



# **DIOCESE OF ST. PETERSBURG, INC.**

## **Diocesan Pastoral Center**

### **Records Retention Policy and Records Retention Schedules**

**September 2015**

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# DIOCESE OF ST. PETERSBURG

## Records Retention Policy

### I. Introduction

The Diocese of St. Petersburg, Inc. (hereafter “Diocese”) creates, maintains, and preserves records (“church records”) each day to assist in fulfilling the pastoral mission of the Church in Florida. Records are the principal means of recording pastoral activity of the Church. This Records Retention Policy (“Policy”) has been prepared for diocesan administration staff and church personnel to determine the manner and length of time for maintaining records. When indicated, records to be destroyed must be done so in a permanent manner. This policy describes many types of records, and it is important that those responsible for establishing, maintaining and preserving records appreciate the importance of all types of records and consistently follow the guidelines.

This records retention policy was created with reference to the 1983 Code of Canon Law, state and federal statutes, and best practices in record retention. The list of Church records is lengthy, but not definitive. If questions arise regarding records retention issues, please contact the Office of the Chancellor for additional information.

### II. Records Retention Overview

- A. Purpose. This Records Retention Policy defines which records must be retained for ecclesiastical, canonical, legal or historical purposes, and the retention period for each type of record. Adherence to the established retention schedule is a priority for the Diocese so that (1) vital records are protected and retained; (2) the Diocese reduces its costs associated with maintaining and storing records; (3) the data management and storage operations are enhanced and more efficient.
- B. Scope. All church records created, received, used, or maintained by the Diocese are the property of the Diocese of St. Petersburg, Inc. This Records Retention Policy applies to all church personnel of the Diocese.

C. Definitions.

1. "Record" is defined as correspondence, documents, or any other media generated, distributed, or maintained by church personnel in the performance of his or her job duties.
2. "Media" is defined as paper, electronic mail, or electronic storage device (e.g. flash memory device, floppy disk, hard disk, CD-ROM, microfilm, or any other similar data storage medium) used to develop, maintain, or transmit church records.
3. "Church personnel" is defined as clergy, religious, seminarians, employees, and volunteers.

D. Diocesan Archives. In the diocesan administration building, there is a permanent archive with three particular sections: general, historical, and confidential. This division of the diocesan archive is delineated in Canons 486-491 of the 1983 Code of Canon Law. Documents should not be removed from the archives except for brief periods of time. If a document is removed from these archives, a retrieval record form must be completed and maintained to indicate who has accessed any file.

Access to each section of the diocesan archives is governed by church law. Access to certain documents within some sections of the diocesan archives may be limited as necessary to preserve confidentiality, privacy, and/or the integrity of the records.

1. *General Archive* (Canons 486-488): The records pertaining to the general operations of the Diocese are maintained in the *general archive*. The diocesan bishop, vicar general, moderator of the curia, chancellor and chancery notaries (secretaries) are provided with access to the general archives. Access to other persons in the diocesan curia may be granted on a need-to-know basis with permission from the diocesan bishop or the chancellor.
2. *Historical Archive* (Canon 491): The *historical archive* contains records of historical significance to the Diocese and its parishes, Catholic schools, and institutions. The diocesan bishop, vicar general, moderator of the curia, chancellor, and chancery notaries (secretaries) are provided with access to the historical archive. Others may be granted permission from the bishop or the chancellor on a need to know basis or for research purposes.
3. *Confidential Canonical Archive* (*Archivum Secretum*, Canons 489-490): The *confidential* archive contains files with documents that are of canonical value or great sensitivity and which need to be kept in conditions of maximum care and security in accordance with the 1983 Code of Canon Law. Access to the *confidential canonical archive* is limited to those authorized under Canon 490.

### III. Diocesan Records

#### OWNERSHIP OF RECORDS

**Policy** All Records<sup>1</sup> created, received, used, maintained or preserved by an employee or volunteer of the Diocese during the course of employment or in the transaction of Diocesan business are solely the property of the Diocese. No records shall be removed, destroyed, transferred, stored, transferred into another media format, e.g. digital imaging, or otherwise disposed of except in compliance with Diocesan policies governing properly-established Retention Schedules and the procedures developed by the Office of Archives and Records.

#### RECORDS RETENTION SCHEDULES

**Policy** Records retention scheduling for the disposition of all Diocesan Records shall be approved by a Records Management Board<sup>2</sup> and administered by the Office of Archives and Records under the direction of the Chancellor.

#### *Procedures*

A records retention schedule is created by the Office of Archives and Records for the Diocese and includes a record's series title, description and retention period. This schedule mandates the minimum retention period of records of the Diocese and is approved by the Department Director and the Records Management Board. As the disposition of all records is to be in compliance with these schedules, all employees should consult the retention schedule for the Diocese. Any questions in this regard should be directed to the Diocesan Office of Archives and Records.

#### LITIGATION HOLD<sup>3</sup> ORDERS

**Policy** When any employee of the Diocese receives a subpoena for records, a notification of forthcoming litigation, or is alerted that certain information may be relevant to a legal issue and/or sought in the discovery process in litigation, destruction of all records or related records must cease until further notice.

