

THE DIOCESE OF RAPID CITY

The mission of the Diocese of Rapid City is the threefold ministry of Jesus: to proclaim the Gospel; to build up the community of faith that is the Catholic Church; to reach out in love and service to those in need. As they seek to accomplish this mission, the bishop, clergy, religious and laity of the diocese all reflect the ministry of Jesus on earth.

ARCHIVES OF THE DIOCESE OF RAPID CITY

The archives of the Diocese of Rapid City exist to collect, preserve and make available records of the Catholic Church in western South Dakota. These records are of value in preserving the rich history and the life of the Catholic Church in this geographic area.

The holdings in the archives of the Diocese of Rapid City include the following:

1. Clergy, seminarian and employee personnel records
2. Legal and historical records or documents including parish activities and properties
3. Minutes of meetings and summaries of activities of diocesan boards and committees
4. Minutes of meetings and summaries of activities of chancery departments
5. Other newsworthy materials regarding the work and mission of the Diocese of Rapid City and the teachings of the Catholic Church

Requests for information regarding materials stored in the archives should be directed to the diocesan archivist at 605-716-5214 x 220.

ARCHIVES/RECORDS MANAGEMENT PROGRAM THE DIOCESE OF RAPID CITY

The purpose of a basic records management program is to assist department heads in the control (creation, receipt, use, maintenance, and disposition) of records relating to their duties and responsibilities. Implementation of a records management program ensures that time and money are not wasted on the retention of unnecessary or obsolete records and that records concerning the rights, privileges, and history of Catholics in the Diocese of Rapid City are protected and preserved.

Establishment of a basic records management program involves:

1. Creation of records retention schedules that identify records generated or maintained by chancery departments and dictate the length of time those records should be retained.
2. Proper maintenance of an archive system to provide for the permanent retention of records having continuing and/or historical value.

The creation of records retention schedules and implementation of a records management program entails four basic steps that are to be accomplished by each department head:

1. records survey (inventory and identification of all records series)
2. records appraisal (establishment of the value of records based on administrative, legal, fiscal, historical, and sacramental considerations)
3. records scheduling (assignment and documentation of retention requirements for individual records series or classes of records)
4. program implementation (disposal of short-term records and maintenance of permanent records in the archives)

The diocesan archivist will, upon request, provide assistance to chancery department heads in creating and implementing the record management program for their department.

STEP I Inventory

All records generated, received, and maintained by chancery departments should be identified by the department head in the records inventory. Information concerning each records series, such as contents, purpose, span dates, volume, and location, should be included in the inventory. This information is essential in appraising each records series and assigning retention requirements to them.

STEP II Appraisal

The purpose of appraisal is to determine the value of a record in order to know where it should be retained and also the length of time it should be retained. Each records series should be appraised by applying five established appraisal considerations or criteria:

1. Administrative value: Records that document the establishment of policy and operations have administrative value. Policy records are generally retained permanently. Operations records are usually considered short-term.
2. Legal value: Records having legal value generally document legal or property rights of individuals or of the entity that created or maintained the records. Legal records are retained permanently.
3. Fiscal value: Records having fiscal value usually relate to financial transactions and are retained short-term. Records documenting fiscal policy are generally retained permanently. The finance department is responsible for retaining the annual budget for each department of the chancery.
4. Historical value: Records having historical (or research) value are retained permanently because they provide documentation on the origins, organization, development, functions, policy, activities, and events, of the originating entity, and/or provide information on associated persons, subjects, and events.
5. Sacramental value: Records documenting the administration of sacraments to the faithful have sacramental value. Sacramental records are retained permanently.

All five factors need to be considered when appraising chancery departmental records and assigning retention periods to records series. Other factors, such as legal and canonical requirements and reference frequency, must also be taken into account. Department heads should also be aware that certain records may have intrinsic value. Records having intrinsic value should be retained permanently because of their aesthetic or artistic qualities; age; unique or curious features; value for use in exhibits; or association with significant events, people, places, or things. Charters, commissions, appointments, memorabilia, and early handwritten documents often have intrinsic value. Department heads will find that many records have more than one category of value.

Records assigned a permanent retention period are **archival**, meaning those records are of continuing value to the diocese because their administrative, legal, fiscal, historical, sacramental, or intrinsic value(s) warrant long-term (permanent) retention. Identification of the value of each records series and selection of the appropriate retention requirement is perhaps the greatest challenge in establishing a records management program.

