



**Archdiocese
Of Indianapolis**

*The Church in
Central and Southern
Indiana*

RECORDS MANAGEMENT POLICY

ARCHDIOCESE OF INDIANAPOLIS

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Records Management Policy

Archdiocese of Indianapolis

INTRODUCTION

Records Management is an attempt at organizing the paper that crosses one's desk during the normal events of a day. This policy will help in organizing these papers and determining which ones should be kept and for what length of time.

AUTHORITY

Code of Canon Law, 1983; Canon 486

1. All diocesan and parochial documents must be protected with the greatest of care.
2. In every curia, there is to be established in a safe place a diocesan archive or store-room 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.
3. There is to be an inventory or catalog of the documents contained in the archive, with a brief synopsis of the contents of each one.
(See also Canons 487, 488, 489, 490 & 491)

DEFINITION OF RECORDS MANAGEMENT

There are probably many ways to define *records management* but basically it is an effort to organize papers to best serve the needs of your office and the Catholic Center. Records management involves arranging the papers in your office into files that you can access readily and with a minimum of effort. Records management involves reviewing these files or records periodically to be sure that the proper records are being kept for the efficiency of your office and for the Catholic Center. Records will need to be reviewed for administrative, legal, fiscal, and historical ramifications on a yearly basis and a timeframe determined as to the length that the document will be kept. In our records management program, we hope to give you guidelines that will help you follow through on maintaining good records for your office and the Catholic Center.

FILING GUIDELINES

Many filing options are available, depending on the type of documents to be kept. The best filing system is the one that you can access easily and find documents easily. Some offices prefer the alphabetical system, others file by subject, and still others use a numerical system. Whatever system you determine to be the best for your office, remember to be consistent in your filing. If you need information or ideas, please contact the records assistant for assistance. Many guides are available to help you determine the best method for your office.

How to store records is a major concern. One item to remember is to try to keep documents created at the 8 1/2" by 11" size. Legal-size documents take up much more space and are difficult to store. This is a major concern, especially when the documents must be kept permanently.

STORAGE

When records and files no longer need to be kept in a current file in your agency or office, they can be placed into storage. At the time they are placed into storage, the records will need to be clearly identified and marked with a destruction date and/or a date for archival review. It is best to keep all records in the 8 1/2" by 11" size because files are more easily stored and take up less space. When placing these records in storage or in the archives, it is best to use the smaller storage boxes. Purchasing has record of the boxes recommended (SPARCO, SPR01651). Please contact the records assistant for assistance (ext. 1538) when preparing items for storage. Identification of the records stored should be placed on the outside of the storage box, along with a review date.

When the destruction and/or archival date become current, your office will be contacted to confirm your instructions. At the same time, the office will be asked to sign a verification form attesting to the destruction of the records.

If the records are to be moved to the archives, the records assistant will review the records and place them in the archives for permanent storage. You will also be consulted at this time.

ELECTRONIC RECORDS

Many records now can be stored electronically versus a paper format. The retention guidelines should be followed for whatever format is used for storage of the data.

ARCHIVE REVIEW

Archive review will involve reviewing records for possible permanent storage in the archives. The records assistant will assist in this review with office staff.

CONFIDENTIAL RECORDS

Not all records should be placed in permanent storage due to the confidential nature of those files. Other arrangements will be made to ensure restricted access of confidential records. Please contact the records assistant if this requirement is necessary.

REFERENCE FOR PARISH RECORDS

A good guide for retention of parish records can be found with the United States Conference of Catholic Bishops. Please check the following website for information on retention for parish records:

<http://www.usccb.org/bishops/dfi/retention.htm> A brief addendum for parish records is added to the end of this retention schedule.

Please feel free to contact the records assistant for further information and direction.

RECORDS RETENTION SCHEDULE

Each year, every file should be reviewed to determine if it is still an active file and needs to be kept in your office; or if the file can be moved either to storage or to the archives. Some records will need to be kept permanently while others should be stored for a specific number of years but do not need to be kept in an active file. The following guidelines are meant to help you determine the length that some records should be kept. At the end of the retention period, the file should be reviewed for disposition. This could include but is not limited to, destruction, permanent retention, and further retention. This schedule is offered as a guide to each office and can be used for most administrative records. Those offices working with specific Church records will need to determine their schedules based upon those guidelines. Please contact the records assistant for assistance in completing these schedules.