#### *Procedures*

Upon receipt of a subpoena for records, complaint, a demand letter or a "preservation letter" expressly requesting that certain documents be preserved, the employee will immediately notify and provide a copy to his/her supervisor and the Chancellor, with a copy to Diocesan Legal Counsel. The Diocesan attorney has a vital role in communicating to and coordinating with the Diocesan Office of Archives and Records regarding when and how to suspend document retention policies, determining the scope of the potential

investigation or lawsuit and the source and location of possible relevant documents. A “litigation hold memo” addressed to the key employees and IT personnel outlining which information would be relevant to the litigation and preferred methods for preservation will be circulated by the Chancellor of the Diocese.

The Diocesan attorney’s written approval is needed to lift a hold order and allow destruction to continue.

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<sup>1</sup>“Records” as used herein shall include, but shall not be limited to, all recorded information, documents, letters, maps, books, photographs, films. Sound recordings, tapes (magnetic and otherwise), records generated in an electronic format, and any other documentary material regardless of media format or characteristics that have been created, received, used, maintained, or preserved by a Diocesan entity or its employees and volunteers in the course or transaction of its business or pursuant to its legal obligations.

Examples of materials that are not records within the meaning of these policies and procedures include library and museum material made or acquired and preserved solely for reference or exhibition purposes; extra copies of documents that have been preserved for convenience of reference; stocks of publications or blank forms; and similar material not normally included within the definition of record.

<sup>2</sup>The Records Management Board is the governing authority for approval of records retention schedules for the Diocese. The Committee consists of the Diocesan Finance Officer, Legal Counsel, the Archivist or their designees.

<sup>3</sup>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 been actually 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.

#### **IV. Electronic Records**

- A. *“Electronic Records:”* The term electronic record means any record that is created, received, maintained, or stored in diocesan workstations, central servers, or other electronic devices. Examples include but are not limited to: email, web files, text files, word processing documents, spreadsheets, databases, and other formatted files.
- B. *Retention Schedules:* Electronic records must be managed the same as traditional records and in accordance to the Records Retention Schedule and the policy regarding Litigation Hold.
- C. *Work-related Files:* Work-related electronic records are records of the Diocese and must be retained accordingly. Some records, such as personal or junk email, are not work-related emails and should be deleted from the system immediately.
- D. *Archiving Electronic Records:* Computer/email servers are not intended for long term record retention periods. As a result, all electronic documents required to be maintained should be printed and maintained on paper. Electronic mail in the diocesan offices will be archived for 3 months, after which the mail will be automatically and permanently deleted, subject to the Litigation Hold provision.
- E. *Transferring Digital Records to Archives:* Standards for the transfer of media ensure that physical deterioration will not prematurely render electronic records unrecoverable. 4.7” (12cm) CD-Recordable discs are the only acceptable transfer medium. The Archives cannot accept business card CD-R, mini CD-R, or non-standard shaped media, nor is CD-Rewritable (CD-RW) discs acceptable. Transferring records on archival quality CD-R media featuring a gold reflective surface and a phthalocyanine dye layer is ideal.

#### **V. Storage & Destruction of Records**

All Diocesan departments may retain records either in individual employee files, on-site departmental files and rooms, or at an off-site storage facility until the documents are destroyed pursuant to an approved records retention schedule. Arrangements for off-site storage are to be coordinated with the Office of Archives and Records.

Records which are no longer regularly used by a department or staff member who created them are considered semi or inactive (non-current) records and should be transferred to storage, whether at a Diocesan storage area or off-site with the direction of the Office of Archives and

Records. When inactive records of permanent value are transferred with the approval of the Department Head to Archives they become the responsibility of the Archives and are no longer owned or managed by the office of record or office of creation.

Records of permanent value are not to be destroyed. Except for microfilm and data recovery tapes, permanent archival records will not be approved for off-site storage.

Departments of the Diocese that have large volumes of non-current records that no longer can be retained on-site can store non-current records at an off-site records facility.

File management of records and the integrity of the records sent to storage remain with the individual departments or record creators. Records stored in boxes are simply an extension of the office file cabinets. The offices of records creation are responsible for purging non-relevant materials and preparing boxes for storage according to specific guidelines (see attached). Written approval to destroy records must be obtained from the Chancellor (see separate destruction policy attached, "Application for Authority to Dispose of Records").

Management of permanent, inactive records deemed archival in nature transfers to the Diocese at large and is administered by the Office of Archives and Records, under the direction of the Chancellor.

The Office of archives and Records directs the transfer of records to storage or to the Archives. Procedures for storing and retrieving records ensure that stored records are properly organized, labeled and identifiable for timely retrieval and destruction. Audits and surveys of records in departments and in individual offices will be conducted from time to time in order to refine and update the general retention schedule.

Any employee leaving his or her position is required to leave all company records for any successors and/or supervisors. Unauthorized destruction, donation, or other dispersal of records is not permitted.

Periodically, each department should review retention periods in the schedule to determine whether any assigned periods should be changed because of business needs, state or local legislation, or other special circumstances.



**Diocese of St. Petersburg**  
**Office of Archives and Records**  
Guidelines for Weeding Records  
February 24, 2012

When preparing records for transfer to an off-site storage facility or to the Archives, 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 future research purposes. Extensive weeding is necessary when record groups contain large numbers of information copies or duplicate copies of documents. Transfer only those materials that are original to your department or those which you as an employee or associate of the Diocese played an active role in creating. Call Archives and Records with any questions.

**The following records should NOT be transferred to storage or the Archives:**

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

**Routine Correspondence** (housekeeping type 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 (i.e. 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 collections of funds. Correspondence and memoranda sent outside the company 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 in the department.