STEP III Preparing Records Retention Schedules

After all records identified in the inventory have been appraised, a retention period is established and assigned to each records series. Information concerning each records series and its retention is then detailed in the records retention schedule. Department heads should refer to the records retention schedules in this manual to assist them in the formulation of retention requirements and preparation of departmental records retention schedules for their departments. A sample of a departmental records retention schedule appears in the Appendix.

STEP IV Implementing the Records Management Program

After the records retention schedule has been authorized by the bishop, the retention requirements provided in the schedules will be implemented. All records will be organized in a records storage area equipped with a fire extinguisher if the area is not served by a sprinkler system. Records having a short-term retention period should be destroyed as specified. A duplicate copy of the departmental records retention schedule should be given to the diocesan archivist for permanent retention.

Each time records are destroyed, department heads should prepare a document describing the records that were destroyed, their retention period, and the date of destruction. A copy of the records destruction document should be retained permanently.

Permanent records should be given to the archivist for proper storage in the diocesan archives when such records are no longer used in the daily work of the department. Do not staple any records that are to be transferred to the archivist. Also, do not write on CDs, DVDs, video media, etc. A sample form to request a transfer of records to the archives appears in the Appendix. Records should be transferred to the archives on an annual basis.

Retention requirements delineated in the records retention schedule should be adhered to, preferably, on an annual basis. The benefits of a records management program can only be appreciated when retention requirements are applied on a regular basis and records storage areas are maintained properly. Resorting to "records management" whenever a space crunch results from retention of unnecessary records does not make a "program." Proper records management is an ongoing process and is the responsibility of each chancery department head.

RECORDS STORAGE

Storage of Inactive Short-Term Records

Records storage areas should be clean, well-lit and ventilated, and free from vermin and excessive heat, cold, and moisture. Environmental conditions for storage of inactive short-term records should approximate those necessary for human comfort. In addition, records storage areas should be equipped with a fire extinguisher. Doors to records storage areas should have strong locks to prevent access by unauthorized personnel.

Inactive short-term records should be stored in standard-size corrugated records boxes. (R-Kive, Bankers Box, etc.) Corrugated records boxes are inexpensive when compared to the cost of file cabinets. Preferably, records boxes should be stored on metal shelving. The contents of each records storage box should be marked on the outside. The retention period and date of disposal should also be noted on the outside of the records storage box. Use of standard-size boxes and concise identification of contents will greatly facilitate periodic disposal of short-term records.

USING THE RECORDS RETENTION SCHEDULE

The purpose of the records retention schedule in this manual is to assist department heads in establishing an archives/records management program by:

1. identifying and describing most of the records generated by chancery departments, and
2. providing retention periods, justifications, and the appraised values for each records series.

The records retention schedule is arranged in two columns: the first column (Records Title/Description) identifies and describes each records series and the second column (Retention Recommendation) provides the corresponding retention period, any legal or canonical retention requirements, and the appraised value of the record.

Records in the records retention schedule are grouped according to department and also by function or class, e.g., administrative records, financial records, property records, etc. Records series are arranged alphabetically within each function or class to facilitate use of the records retention schedule.

Retention periods in the records retention schedule are provided in a number of ways:

1. as a specific time period (e.g., retain three years, then destroy)
2. in relation to an event (e.g., retain until superseded; annual review, which means the record may be disposed of at the discretion of the administrator)

3. as a combination of both a time period and an event (e.g., retain five years after final payment of loan, then destroy)

Records retention recommendations provided in the records retention schedule represent the minimum period of time records should be retained. Department heads may tailor the retention recommendations to fit the needs of the department. Remember, the retention schedule is based on lack of activity of each record, for example, the three-year schedule assignment for such things as routine correspondence is for those records that have not seen any activity for three years. Any routine correspondence record with on-going activity does not qualify for destruction until three years has lapsed since any activity.

Disposition of most of the records generated by religious organizations is not governed by state or federal law. However, for the sake of convenience and uniformity, the retention periods for many of the records described in the records retention schedule conform to state or federal regulations, where applicable. A number of statutory retention requirements in the records retention schedule are specific to South Dakota state law.