| GENERAL OFFICE RECORDS | Retention Period |
|--|---|
| Administrative Files | Active File: 1 Year; Inactive 2 Years |
| Agency Budget (Office Working Copy) | 3 Years |
| Annual Year-End Reports | Permanent |
| Appointment Calendar Books | 2 years; Archbishop's and other Secretariat Heads and Vicars: Permanent |
| Blueprints | Permanent |
| Board Minutes | Permanent |
| Construction Specifications | Permanent |
| Contracts | 6 Years after completion of terms |
| Correspondence Files | 5 Years |
| Grant Records | Follow grant requirements; Otherwise, five years after final expenditure report |
| Newsletters | Permanent |
| Operations Manuals | Permanent |
| Paid Invoices (Office Copy; Original sent to Accounting) | 3 Years |
| Program and Project Files | 3 Years from end of project |
| Property Deeds | Permanent |
| Speeches, Articles | 2 Years |
| Subject Files | 1 Year |
| Telephone Message Book | 6 Months to 1 Year |
| Vendor Files (Catalogs, etc) | 6 Months to 1 Year |

| ACCOUNTING | |
|-----------------------------------|-------------------------|
| Accounts Payable Records | Retention Period |
| Accounts payable invoices/ledgers | Current Year + 4 Years |
| Bills/Invoices | Current Year + 4 Years |
| Cash Disbursements | Current Year + 4 Years |
| Donations | Current Year + 4 Years |
| Expense Reports | Current Year + 4 Years |
| Petty Cash Records | Current Year + 4 Years |

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|--|-------------------------------|
| Property Taxes | Current Year + 4 Years |
| Purchase Requisitions | Current Year + 4 Years |
| Travel Expenses/Employee Expenses | Current Year + 4 Years |
| Unemployment Insurance Payments | Current Year + 4 Years |
| Workers Comp Ins Payments | Current Year + 4 Years |
| | |
| Accounts Receivable | Retention Period |
| Accounts Receivable/Ledgers | Current Year + 4 Years |
| Cash books/journals/receipts/sales slips | Current Year + 4 Years |
| | |
| Capital Property | Retention Period |
| Acquisitions | Active + 4 Years |
| Depreciation Records | 3 Years after end of contract |
| Fixed Assets | Active + 5 Years |
| Real Estate Transactions | Permanent |
| | |
| General | Retention Period |
| Account Ledgers | Current Year + 4 Years |
| Balance Sheets | Current Year + 4 Years |
| Book of Accounts | Current Year + 4 Years |
| General Ledger, annual | Permanent |
| General Ledger, monthly | 1 Year |
| Journals/Journal Entries | Current Year + 4 Years |
| Ledgers/Registers | Current Year + 4 Years |
| Trial Balances | Current Year + 4 Years |
| | |
| Payroll | Retention Period |
| Payroll Checks/Cancelled | Current Year + 4 Years |
| Payroll History | Current Year + 4 Years |
| Payroll Journal | Current Year + 4 Years |
| Payroll Records | Current Year + 4 Years |
| Payroll Registers | Current Year + 4 Years |
| Terminated Employee Files | Permanent |
| Time Cards/Time Sheets | Current Year + 4 Years |
| Tuition Records | Current Year + 4 Years |
| W2's | Permanent |
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|---------------------|-------------------------|
| FINANCE | |
| Banking | Retention Period |
| Bank Deposits | Current Year + 4 Years |
| Bank Reconciliation | Current Year + 4 Years |
| Bank Statements | Current Year + 4 Years |
| Canceled Checks | Current Year + 4 Years |
| Check Registers | Current Year + 4 Years |
| Deposit Slips | Current Year + 4 Years |

| General | Retention Period |
|---|------------------------------|
| Audit Reports | Permanent |
| Charity Gaming Financial Records | 4 Years |
| Budget Work Papers | 2 Years |
| Finalized Budgets | Current year plus 5 years |
| Financial Reports/Statements, Annual | Permanent |
| Financial Reports/Statements, Monthly | 3 Years |
| Parish Annual Reports | Permanent |
| School Annual Reports | Permanent |
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| Stewardship And Development | Retention Period |
| Capital Campaign Pledge Cards | 5 years from end of campaign |
| Capital Campaign Donation/Contribution Records | 7 years from end of campaign |
| Capital Campaign Year-End Contribution Reports | Permanent |
| Consultants Annual Performance Report | Permanent |
| Investment Statements | 6 years after last activity |
| United Catholic Appeal Pledge Cards | 5 years from end of campaign |
| United Catholic Appeal Contribution/Donation Records | 7 years from end of campaign |
| United Catholic Appeal Contribution/Donation Records Year End Reports | Permanent |
| Wills, Bequests, Charitable Trusts | Permanent |