**Faxes:** Thermal faxes are no longer an accepted means of communication.

**Personal Papers:** Materials relating solely to an individual's private affairs that are outside business or professional pursuits, 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 storage.

**Fragile Formats:** Photographs, slides, tapes, computer disks, original art work or other materials all require a climate controlled environment while in storage. Contact the Office of Archives and Records for special handling of these types of records.

**Miscellaneous:** Discard multiple copies of documents and publications, old reference materials and books, supply and vendor catalogs, office supplies, tickler files, all binders, outdated tax guides, records and publications of other departments and institutions, software manuals, blank forms, old stationary, obsolete equipment manuals and warranties, Christmas decorations, etc.

**Diocese of St. Petersburg**  
**Office of Archives and Records**  
Guidelines for Packing Records  
February 24, 2012

The following specifications should be followed in preparing boxes for transfer to storage of inactive or semi- active records and for permanent placement in the Archives:

- Only pack records that are original to your department. Discard or return records from other departments or organizations. RECORDS MUST HAVE LONG-TERM OPERATIONAL, ADMINISTRATIVE, FISCAL, LEGAL OR HISTORICAL VALUE to warrant placing in storage or in the Archives. Contact the Office of Archives and Records in advance to verify appropriate storage and value of materials.
- Review records for items that may be discarded based upon the Guidelines for Weeding. Remove clips, metal staples, clamps, post-a-notes, rubber bands, etc. Any duplicates, drafts, reference material, unofficial notes, routing slips, and other non-record material should be removed and destroyed.
- Except for microfilm and data recovery tapes, no permanent records, particularly archival materials, will be approved for off-site storage.
- Use only standard 10"x 12"x 15" sized boxes. Contact Archives if ordering boxes for permanent archival storage. Copy paper boxes, long banker boxes, and odd cardboard boxes are unacceptable. Materials found in such boxes will be returned to originating departments to be repacked.
- Transfer records from hanging folders (Pendaflex) and binders to manila folders and retain folder titles, which can be penciled on the tabs. Hanging folders and binders are not records and take up too much space. Materials found in hanging folders and binders will be returned to originating departments.
- 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 must be put in order before packing boxes.

- Do not overload cartons beyond original size. Partially filled boxes are also unacceptable. Keep such boxes in the department or agency until enough similar material has accumulated to fill the entire box.
- Pack only one group of records that has the same disposal date in individual boxes for shipment to storage. The date of destruction on the outside of the box must be appropriate for all records inside the box. Records with a retention period of two years or less are not eligible for transfer to storage.
- List the contents of each box on a folder-by-folder basis. Put inside the box on top of the records under the lid. **DO NOT TAPE LISTS TO BOXES OR LIDS.** Make copies of content lists for your files. Send lists to the Office of Archives and Records.
- Fill out the label on the outside of the box with agency/department name, title of record, and date or date span of the records. Use record titles in the retention schedule for guidance in labeling.
- **DO NOT TAPE LIDS TO BOXES.**
- Do not transfer vital, archival records or fragile materials to an off-site storage facility. Call the Archives.
- Do not send records or materials through Interoffice Mail or send one or two random files at a time to the Office of Archives and Records. If possible, retain such records or materials within the department or agency until one record box can be filled with similar types of materials related to the same record group.



# DIOCESE OF ST. PETERSBURG

## Records Retention Schedule (Appendix A)

### RETENTION SCHEDULE BY DEPARTMENT

The record retention/destruction time periods are defined in the following sections:

100	Office of the Bishop	500	Insurance
110	Catholic Foundation	600	Permanent Diaconate Office
120	Catholic Schools and Centers	700	Real Estate and Planning
130	Cemeteries	800	Facilities and Services
140	Communication	900	Diocesan Tribunal
200	Construction	1000	Office of Vicar for Religious
210	Evangelization & Lifelong Faith Formation	2000	Vocations Office
300	Finance & Accounting	3000	Office of Worship
400	Human Resources		
410	Information and Technology		

## 100 – OFFICE OF THE BISHOP

The following defines the types of records to be retained and the period of time they should be retained:

Correspondence	Permanent with Archival review
Appointment and Relief letters	Permanent - in personnel file and appointment/relief file
Delegations	Permanent - in personnel file and delegations file
Decrees - General	Permanent - in Decrees file
Decrees - General Executive	Permanent - in Decrees file
Decrees - Singular	Permanent - in Decrees file
Precepts	Retained Permanently in precepts file
Precepts - Penal	Retained Permanently in personnel file or penal precepts file
Erections, suppressions and notable alterations of Juridic Persons	Retained Permanently in Archives
Conferral of Holy Orders	Retained Permanently in Diocesan ordination register
Conferral of other sacraments	Retained Permanently in proper parish sacramental registers
Public Writings	Permanent
Pastoral Letters	Permanent
Internet journals / blogs	Permanent
Homilies for special events	Permanent
<b>Office of the Vicar General</b>	<b>Retention</b>
Correspondence	Permanent with Archival review
Delegations	Permanent - in delegations and personnel files
<b>Office of the Chancellor</b>	<b>Retention</b>
Correspondence	Permanent with Archival review
Priest files: Active, Temporary/Supply, Deceased	Permanent
Minutes from meetings	Permanent
Listing of members of committees	Permanent

## 100 – OFFICE OF THE BISHOP (cont.)

The following defines the types of records to be retained and the period of time they should be retained:

