Records assigned this retention schedule have been reviewed by the Archives and Records Center and deemed to have enduring value. Records should be kept permanently. May be converted to another format by the Archives for long-term storage.

**Motion Picture Film****2012/11/35**

Motion picture film is seldom created or used any longer. Film should be submitted to the Archives for archival review. Refer to the following record classification *Administrative Records: Video Recordings* for maintaining all other video media.

**Retention:**

Retain in agency, parish, or school until administrative usefulness is complete, then transfer to Archives for archival review. Scripts or transcripts should be transferred with the motion picture film(s).



**Parochial Seals****2012/11/36**

Each parish is to have its own parochial seal to be used to authenticate documents that attest to the canonical status of the Christian faithful and has juridic importance when signed by the pastor or his delegate and appropriately sealed. Can be made of metal plates for embossing or a rubber stamp used in conjunction with color ink.

**Retention:**

When an official stamp or seal is rendered obsolete or damaged, thoroughly destroy seal.

cc 535 § 3

**Photographs****2012/11/37**

Photographs may exist in either physical or digital media. Media may include prints, film (16mm, 35mm slides or negatives, etc.), digital images on discs, hard drives, thumb drives, etc. Photographs are images that document a time and place. Photographs should be reviewed to include only images that document an important event in the life of the parish, agency, or school. All retained photographs should contain a brief description and date.

**Retention:**

General retention period is permanent but final review is left for archival appraisal.

**Pulpit Announcement Books****2012/11/38**

Predecessor to parish bulletin. Announcements read to parishioners about upcoming events, times for liturgical events, sick and deceased parishioners, banns, etc. These records are not typically being kept any longer. Records that do exist should be maintained accordingly.

**Retention:**

Retain Permanently.

**Time Capsule****2012/11/34**

A container, that has been hermetically sealed, used as a repository for items (i.e. newspapers, ephemera, coins, mementos, dated documents, etc.) placed in a building or specific geographic location, to be opened after a predetermined period of time with the intention of tying the past to the present.

**Retention;**

Records assigned this retention schedule have been reviewed by the Archives and Records Center and deemed to have enduring value. Records should be kept permanently. May be converted to another format by the Archives for long-term storage.

**Parish Records****Schedule Number****Baptism Register****2012/11/39**

Records documenting reception of sacraments by individuals. Exact contents vary, but all contain name of recipient, date of sacrament, name of minister of sacrament.

**Retention:**

Retain permanently.  
1983 Code c. 535

**Bulletins****2012/11/40**

Weekly publication covering events in the parish, parish organization news, times of liturgical events, names of parish staff, articles of interest to parishioners, etc. Contains historical information.

**Retention:**

Retain permanently.

**Burial Permit Books****2012/11/41**

Stubs paper bound in book which shows: name, address, date of death, next of kin, sacraments administered by cemetery, issuer, remarks. Also called Liber Defunctorum, though should not be confused with mandated Death Registers. Duplicates much of cemetery record.

**Retention:**

Retain for one year after the permits are expended, then dispose of. Legal Records – Archdiocese of Chicago Policies and Procedures, Book IV, Part I, Section 902.5 – Sacramental Records, Death Registers

**Combination Sacramental Register****2012/11/39**

A sacramental register containing more than one sacrament performed at a parish. Maintain each sacrament as required by Cannon Law and Archdiocesan Policy.

**Retention:**

Retain permanently.  
1983 Code c. 535

**Confirmation Register****2012/11/39**

Register containing all confirmations performed at the parish. See Archdiocesan Policy and Cannon Law for further requirements.

**Retention:**

Retain permanently.  
1983 Code c. 535

**Convert Register****2012/11/39**

Register of names of people who have converted to Catholicism. Typically, this record is the Book of the Elect. The actual sacraments received are in their respective books, i.e. baptism, confirmation, etc.

**Retention:**

Retain permanently.