Department heads should not be concerned if their department does not generate or maintain all of the records identified in the records retention schedule. The records retention schedule in this manual is a composite, as it describes records in a number of departments in the Diocese of Rapid City. However, department heads should find the retention recommendations in the records retention schedule useful in formulating retention requirements for their departments.

ADMINISTRATIVE RECORDS

These records are produced in the course of the management of the affairs of the diocese.

<u>Record Type</u>	<u>Retention Period</u>
Abstracts, deeds (property)	Permanent
Annual reports to chancery (Status Animarum)	Permanent
Annual reports of the diocese	Permanent
Articles of incorporation and bylaws	Permanent
Background checks	Retain until superseded
Bequest and estate papers (wills)	Permanent
Census records	Permanent
Contracts, inactive	Seven years after end of contract
Correspondence, legal	Permanent
Correspondence, official (diocesan/parish policies, diocesan/parish directives, etc)	Permanent
Correspondence, routine	Review/discard every three years
Diocesan councils minutes, correspondence, etc. (consultors, presbyteral, finance, etc)	Permanent
Donor lists	Permanent
Endowment decrees	Permanent
Finance Committee minutes	Permanent
Historical file (newspaper clippings, photos, etc related to diocese/parish on hard copy/microfilm/disc)	Permanent
Insurance policies	Permanent
Inventories of property and equipment	Seven years after superseded
Leases	Seven years after expiration
Mass intention books	Two years
Office files, subject	Selective retention: retain those that document diocesan/parish administration and activities
Pastoral Council constitutions	Retain until superseded
Pastoral Council minutes	Permanent
Photographs (relating to diocesan/parish history, clergy, parishioners on hard copy/microfilm/disc)	Permanent
Policy statements and handbooks	Permanent
Policy procedures	Retain until superseded
Safe Environment audits	Permanent
Subject files, departmental/parish (correspondence, memos, rules, schedules, etc)	Review/discard every six years
Tribunal matters, canonical in nature	Permanent
Tribunal annual reports to Rome	Permanent
Tribunal Card Files	Permanent
Wills, testaments, codicils	Permanent

PERSONNEL RECORDS

Personnel Records – Lay

A personnel file is to be maintained for each active chancery employee and at a minimum should contain:

Employee application and resume

Eligibility verification form (I-9)

Salary contracts

Leave record

Performance evaluations

Correspondence to and from the bishop on personal, personnel and clergy issues

Terms of access to personnel files are governed by Policy Section 2-1, 2 of the Personnel Policies Manual.

Personnel Records - Clergy

A personnel file is to be maintained for each member of the clergy in the diocese and at a minimum should contain:

Seminarian steps to ordination

Certificate of ordination

Letters of assignment and appointments to committees/boards

Correspondence to and from the bishop on personal, personnel and clergy issues

Special arrangements documentation in the event of the death of the clergy member

Will (to be opened upon the death of the clergy member)

Any psychological evaluations maintained in a personnel file are to be destroyed after one year or on the date established on the evaluation. Whenever a psychological evaluation is removed from a clergy, tribunal or seminarian file, a notation will be placed in the file indicating date of the psychological evaluation, name of the reviewing psychologist, and date of removal from the file. The notation should also indicate whether the evaluation has been returned to the evaluator (as is sometimes requested) or shredded.

The personnel files of living priests serving in the diocese are stored in the chancellor's personnel archives at the main Chancery Office. When a diocesan priest dies, his personnel file will be organized as per archive practices and maintained permanently in the archives.

When a religious priest transfers out of the diocese, his file will be reduced to a data sheet containing only essential information – full name, date of birth, dates of service in the diocese, religious order affiliation, forwarding address.

Note: The complete personnel file of a clergy member or layperson may be retained permanently at the discretion of the bishop.