Elections/appointments	Permanent
Dismissals from Clerical State - rescripts granted	Original rescripts signed and returned to Roman Congregation; copies of rescripts kept permanently, along with file
<b>Annual Reports:</b>	
Official Catholic Directory	1 year or until superseded
Rome Report	Permanent
Reports from Vicars Forane	Permanent
Status Animarum	Permanent
Quinquennial Report	Permanent
Updates to Ordo	1 year or until superseded
Pension data	Permanent
Missionary Cooperative Reports by Parish	7 years
<b>Publications:</b>	
Priests' Compensation Booklet	Permanent
Diocesan Pastoral Norms	Until superseded
Practical Standards for Priestly Ministry	Until superseded
History of priests' events	Permanent
Calls and responses concerning Victims' Assistance Ministry	7 years
<b>Electronic Files:</b>	Same as analog retention (paper)
Priest Database	Until superseded
Safe Environment Training/Screening database for priests	Until superseded
Records of clearance of priests and deacons	5 years
Annual Special Collections	(1 year, then to archives) OR until a full box is ready for transfer

## 110 – CATHOLIC FOUNDATION

The following defines the types of records to be retained and the period of time they should be retained:

Record Type	Retention
Endorsement Agreements	5 years
Correspondence regarding endowed funds	5 years from when the funds have been expended
Planned gift documentation	5 years after gift is realized
Gift documentation (checks and other information)	5 years after purpose is fulfilled
Donor records (database)	Permanent
Foundation Board minutes	Permanent
Trust agreement	Permanent
Life insurance policies	1 year after proceeds received
By-laws and corporate documents	Permanent
Program history	5 years after program is concluded
Audit reports	Transferred to Finance Office, then kept 7 years
Financial reports	Transferred to Finance Office, then kept 7 years
Charitable Gift Annuities	7 years after death of annuitant



## 120 – CATHOLIC SCHOOLS AND CENTERS

The following defines the types of records to be retained and the period of time they should be retained:

<b>Record Type</b>	<b>Retention</b>
Acknowledgement of bloodborne pathogens	5 years after termination
Acknowledgement of faculty handbook	5 years after termination
Annual health certificate	5 years after termination
Clinic records	7 fiscal years
Continuing education verification	5 years after termination
Current contract	5 years after termination
Curriculum files	5 fiscal years
Emergency drills	File with Office of Catholic Schools at end of year
Field trip checklist	4 years from date of trip
Official transcript	5 years after termination
References	5 years after termination
School Board records	Permanent
Security reports	5 fiscal years after disposition
Teacher grade books	4 fiscal years
Teachings certificate/expiration date	5 years after termination
Written teacher/staff evaluations	4 years after termination
<b>Student Records</b>	<b>Retention</b>
Abuse/neglect records	4 years after investigation closed
Accident/emergency reports	4 years after date of report
Acknowledgement of student/parent handbook	5 years
Authorization and dispensation of medicine	4 years
Daily class attendance records	3 fiscal years
Discipline records for major offenses	4 school years

## 120 - CATHOLIC SCHOOLS AND CENTERS (cont.)

<b>Record Type</b>	<b>Retention</b>
Emergency notification records	Until obsolete or superseded
Expulsion records	5 fiscal years after final disposition
Field trip permission form / release of liability	4 years from date of trip
Medical information form	4 years from date of trip
Release of information	Retain as long as the cumulative records it pertains to
I-20 Files for non-U.S. citizen students	1year after student leaves school
<b>Student Education Records - Category A</b>	<b>Retention</b>
Access log	Permanent (per Fla. State schedule GS7)
Agreements: expunged, deleted or correct student records	Permanent
Attendance history	Permanent
Cumulative grades and classes	Permanent
Date of graduation	Permanent
Personally identifiable information	Permanent
Schools previously attended	Permanent
<b>Student Education Records - Category B</b>	<b>Retention</b>
Conference report on retention	4 years
Family background information	4 years
Health care cards	4 years
Honors and activities	4 years
Immunization records	4 years
Standardized test scores	4 years
<b>Personnel Records</b>	<b>Retention</b>
Employment applications	1 year, then destroy application, but retain transcripts
Continuing Education Verification	5 years after termination of employment
Verification of Bloodborne Pathogens training	4 years after termination of employment
Verification of Ethics Training for Professionals/Coaches	1 year

### 130 – CATHOLIC CEMETERIES

The following defines the types of records to be retained and the period of time they should be retained.

Cemetery records related to burials and columbaria are retained permanently according to the requirements of the State of Florida. Financial and business records are retained consistent with the requirements outlined in the policy.

Record Type	Retention
Contracts	Permanent
Burial Procedure List	10 years
Burial Information	Permanent
Marker Orders	Permanent
Property Cards and Alphabetical Listings	Permanent
Bronze Marker Cards	Discard after information is input in Pontem database
Weekly and Monthly Spreadsheets	Permanent
Accounts Receivable month-end reports	Current Year
Accounts Payable bills paid	5 years
Pontem - Electronic records database	Permanent
Financial software and records	Permanent
Credit card information and monthly sales report	5 years
Employee Records (past & present)	Permanent
Correspondence	Permanent

## 140 – OFFICE OF COMMUNICATIONS

The following defines the types of records to be retained and the period of time they should be retained:

Record Type	Retention
Official diocesan press releases/communication pieces	Permanent
Written concerns by diocesan parishioners	1 year
Communication pieces developed and distributed to all 5 counties	Permanent