1983 Code c. 535

**Death Register****2012/11/39**

Register containing all deaths at the parish. See Archdiocesan Policy and Canon Law for further requirements.

**Retention:**

Retain permanently.

1983 Code c. 535

**First Communion Register****2012/11/39**

Register containing all First Communions performed at the parish. See Archdiocesan Policy and Canon Law for further requirements.

**Retention:**

Retain permanently.

1983 Code c. 535

**Marriage Case Files****2012/11/42**

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.

**Retention:**

Retain permanently.

1983 Code c. 535

**Marriage Register****2012/11/39**

Register containing all Marriages performed at the parish. See Archdiocesan Policy and Canon Law for further requirements.

**Retention:**

Retain permanently.

1983 Code c. 535

**Mass Record****2012/11/43**

Record of intentions and stipends for each mass said during calendar year. Preprinted calendar from standard source.

**Retention:**

Retain for two years, then dispose.

**Parish Annual Reports****2012/11/44**

Record shows financial status (financial results, cash balance, receipts and disbursements, financial statements), sacraments performed, parish census figures, parish property, etc. Some years also include next FY budget. This record is particular to the parish and does not include annual reports that were submitted to the pastoral center.

**Retention:**

Record contains valuable historical material and should be retained in some form permanently.

**Parish Census Records****2012/11/45**

Vital data on parishioners. Records may show name, address, family members, sacramental data, religion, age of birth, employment etc. Formerly kept on index cards created for a one-time inventory of a parish's membership. May now be created as part of a parish membership database in the form of a report for a specific snapshot in time. Computer generated reports should exclude financial data and social security numbers.

**Retention:**

Records should be retained until administrative value has ceased.

**Parish Liturgy File****2012/11/46**

File created to document significant liturgical events. May include, music, programs, worship aids, lists of participants, etc. Arranged chronologically by event.

**Retention:**

Records should be retained until administrative value has ceased.

**Parishioner Contribution Records****2012/11/07**

Records of contributions made by each envelope-holding parishioner. Shows amount, date, year's total. May be arranged numerically by envelope number or alphabetically by name.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago.

Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Sacramental Records****2012/11/39**

Records documenting reception of sacraments by individuals. Exact contents vary, but all contain name of recipient, date of sacrament, name of minister of sacrament. This classification is applied to containers that hold specific classifications of sacramental registers (Baptism, Marriage, First Communion, Confirmation & Death). These records must be maintained in paper format as bound volumes. These bound volumes are supplied by vendors who make registers specifically for sacraments. Electronic databases or spreadsheets are not considered an acceptable replacement for bound volumes.

**Retention:**

Retain permanently.

1983 Code c. 535

**Sacramental Records Index****2012/11/39**

Separate index to records in sacramental registers. Usually contains enough information to locate entry. May be bound in registers, found on index cards, or maintained in an electronic database or spreadsheet.

**Retention:**

Retain permanently.

1983 Code c. 535

**Sacramental Records Notations****2012/11/47**

Requests received for annotation to baptism records indicating the reception of additional sacraments (e.g. confirmation, marriage, holy orders). This includes records sent to a parish or received from a parish for notations. This classification does not include the legal or canonical notations listed in the Sacramental Records Supporting Documentation File classification.

**Retention:**

Retain copy of request until acknowledgement of entry is received. Upon receipt of acknowledgement, both copies may be destroyed. If acknowledgement is not received, reminders should be sent at 30 day intervals.

**Sacramental Records Requests****2012/11/07**

Copies of requests and responses to requests for sacramental records.

**Retention:**

Generic retention schedule for business records in the Archdiocese of Chicago. Retain for three years then dispose. 805 ILCS 410/1-6. (Uniform Preservation of Private Business Records Act). Archival review for possible historical material.