Personnel Records in general

Record Type

Retention Period

Disability records	Permanent
Pension vesting files	Permanent
Retirement benefits	Permanent
Service records	Permanent
Permanent earnings and records	Four years after benefit termination
Employee salary schedules	Four years after termination

Health and Safety

Accident/injury reports	Four years after termination
Employee medical complaints	Four years after termination
Employee medical records	Thirty years after termination
Environmental test records/reports	Permanent
Hazardous exposure records	Permanent
Toxic substance exploration reports	Permanent
Workers' compensation records	Twelve years after injury filing, death, or last compensation payment

Lay Personnel actions

Applications rejected	One year
Personnel files, terminated	Ten years and reduced to a data sheet
Attendance records	
Employee contracts	
Employee evaluations	
I-9 form	
Personnel files, final data sheet	Permanent
Termination records	Ten years

Salary Administration

W-2 forms	Seven years from date of filing
W-4 forms	Seven years from date of filing
Time cards	Seven years from date of filing
Time sheets	Seven years from date of filing

FINANCIAL AND ACCOUNTING RECORDS

<u>Record Type</u>	<u>Retention Period</u>
Financial – Banking	
Bank deposits	Seven years
Bank Statements	Seven years
Cancelled checks	Seven years
Check registers/stubs	Seven years
Financial – General	
Audit reports	Permanent
Balance sheets, annual	Permanent
Balance sheets, monthly/quarterly	One year
Budgets, approved, revised	Seven years
Financial reports and statements, annual	Permanent
Financial reports, monthly	One year
Financial – Investment/Insurance bonds, cancelled	Seven years from date of cancellation
Certificates of deposit, cancelled	Three years after redemption
Insurance policies, active	Permanent
Insurance policies, cancelled	Permanent
Letters of credit	Seven years
Mortgage records	Permanent
Securities sales	Seven years
Stock investment	Seven years after sale
Accounting	
Accounts payable invoices	Seven years
Accounts payable ledgers	Seven years
Accounts receivable ledgers	Seven years
Credit card statements/charge slips	Seven years
Invoices and paid bills, major building construction	Permanent
Invoices and paid bills, general accounts	Seven years
Cash books	Seven years
Cash journals	Seven years
Cash journals, receipts on offerings, pledges	Seven years
Receipts	Seven years
Mortgage payments	Seven years

Other Records

General ledger/annual	Permanent
Journals, general and specific funds	Permanent
Journals entry sheets	Four years
Ledgers, subsidiary	Four years
Payroll journals	Four years
Payroll registers, summary schedule of earnings, deductions, accrued leave	Four years
Pension records	Permanent
Pledge registers/ledgers	Four years
Permanently restricted gift documents	Permanent
Temporarily restricted gift documents	Seven years after meeting restrictions

Tax Records

Employment taxes, contributions, and payments, including taxes withheld, FICA	Seven years from date of filing
W-2 forms	Seven years from date of filing
W-4 forms	Seven years from date of filing
IRS exemption determination letters, for organizations other than those listed in <i>The Official Catholic Directory</i>	Permanent
Form 990	Permanent
State tax exemption certificates (income, excise, property, sales/use, etc.)	Permanent

PROPERTY RECORDS

<u>Record Type</u>	<u>Retention Period</u>
Architectural records, blue prints, building designs, specifications	Permanent
Architectural drawings	Permanent
Deeds files	Permanent
Mortgage documents	Permanent
Property appraisals	Permanent
Real estate surveys/plots, plans	Permanent
Title search papers and certificates	Permanent

PUBLICATIONS

Record Type

Anniversary books

Newsletters of the diocese (hard copy/microfilm/disc)

Other diocesan publications and Web sites

Retention Period

Permanent

Permanent

Permanent

RESPONSIBILITIES OF THE ARCHIVIST

Storage of Archival Records

Storage area requirements for archival records are similar to those for short - term records. However, archival records have special environmental requirements. Temperature and relative humidity should be maintained at appropriate levels according to Association of Catholic Diocesan Archivists (ACDA) standards. These standards, as set forth by ACDA, should be maintained with as little fluctuation in temperature and humidity as possible. Archival records and records having short-term value may be stored in the same storage area but should be physically segregated. Segregation of archival records from short-term records should prevent the accidental destruction of archival records. The archivist should maintain archival environmental conditions in records storage areas containing both archival records and short-term records.