## 200 – CONSTRUCTION OFFICE

The following defines the types of records to be retained and the period of time they should be retained:

Record Type	Retention
Project files for each project	Permanent
Bids/Proposals	1 years
Contractor files for each project	5 years after substantial completion
Engineering files for each project	5 years after substantial completion
Environmental tests and projects	Permanent
Hazardous materials incident report	Permanent
Inspections - annual (including life safety inspections)	4 years
AS Built Plans and specifications - built projects	Permanent (electronic or paper)
Plans and specifications - never built (latest edition)	15 years
Property owner files - active until property sold	Permanent
Project close-out documents	Permanent
Surveys	Permanent
Drawings, originals	Permanent - w/5 yr review of CDs, migrating data if need be.
Drawings, copies in Parishes (1 copy)	Permanent
Shop Drawings	Permanent

## 210 – EVANGELIZATION AND LIFELONG FAITH FORMATION

The following defines the types of records to be retained and the period of time they should be retained:

<b>Record Type</b>	
<b>Religious Education for Children and Youth</b>	<b>Retention</b>
ACRE Testing Program	5 years minimum
Safe Environment Annual Compliance for Audit Reports	1 year, until replaced by subsequent report
Annual Data Collection Reports	3 years
Cost Center Financial Records	3 years
Advisory Board Minutes/Documents	Permanent
<b>Catechist Certification</b>	<b>Retention</b>
Records of currently-enrolled participants	5 years; Summary transcripts are Permanent
<b>Lay Pastoral Ministry Institute (LPMI)</b>	<b>Retention</b>
Currently-enrolled participants	Until successful completion, withdrawal or removal from program
Commissioning certificates	Permanent
Faculty files	Permanent
Program certification files	Permanent
Cost Center financial records	3 years
Advisory Board minutes/documents	Permanent
<b>Youth and Young Adult Ministry</b>	<b>Retention</b>
Records for Youth Ministry/Young Adult Ministry certification	Until completion of cert., withdrawal or removal from program
Safe Environment Annual Compliance for audit records	1 year, until replaced by subsequent report
Cost center financial records	4 years
Advisory Board minutes and documents	Permanent



### 300 – FINANCE AND ACCOUNTING

The following defines the types of records to be retained and the period of time they should be retained:

Record Type	Retention
Accounts payable invoices - Vendors	3 years
Accounts payable invoices - Construction Projects	Permanent
Accounts Payable Invoices - HUD Projects	Permanent
Audit reports	Permanent
Bank Deposit Slips and Support Documentation - APA	3 years
Bank Deposit Slips and Support Documentation - Endowed	Permanent
Bank Deposit Slips and Support Doc. - Temporarily Restricted	Until Restriction is Completed (spent)
Bank Deposit Slips and Support Doc. - Unrestricted	3 years
Bank Letters of Credit	5 years after LOC terminates
Bank Loan Agreements	5 years after BLA terminates
Bank Resolutions	5 years after resolution terminates
Bank Statements/Reconciliations/Canceled checks	3 years
Bank Statements/Reconciliations/Canceled checks - HUD	5 years after HUD restriction expires
Bank Statements/Reconciliations/Canceled checks - Savings & Loan	3 years
Capital Asset Ledger and Invoices - Depreciation Schedules	5 years
Copyrights/Trademarks	Permanent
Financial Statements - Diocesan - Annual	Permanent
Financial Statements - Diocesan - Interim	5 years
Financial Statements - Parish - Annual	Permanent
Financial Statements - Parish - Interim	5 years
Financial Statements - School - Annual	Permanent
Financial Statements - School - Interim	5 years
Finance Council Records - Minutes & Corres.	Permanent for minutes - 3 years for correspondence
Computer Print-outs	2 years



### 300 – FINANCE AND ACCOUNTING (cont.)

Record Type	Retention
General Ledger	Permanent
Accounts Payable Ledgers	Retain through Annual Audit then destroy
Accounts Receivable Ledgers	Retain through Annual Audit then destroy
Cash Receipts Journal	Permanent
Cash Disbursement Journal	Permanent
Check Register	7 years
Journal Entries and Support Documentation	7 years
Insurance Contract and Leases	Retain 5 years after expiration of contract
Insurance Policies	Permanent
Insurance Policies - Canceled	Permanent
Investment Reports	7 years
Payroll Registers	7 years
Payroll Tax Reports	7 years
Pension Audit Records	Permanent
Pension Financial Statements - Annual	Permanent
Pension Financial Statements - Interim	5 years
Pension individual records retained by Gabriel, Roeder & Smith	Permanent
State Sales and Use Returns	7 years
Trust Agreements	Permanent
Estates and Trusts / Endowment Transactions	5 years beyond date of estate gift or life of trust or endowment
Stock gifts	5 years beyond date of gift

**300 – FINANCE/CAMPAIGN PROCESSING/PARISH & SCHOOL ACCOUNTING– cont’d.**

The following defines the types of records to be retained and the period of time they should be retained:

Campaign Processing	Retention
APA - Pledge Cards	5 years from start
Payment Cards	5 years from start
Commitment & small envelopes	5 years from start
Any Remittances	5 years from start
Credit Card Payments	5 years from start
Original Donor Checks (deposited by scan)	90 days
PARISH CAMPAIGNS - Pledge Cards	2 years after conclusion of campaign
Payment Cards	2 years after conclusion of campaign
Any Remittances	2 years after conclusion of campaign
Credit Card Payments	2 years after conclusion of campaign
Original Donor Checks (deposited by scan)	90 days
WBVM - SPIRIT FM - Pledge Cards	5 years from start
Pledge Cards	5 years from start
Payment Cards	5 years from start
Any Remittances	5 years from start
Credit card payments	5 years from start
Original Donor Checks (deposited by scan)	90 days