| CORPORATE RECORDS—Chancery Office | Retention Period |
|--|--------------------------|
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| Articles of Incorporation | Permanent |
| Bylaws | Permanent |
| Capital stock and bonds record | Permanent |
| Contracts and agreements | 6 years after expiration |
| Copyrights and trademark registration | Permanent |
| Deacon Records | Permanent |
| Decrees of the Archbishop: Appointment letters, suppression of parishes, etc. | Permanent |
| Legal correspondence | 4 years |
| Management Council Minutes | Permanent |
| Marriage dispensations/permissions | Permanent |
| Priest records | Permanent |
| Reports | |
| Quinquennial Report | Permanent |
| Annual Report to Rome | Permanent |
| Ordo Report | Permanent |
| Official Catholic Directory | Permanent |
| Seminarian Records | Permanent |

| INSURANCE | Retention Period |
|---|------------------------------|
| Accident reports | 6 years after file is closed |
| Fire inspection reports | 6 years |
| Group disability records | 6 years |
| Insurance policies | Permanent |
| Safety records | 6 years |
| Settled insurance claims | 3 years after termination |
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| TAXES | Retention Period |
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| Payroll tax returns | 4 years |
| Pension/Retirement | 5 years |
| Informational returns | 5 years |
| Real estate exemptions | Permanent |
| Sales and use tax returns | 5 years |
| Tax returns and canceled checks (Federal, state and local) | 5 years |
| | |

| HUMAN RESOURCE (PERSONNEL) RECORDS | Retention Period |
|---|-------------------------|
| Benefits | |
| Employee Benefits | 6 Years |
| Pension Plans/Agreements | Permanent |
| Retirement Plans | Permanent |
| | |
| General | |
| Attendance Records | 3 Years |
| Employee Manuals | Active plus 10 years |
| Job Descriptions | Active plus 10 years |
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| Health and Safety | |
| Accident Reports | Current Year + 5 years |
| Elevator Certificates | Active |
| Emergency Action Plans | Active |
| Health and Safety Bulletins | Current Year + 5 Years |
| Injury Reports | Current Year + 5 Years |
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| Personnel Actions | |
| Applications | One year |
| Employee Evaluations | Three years |
| Job announcements | One year |
| Personnel Files | Permanent |
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| PURCHASING | Retention Period |
|---------------------|-------------------------|
| Bids, accepted | Active + 6 years |
| Bids, rejected | 1 year |
| Catalogs | Active |
| Price Lists | Active |
| Purchase Orders | Current Year + 4 Years |
| Receiving Documents | 1 year |
| Vendor Literature | Active |

| CATHOLIC CHARITIES | Retention Period |
|--------------------------------|-------------------------------|
| Client Files or Case Files | 7 years after end of services |
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| ST. MARY'S CHILD CENTER | Retention Period |
| Client Files or Case Files | Permanent |

METROPOLITAN TRIBUNAL

Any written documentation that pertains to a church marriage case must be retained indefinitely. The original documentation must be retained for 10 years after the case in question is closed either by the final decision of a church tribunal, by renunciation, which has been accepted by the Judge, or by abatement decreed by the Judge. Examples of documents pertinent to a church marriage case would be the following: petition; marriage, divorce and baptismal documents; testimonies of petitioner, respondent and witnesses; procedural decrees; briefs of advocate and defender of the bond; sentences and decrees which decide a case and any petitions for appeal.

Parish Records Addendum

| PARISH RECORDS* | Retention Period |
|---------------------------------------|-------------------------|
| Sacramental Records | |
| Baptism Register | Permanent |
| First Communion Register | Permanent |
| Confirmation Register | Permanent |
| Marriage Register and Case Files | Permanent |
| Death Register | Permanent |
| Burial Cards/Record | Permanent |
| | |
| Publications | |
| Anniversary/History Books | Permanent |
| Annual Reports (Diocesan and Parish) | Permanent |
| Parish Bulletins/Newsletters | Permanent |
| | |
| Administrative Records | |
| Annual Reports to Chancery | Permanent |
| Census Records/Roster of Parishioners | Permanent |
| Parish Council Minutes | Permanent |
| Finance Council Minutes | Permanent |
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| Financial Records | |
| Contribution Envelopes | 3 Years |
| | |
| Other | |
| Cemetery Lot Maps | Permanent |
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*Source: See www.usccb.org/bishops/dfi/retention.htm