To ensure preservation, archival records require special treatment. The requirements provided below should be followed, if possible:

1. Place archival records in acid-free folders, boxes, bags or archival approved storage means. Used of acid free paper is necessary where appropriate.
2. Do not store archival records near overhead water or steam pipes.
3. Protect archival records from direct sunlight and excessive artificial light. Overhead and florescent lights must have guards on them.
4. Do not store archival records using ordinary metal paper clips, rubber bands, or staples. Plastic paper clips may be used.
5. Do not use any kind of self-adhesive tape on archival records.
6. Store large bound volumes horizontally, not vertically.
7. Do not flex, fold, or crease archival documents. Do not mark directly on CDs, DVDs, video media, etc.
8. Eating, drinking, smoking, or use of fountain pens should be prohibited around archival records. Only pencils are to be used when utilizing archival records.
9. Do not laminate archival records. Many commercial lamination processes are destructive and irreversible.
10. Do not store archival records on the floor. Always place archival records on shelving, preferably metal. Records should be stored at least four inches above the floor and six inches away from outside walls.

11. Bookmarks and other foreign objects should be removed from archival records.
12. Do not store highly acidic materials, such as newsprint, with archival records.
13. All loose papers should be boxed.
14. Boxes containing archival records must be labeled, numbered and accessioned in inventory.
15. Photographic material should be stored in acid-free folders, envelopes, sleeves or other approved media. Photographs larger than 8x10 inches should be stored flat. Caution: Photographic negatives manufactured before the 1950s may contain nitrate and be highly unstable and flammable. Nitrate negatives should be stored away from other photographs and records. Do not write or place labels directly on photos.
16. Maps, blueprints, architectural drawings, and oversized documents should be stored flat, unrolled or unfolded in acid-free folders. Unoccupied vestment drawers are useful for the storage of oversize archival materials.
17. The records storage requirements noted above obviously represent the ideal. However, the diocesan archivist must strive to apply the standards and archival practices to all mediums stored in the archives, whether they are permanent or short-term records.
18. The archivist should retain the original filing order of archival records. He/she should not violate the original filing order or rearrange archival records. However, archival records that are in disarray may be arranged by the archivist to restore the original order.
19. Records of the different departments should never be mixed together or inter-filed. The integrity of records (their original order and origin) must always be respected and maintained.
20. Inventory records of the archives will be maintained digitally and stored on the diocesan computer system. Appropriate backup tapes will also be stored.
21. Textiles, vestments, clothing, artifacts, jewelry, etc., are to be preserved and stored according to ACDA guidelines.

APPENDIX

- Sample Records Retention Schedule for a Department
- Sample Records Disposal Authorization for a Department
- Sample Transfer of Records to Archives

SAMPLE RECORDS RETENTION SCHEDULE FOR A DEPARTMENT

Diocese of Rapid City- Your Department

Approval Date	Department Head		
Records Series Title	Retention	Retain In office	Then send To Archives
<u>Administrative Records</u>			
Routine correspondence	Annual Review	3 years	No
Rosters of council participants	Permanent	5 years	Yes
Annual report of ministry activity	Permanent	5 years	Yes
Departmental Procedures manual	Until superseded		No
Finance Council Minutes	Permanent	5 years	Yes

A copy of this records retention schedule for the department of _____ has been given to the chancery archivist on _____.

SAMPLE RECORDS DISPOSAL AUTHORIZATION FOR A DEPARTMENT

Diocese of Rapid City- Your Department

Approval Date

Department Head

<u>Records Series Title</u>	<u>Dates</u>	<u>Volume</u>	<u>Retention</u>
Routine correspondence	2005	2 boxes	3 years
Rosters of ministry participants	2003	1 box	6 years

I certify that the records described above were disposed of on _____ by means of _____.

Certified by _____
Name Position

A copy of this disposal authorization has been retained permanently in the department .

SAMPLE TRANSFER OF PERMANENT RECORDS TO ARCHIVES

Diocese of Rapid City- Your Department

Date of Transfer

Department Head

<u>Records Series Title</u>	<u>Medium</u>	<u>Date Span</u>	<u>Volume</u>	<u>Received by</u>
<u>Administrative Records</u>				
Finance Council Minutes	Paper	Jan-Dec 2003	2 boxes	KC
<u>Historical Records</u>				
Rome Pilgrimage	Photos	FY 03	3 folders	KC
Bishop Marty's Pectoral Cross	Object	1900's	One case	KC
<u>Publications</u>				
Newsletters	CDs	2002-04	6 CDs	KC

A copy of this transfer authorization for the above records has been given to the director of the _____ department on _____.

Signature of Archivist

Accession Number _____

Date _____

