

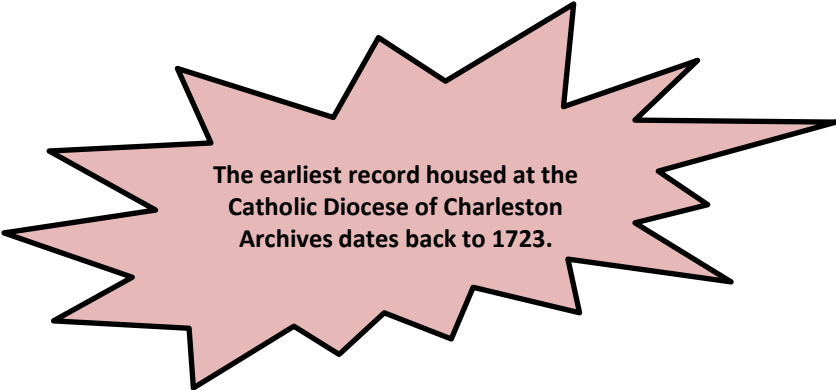
Religious Archives and Records Management

Inter-Office Collaboration

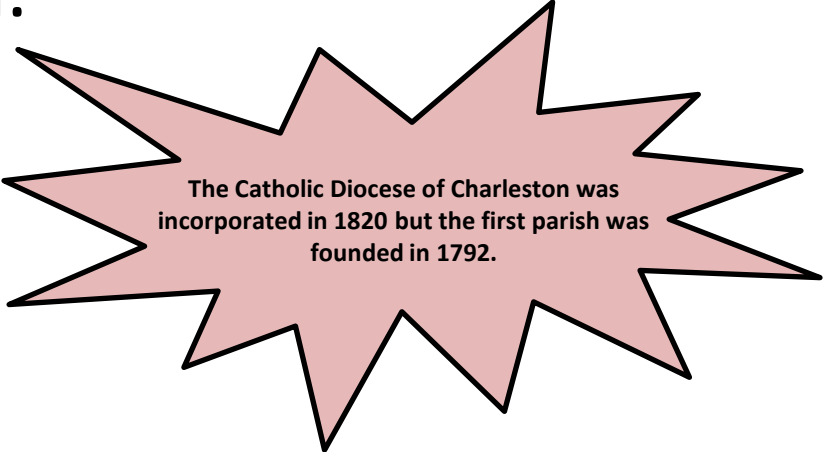
Jennifer E. Neal
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Catholic Diocese of Charleston

Catholic Diocesan Archives

- Diocesan Archives are unique in that they fall under institutional and historical archives.
- The Catholic Diocese of Charleston houses institutional records of the diocese and historical records regarding the Catholic Church in South Carolina.



The earliest record housed at the Catholic Diocese of Charleston Archives dates back to 1723.