**Sacramental Records Supporting Documentation File****2012/11/39**

Legal documents that serve as evidence and should be preserved (e.g. adoption documents proving paternity, affidavits attesting to previously omitted baptisms, notarized court or governmental documents concerning name and/or date changes). Documents should be kept in a separate file corresponding to each sacramental register. Documents should be annotated with the register and page number.

**Retention:**

Retain permanently.

1983 Code c. 535

Legal Records – Archdiocese of Chicago Policies and Procedures, Book IV, Part I, Section 902.2.6 – Sacramental Records, Baptismal Registers, Supporting Documents.

**Sick Call Register****2012/11/48**

Register of visits by pastoral staff to local hospitals and nursing homes. Shows: date, name of person, location, reason for visit. May show illness and whether or not deceased.

**Retention:**

Retain for 75 years, then submit to Archives for archival review.

**Personnel Records****Schedule Number****Deacon Personnel File****2012/11/49**

Files maintained for the placement of deacons. Files may contain: personal data form; letters of appointment, application, and recommendations; parish condition reports.

**Retention:**

Retain permanently.

**Employment Applications****2012/11/50**

Record of application for employment. May contain: application, resume, applicant appraisal, skills test, reference checks, reject letter, etc.

**Retention:**

Retain for two years, then dispose of. 29 CFR 1627.3

**Employment Eligibility Verification (I-9)****2012/11/51**

Record mandated by Immigration Reform & Control Act of 1986. Form is used to verify eligibility of persons for employment.

**Retention:**

Retain for three years after the date of hiring; or, one year after the date of termination of employment, whichever is longer. 8 CFR 274a.2

**Job Descriptions****2012/11/52**

Descriptions of tasks performed by employees. May be created by employee, agency head, or Employee Services, however, must be approved by the appropriate authority, e.g. pastor, personnel services, principal.

**Retention:**

Retain permanently.

**Pastoral Associate Personnel File****2012/11/53**

Personal history, vita, compensation and performance evaluation. Record is used primarily for statistical analysis and program oversight.

**Retention:**

Retain six years after termination of employee, then dispose of. 29 CFR 1627.3 & liability under Civil Rights Act, Title VII.

Destroy in 6 years.

**Payroll Administrative Reports****2012/11/54**

Various Payroll reports: may include: check register, savings bond disbursement, personnel master report, accrued vacation rpt., performance review reports, etc.

**Retention:**

Retain for four years. 26 CFR 31.6001-1

**Personnel Files****2012/11/53**

Alphabetically arranged by last name: may include employment applications, referral letters, vita information, letters of appointment, emergency cards, W-4 forms, evaluations, correspondence, etc.

**Retention:**

Retain six years after termination or resignation of employee, then dispose of. Ensure that employment history and salary history are maintained for eligible pension employees. 29 CFR 1627.3 & liability under Civil Rights Act, Title VII.

Destroy in 6 years.

**Staff Evaluations****2012/11/55**

Evaluations of staff interactions with clients. Arranged by home and chronologically by year. May have more than one staff member in each report.

**Retention:**

Maintain in Personnel File

**Volunteer Application****2012/11/56**

File created for each person interested in volunteer work. May include: Volunteer Information Form, Volunteer check Form (references), TB test results, criminal background checks, etc.

**Retention:**

Retain for two years, then dispose of. 29 CFR 1627.3 A permanent record of all volunteers having client contact must be maintained.



# ARCHDIOCESE OF CHICAGO

Joseph Cardinal Bernardin  
Archives & Records Center  
711 West Monroe  
Chicago, Illinois 60661  
(312) 534-4422  
Fax (312) 831-0610



School Records Ext. 4410  
Sacramental Records Ext. 4410  
Archival Services Ext. 4411  
Secretary Ext. 4450  
Researchers Ext. 4440