## 400 – HUMAN RESOURCES

The following defines the types of records to be retained and the period of time they should be retained:

<b>Record Type</b>	<b>Retention</b>
Accident/injury reports (maintained at Pastoral Center)	7 years
Applications/Resumes	3 years
<b>Record Type</b>	<b>Retention</b>
Attendance records	7 years after termination
Criminal background checks	Permanent
Disability records (group disability and ins. policy records)	Permanent
Discrimination claims (maintained at Pastoral Center)	Permanent
Employee benefit forms	Copy retained 5 years after termination or benefit paid
Employee contracts/agreements	5 years after termination
Employee evaluations	2 years
Employee medical complaints/job related illness & injury (OSHA)	7 years
Employee salary history	7 years after termination
Employment contracts	5 years
Environmental testing and hazardous exposure medical records/reports	5 years after termination date
Government surveys - salary or injury	7 years
Payroll records ADEA, FMLA, FLSA	7 years from termination date
Fingerprint clearances	5 years after termination date
Fingerprint hits	5 years after termination date
I-9 forms	7 years from hire date or 1 year after termination, whichever is later
Job ads/postings	1 year
Pension vesting files and reports	Permanent
New hire reporting	7 years after termination
Personnel files - terminated employee	5 years after termination date
Retiree Premium Payments - Health/Life	7 years Paper & Electronic

## 400 – HUMAN RESOURCES (cont.)

Record Type	Retention
Retirement benefit/contributions to pension (maintained at Pastoral Ctr)	Permanent
Safe Environment test results	Permanent
Years of service records	Permanent
Termination records/separation form	Permanent
Time sheets, absence reports, sick leave/vacation	7 years
Toxic substance exposure reports	Permanent
W-4	7 years after date tax becomes due or is paid, whichever is later
Workers' compensation records (kept separate from personnel file)	12 years after filing injury, death or last compensation payment

The following defines the types of payroll records to be retained and the period of time they should be retained:

W-2 forms/1099 forms (returned)	7 years
Garnishments	1 year after writ of garnishment dissolved
Employment taxes, tax bills, federal returns, state returns, contributions and payments including taxes withheld, FICA	7 years from date of filing
Form 990	Permanent
Unemployment rate notices	7 years
Unemployment claims	7 years
Unemployment correspondence	7 years

Benefits Office	Retention
Short Term Disability Claims	Permanent
Long Term Disability Claims	Permanent
Pharmacy Exception Files	Permanent
Voluntary Life Death Claims	Permanent
Optional Life Declined	7 years after termination of employee
Billing Adjustment requests for Health Bills, including copies of invoices created.	7 years
Enrollment Card	Permanent

POP Form	Paper, white part of 3 part form
Sun Life Optional Life Invoices	Paper
Copies of Health Bills	7 years
Proof of Insurance Letter	7 years from date of letter
Student Status Letter	7 years
Aflac Billing	7 years from termination of employee
Voluntary Life Terminations	7 years from termination
Short Term Disability denied claims	Permanent
Mutual of Omaha Premium Notices	7 years from termination of employee
Self-Administered health insurance bills	If more than 7 years old destroy all

#### 410 – INFORMATION AND TECHNOLOGY (I.T.)

The following defines the types of records to be retained and the period of time they should be retained:

Computer manuals	Until equipment taken out of service + 1 year
Computer system software and documentation	Until software is replaced + 1 year
Equipment records, including warranty and service records	Out of production + 1 year
Backups - Weekly	For last 4 weeks
Backups - Monthly	For previous 5 months - 6 months total
E-mail	3 months for e-mail, calendars and tasks

## 500 – INSURANCE AND RISK MANAGEMENT

The following defines the types of records to be retained and the period of time they should be retained:

Record Type	Retention
Inspection Reports	Permanent
Service Agreements	Permanent
Claims - All types	5 years
Insurance Policies	Permanent
Administrators' Guides	Permanent
Interim Reports	1 year
Certificates of Insurance	1 year
Building Report Forms	Permanent or as long as bldg. exists
Building Appraisals	Permanent
Ledger pages	5 years
Vehicle Titles (expired)	3 years
P & L Adjustments	2 years
P & L Invoices	2 years
WC (State) Reporting Documents	Permanent
Correspondence (Insurance Ofc. Memos, etc.)	5 years
Special Event Applications	1 year

## 600 – PERMANENT DIACONATE OFFICE

The following defines the types of records to be retained and the period of time they should be retained. Active personnel records for candidates for the permanent diaconate are maintained in the Permanent Diaconate Office before and after ordination to the diaconate.