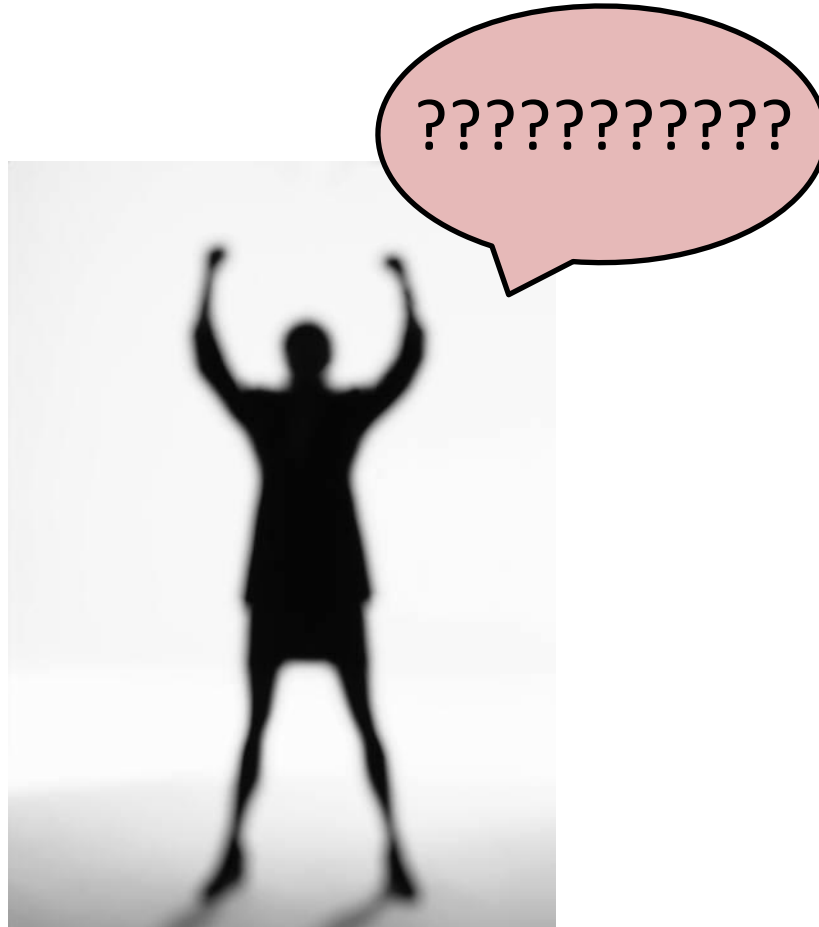
The Catholic Diocese of Charleston was incorporated in 1820 but the first parish was founded in 1792.

Catholic Diocesan Archives

- Institutional Records include bishop correspondence, building and renovation committee minutes, annual reports, general ledgers
- Historical Records include bishop correspondence, sacramental registers, personal papers, the *Catholic Miscellany*

If the collection is both institutional and historical...

How do you know what to keep?



Creating a Records Management Policy

Purpose:

- To establish guidelines with respect to the maintenance, use, retention, disposition, and preservation of appropriate diocesan documents and records, and to assign responsibilities for administering the function within the organization
- To ensure the retention of records for the appropriate period of time based on intrinsic and enduring historic value or legislated by the Code of Canon Law, federal and state statutes and regulation (e.g., U.S. Code, Code of Federal Regulation/ South Carolina Code of Laws, South Carolina Code of Regulation etc.) or administrative standards and practices (e.g. U.S. Generally Acceptable Accounting Principles.)
- To ensure that records that outlive their respective retention periods are promptly destroyed to reduce storage and supply costs, increase administrative efficiency, and to lessen exposure to criminal or civil liability.

Creating a Records Management Policy

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GENERAL RECORDS MANAGEMENT POLICIES

--PREAMBLE--

The Diocese of Charleston, hereafter referred to as the "Diocese," acknowledges Canons 482 and 486, assigning the Chancellor as the custodian of diocesan records and noting the need for proper records management and care. It is the general policy of the Diocese to identify, properly arrange, maintain, and safeguard records required to conduct its spiritual and temporal affairs.

The objectives of the GENERAL RECORDS MANAGEMENT POLICIES are:

1. To establish guidelines with respect to the maintenance, use, retention, disposition, and preservation of appropriate diocesan documents and records, and to assign responsibilities for administering the function within the organization.
2. To ensure the retention of records for the appropriate period of time based on intrinsic and enduring historic value or legislated by the Code of Canon Law, federal and state statutes and regulations (e.g., United States Code, Code of Federal Regulation, South Carolina Code of Laws, South Carolina Code of Regulations, etc.), or administrative standards and practices (e.g., United States Generally Acceptable Accounting Principles,)
3. To ensure that records that outlive their respective retention periods are promptly destroyed to reduce storage and supply costs, increase administrative efficiency, and to lessen exposure to criminal or civil liability.

General Records Management Policies apply to all departments, offices, institutions, affiliates, and advisory boards of the Diocese that hold any diocesan records.