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Application #

## APPLICATION FOR AUTHORITY TO DISPOSE OF RECORDS

**AGENCY**

**ADDRESS**

**CITY, STATE, ZIP**

**CONTACT**

**TELEPHONE**

**E-MAIL**

| RETENTION<br>SCHEDULE NUMBER | CLASSIFICATION<br>TITLE | INCLUSIVE DATES | VOLUME |
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**I hereby certify that the above listed records are no longer needed for administrative, fiscal, or legal purposes and are eligible for destruction.**

**AGENCY HEAD** \_\_\_\_\_ **DATE** \_\_\_\_\_

### INSTRUCTIONS FOR USE

1. This form is to be used for records disposals involving records that **are not stored** at the **Archives and Records Center**.
2. Records listed on the **Application for Authority to Dispose of Records must be listed** on an **approved Records Retention Schedule** for your agency, institution, or parish. Records which **are not on an approved Records Retention Schedule may not be submitted** for approval of destruction. Please contact the Archives and Records Center for further information.
3. Prepare this form in **duplicate**.
4. Fill out all lines for agency name, address, contact, and telephone. Do not fill in the space marked “**Application Number.**”
5. **List Retention Schedule Number** (from approved Retention Schedule) for all records to be approved for Disposal.
6. **List Classification Title** (from approved Retention Schedule) for all records to be approved for disposal.
7. **List inclusive dates** for the specific record series to be disposed of (month and year are sufficient).
8. **List volume** for the specific record series to be disposed of. (Volume conversion charts are available from the Archives and Records Center.
9. Agency head should sign and date both copies of the form where indicated.
10. **Mail both copies** of the Application for Authority to Dispose of Records to: Archdiocese of Chicago’s Joseph Cardinal Bernardin Archives and Records Center, 711 W. Monroe, Chicago, IL 60630.
11. Records **may not be disposed** of until approval has been received from the Archives and Records Center (the Archives and Records Center will act upon all Applications with **60 days** of their receipt).
12. Records **should be disposed** of immediately after the date indicated by the Archives and Records Center.
13. Records **should be** burned or shredded, if possible. Otherwise, agency head or designate should witness pick up and removal by scavenger service or authorized record destruction service. Under no circumstances should intact records be placed in an unsecure garbage can or dumpster.
14. A **Records Disposal Certificate** (attached to approved Application) must be filled out at the time of disposal of the records listed on the reverse of this form.
15. The approved copy of this form should be maintained in your agency’s files permanently.

#### *Archives and Records Center Use Only:*

*Date Received* \_\_\_\_\_

*All Records Series on Retention Schedule?*

*Yes*

*No*

*Added to Retention Schedule (If Necessary)?*

*Yes*

*No*

*I hereby certify that the records listed on the reverse are not subject to archival review and meet the criteria for destruction.*

\_\_\_\_\_  
*Vice Chancellor for Archives and Records*

*Records May Be Destroyed on* \_\_\_\_\_

## ARCHDIOCESE OF CHICAGO

Joseph Cardinal Bernardin  
Archives & Records Center  
711 West Monroe  
Chicago, Illinois 60661  
(312) 831-0711  
Fax: (312) 831-0610



School Records Ext. 4410  
Sacramental Records Ext. 4410  
Archival Services Ext. 4411  
Administrative Assistant Ext. 4450  
Researchers Ext. 4440

### RECORDS DISPOSAL CERTIFICATION

Please complete form. Once the form is signed, return the original to the Archives and Records Center. If a vendor destroyed records for your organization, please attach the vendor certified Records Disposal Certificate. Contact the Chief Records Analyst with any questions.

APPLICATION NUMBER: \_\_\_\_\_

AGENCY: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY, STATE, ZIP: \_\_\_\_\_

CONTACT: \_\_\_\_\_ PHONE: \_\_\_\_\_

I hereby certify that the records listed on the above named Application for Authority to Dispose of Records were destroyed on \_\_\_\_\_.

\_\_\_\_\_  
Agency Head or Designate

\_\_\_\_\_  
Date

ARC 11.1 (7/89)