Record Type	Retention
Deacon Files - Deceased	Permanent - Give to Chancellor
Deacon Files - Faculties denied or removed	Permanent
Deacon Files - Inactive / Moved (extern deacons)	Permanent
Deacon Files - Incardinated Active and Retired	Permanent
General - Association/Organizations Information	Current Year + 3 years
General - Budgets	Current Year + 3 years
General - Continuing Formation Details	Current Year + 3 years
General - Correspondence and Miscellaneous items	Current Year + 3 years
General - Retreat Details	Current Year + 3 years
Men in Formation - Current	Permanent
Men in Formation - Not Recommended	Permanent - Destroy after candidate reaches age 65
Men in Formation - Ordained - Files	Permanent - Sealed File to Chancellor
Men in Formation - Ordained (App., Transcripts, Lector/Acolyte	Moved to Active File
Men in Formation - Postponed	3 years
Men in Formation - Withdrawn on Own	3 years
Official - Advisory Board & Scrutinies Board	Current + 3 years, then sent to Archives for Permanent retention
Official - Diaconate Newsletter	1 sample each - Permanently
Official - Episcopal Letters of Appointment or Direction	Permanent
Official - Formation Process by Ordination Year	Current + 1 class, then Permanent
Official - Retreat & Continuing Formation Summaries	Permanent
Official - Rites of Ordination by Year Ordained	Permanent





## 800 – FACILITIES AND SERVICES

The following defines the types of records to be retained and the period of time they should be retained:

Record Type	Retention
Asbestos abatement files	Permanent
Contracts - service and vendor	5 years after end of contract
Emergency plans	3 years
Equipment leasing	3 years
Maintenance and repair - buildings	3 years
Requisitions - supplies	Destroy upon receipt of supplies

## 900 – DIOCESAN TRIBUNAL

When formal annulment cases which have been judged in the affirmative by our First Instance Tribunal are confirmed by the Metropolitan Tribunal of Miami (Second Instance), they are formally closed and recorded; the file copy is retained by the Tribunal for five years, consistent with canonical requirements. After five years, the documents are scanned for permanent retention and the originals are destroyed.

For penal cases, documents are to be secured in a manner consistent with the requirements of canon law. The Tribunal provides the secure site for storage.

Record Type	Retention
Formal Cases - Libellus, Ratification from Second Instance, Judicial Memorandum, Decree of Nullity	Permanent
Formal Cases - Remainder of file	1 year (paper), then scanned copy retained permanently
Lack of Canonical Form - Decree	Permanent
Lack of Canonical Form - Remainder of file	Scanned and destroyed once Decree is issued, electronic file retained permanently
Previous Bond - Decree	Permanent
Previous Bond - Remainder of file	Scanned and destroyed once Decree is issued, electronic file retained permanently
Pauline Privilege - Decree	Permanent
Pauline Privilege - Remainder of file	Scanned and destroyed once Decree is issued, electronic file retained permanently
Dispensations / permissions	Scanned and destroyed - electronic file retained permanently



## 2000 – VOCATIONS OFFICE

The following defines the types of records to be retained and the period of time they should be retained.

Record Type	Retention
Active Seminarian Personnel Records	Until ordination, then retained Permanently in Chancellor's Office
Records of Seminarians Dismissed or Left Voluntarily	Permanent
Active Inquirer records	5 years
Records of inquirers not accepted	Permanent

### 3000 – OFFICE OF WORSHIP

The following defines the types of records to be retained and the period of time they should be retained:

Record Type	Retention
Meeting agendas - Diocesan Liturgical Commission	Permanent
Meeting agendas - Comm. For Art, Architecture, Environment	Permanent
Presentations and Programs	Permanent
Correspondence - on behalf of Bishop	Sent to Bishop's Office to be retained Permanently
Correspondence - other	2 years for general corres.
Documentation of Liturgical Events:	
Chrism Mass	Permanent
Marriage Jubilee Mass	Permanent
Ordinations: Priesthood and Diaconate	Permanent
Red Mass	Permanent
Rite of Election & Call to Continuing Conversion	Permanent
St. Jude Medal ceremonies	Permanent (worship aide)
Ecclesiastical honors and awards	Permanent
Anything created with DOSP name, i.e. programs of special events, Blessings, Ground breakings, church dedications, etc.	

(Appendix B)

DIOCESE OF ST. PETERSBURG, INC.  
OFFICE OF ARCHIVES and RECORDS  
Lisa Mobley – Assoc. Dir. of Archives & Records  
727-344-1611 Ext. 5383

Application for Authority to Dispose of Records

Because all records created by employees in connection with the transaction of business for the Diocese are owned by the Diocese, permission to destroy records must be obtained from the Chancellor. Please use the following form when considering purging files of significance or disposing of entire record groups based on age, retention schedule, or obsolescence. No form is required to discard materials that are listed on the Guidelines for Weeding Records.

Records may not be disposed of until approval has been received. Records should be burned or shredded, if possible. The Department head or designate should witness pick up and removal by records destruction services. Records should be disposed of immediately after the date indicated by the Office of Archives and Records. Under no circumstances should intact records be placed in an unsecured trash can or dumpster. The approved copy of this form should be maintained in the Departments file permanently, along with any certificates of destruction. Send completed form below to the Office of Archives and Records for review. It will then be routed to the Chancellor for final approval. Please call Archives and Records with any questions or concerns.

Department/Office \_\_\_\_\_  
Contact Person \_\_\_\_\_ Phone \_\_\_\_\_

Records Series No. (if there is one)	Records Title/Description	Inclusive Dates	Volume Number of boxes or files

I certify that the above listed records are no longer needed for administrative, fiscal, legal, historical, or archival purposes and are eligible for destruction.

DEPARTMENT HEAD \_\_\_\_\_ DATE \_\_\_\_\_

For Archives and Records Use Only:

Date Received \_\_\_\_\_ Chancellor's Approval \_\_\_\_\_ EDOF \_\_\_\_\_ Legal \_\_\_\_\_  
The Archivist certifies that the records listed are not subject to archival review and meet the criteria for destruction \_\_\_\_\_ Date \_\_\_\_\_  
Records May Be Destroyed on \_\_\_\_\_

# GLOSSARY OF TERMS RELATED TO ARCHIVES AND RECORDS

**Active Records:** Records that are regularly referenced or required for current use.

**Archives:** A building or an area used to house permanent records of value. The preferred term is “archives” (with an “s”) as it is the correct terminology to serve both the singular and plural forms. “Archive,” as a verb, has different meanings related to computer science and information technology (IT). Archivists manage records; they do not archive records.

**Archives/Archival Records:** The records created and accumulated by an organization in the course of regular business and permanently retained due to their continuing or enduring value.

**Archivist (ar´ ke vist):** A professional responsible for the management of permanent records and the archival program. Often an archivist is also a records manager, and vice versa.

**Destruction Suspension (Legal Hold):** A term used in records retention scheduling programs to indicate the process or procedure implemented to stop the destruction of records when it has been determined that litigation or an audit is pending or imminent

**Function:** An organizational rather than departmental activity that defines a grouping of records. Functions reflect both general business practice (i.e., Finance, Personnel) and industry specific activities (i.e., Education).

**Inactive Records:** Records still needed by an organization but not for current operations. In time they are destroyed according to a Records Retention Schedule.

**Legal Requirements:** The obligation under a law (Federal, State, or Canon Law) to act or not act in the specified manner.

**Office of Record or Origin:** The person, group, department, office, agency or parish in an organization responsible for creating and maintaining the official records of that particular office for a certain period of retention prior to destruction or transfer to the archives or records center

**Permanent:** The continued preservation of information or other matter forever, without any limit in time. Most permanent records are housed in the Archives. Only 3-5% of records created in an office are archival in nature.

**Record:** A document, regardless of physical form, of recorded information created or received and accumulated by an organization in the conduct of official business. A “digitally born” computer generated document is a record. All such records are owned by the Diocese, not the employee.

**Record Value:** The importance or usefulness of a record for operational, legal, fiscal, historical or other purpose.

**Recordkeeping Requirements:** The legal obligations related to the creation, maintenance and disposition of records. The requirements are determined by federal, state, and Canon law.

**Records Destruction:** The process of total obliteration of information on records by any method to make the information unreadable or unusable under any circumstance.

**Records Management:** The systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval to their ultimate disposition.



**Records Manager:** An individual designated by an organization to control the records management program.

**Records Retention Period:** The period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, canonical, historical or other purposes. Records must be destroyed after the termination of the retention period.

**Records Retention Schedule:** A comprehensive list of records series by function or department, indicating for each series of records the length of time it is to be maintained in office areas, records storage, and archives, as well as when and if such series may be destroyed.

**Records Series:** A group of records that are created, used, evaluated, and disposed of in the same way.

**Vital (Essential) Records:** Records containing information essential to re-establish or continue the business of an organization in the event of a disaster. Vital records comprise the records necessary to recreate the organization's legal and financial status, determine the rights and obligations of employees, clergy and parishioners, and document the spiritual life and identity of a community, as found, for instance, in sacramental records.

September 2013

## COMMON RECORDS TO ALL OFFICES

**Common Records - Record copies of incoming and outgoing correspondence, reports, memoranda, etc. (retention schedule does not apply to duplicate copy).**

### 1. **Correspondence**

- a. Mission, policy, program/project correspondence of a department/office - *(Permanent)*
- b. Routine administrative correspondence - *(Two years)*
- c. “Short-term value” correspondence, e.g., routine requests, transmittal/thank you letters - *(One year)*
- d. Anonymous and third class mail - *(Destroy Immediately)*

### 2. **Subject Files**

- a. Organization and planning files which document the formation and implementation of policy or program/project of a department/office - *(Permanent)*
- b. General administrative announcements and office procedures, which are distributed throughout the organization. *(General Administrative; Five years – Office procedures; five years or longer until changed or replaced)*

### 3. **Administrative Files**

- a. Internal office procedure - *(Retain until changed)*
- b. Requests for facility services, e.g., telephone change - *(As needed for reference)*
- c. Relating to routine office supplies and equipment -  
*(As needed for reference. Warranty information should be maintained until expiration of the warranty)*
- d. Relating to expenditure of funds, e.g., cost estimates, receipts, invoices - *(Minimum four years, then as needed for reference)*
- e. Unofficial personnel information, i.e. duplicates of papers placed in Human Resources files - *(Destroy after transfer/separation of employee)*
- f. Budget worksheets - *(Three years)*

### 4. **Reading or Chronological Files**

- a. Reading or reference correspondence and other papers used solely for convenience - *(Two years)*

### 5. **Staff Working Papers**

- a. Reference files and documents accumulated when preparing a report or working on a project - *(Destroy when no longer needed)*

### 6. **Publications**

- a. One copy of publication prepared, including handbooks, manuals, pamphlets, posters, programs - *(Permanent)*
- b. Copies of internal or external publications maintained for reference - *(Destroy when no longer needed)*

### 7. **Policy and Procedure Files**

- a. Documents establishing policy and procedures - *(Permanent)*
- b. Copies of policy and procedures used for reference - *(Destroy when no longer needed)*