--DEFINITIONS--

The following definitions are specific to, and limited to, these policies and any subsequent procedures:

- *Active Records* are the recorded information, regardless of format, necessary to conduct the current, day-to-day business of the diocese usually maintained in office space and equipment.
- *Agency* is a specific department or departmentalized unit of the Diocese or a subdivision thereof.
- *Agency Head* is the highest authority within a specific agency. In the case of advisory bodies, the chair or moderator of that body serves as the agency head.
- *Inactive Records* are the recorded information that must be retained for legal, fiscal, historic or administrative purposes but are so rarely used as to no longer justify their maintenance in active office space and equipment.

12 April 2010

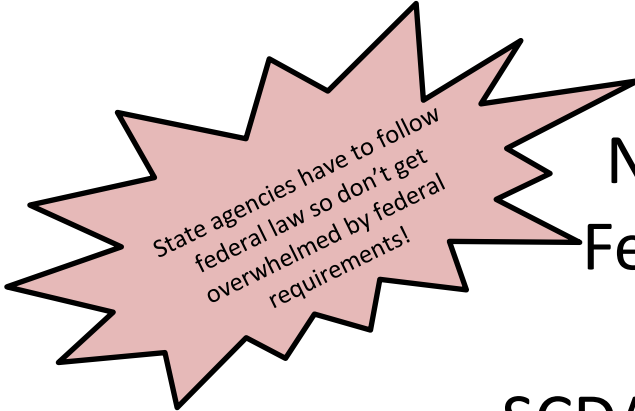
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minimum retention of record series based on legal, fiscal, administrative, and historic values of the records and in compliance with canonical, federal, and state statutes and regulation.

5. The Archivist is to carry out the efficient collection and administration of noncurrent records of permanent value to the Diocese in accordance with published records retention schedules.
 - a. To ensure the identification and preservation of records of permanent value, the Archivist shall coordinate the development and implementation of records retention schedules for all diocesan agencies.
6. Records transferred to Archives become the possession and responsibility of the Archives and are no longer the possession or responsibility of the original office of record or office of creation.
7. Records scheduled for destruction or transfer to Archives must be destroyed or transferred in a reasonable period of time, as defined by the Chancellor. Delayed or prolonged retention requires the written approval of the Chancellor.
8. Destruction of active or inactive records requires the written approval of the Chancellor.
9. The Chancellor or his/her designate shall conduct audits and surveys of diocesan records from time to time to ensure compliance with these policies and to review and update procedure.

12 April 2010

Creating a Records Management Policy



State agencies have to follow federal law so don't get overwhelmed by federal requirements!

Federal Law:

NARA General Retention Schedule (GRS)
Federal Records Retention For Employers

State State Law:

SCDAH General Records Retention Schedule

Code of Canon Law:

Records specific to the Catholic Church

e.g. Sacramental Records (Canon 535.1, Canon 895)

United States Council of Catholic Bishops

Records Retention for Dioceses and Parishes

<http://www.nccbuscc.org/bishops/dfi/retention.htm>

Creating a Records Management Policy

When drafting a retention schedule, do the records have...

- **Administrative value:** a record has administrative value if the information it holds is useful to the conduct of daily business.
- **Fiscal value:** a record has fiscal value if the information it holds is needed to document the expenditure of public funds or to fulfill financial obligations.
- **Legal value:** a record has legal value if the information it holds gives evidence of the legal rights or obligations of the government and its citizens or ensures compliance with relevant laws and regulations.
- **Historical value:** a record has historical value if the information it holds documents the history of the government and the community.

Creating a Records Management Policy

Office of Finance Proposed Retention Schedule					
Record Series	Sub-series	General Description	Retention		Disposition
			Total	In Office	
Correspondence		Intra-Diocesan correspondence used as an internal reference file re policy, agreements, donations, property, funding, etc	Admin value ceases	Admin value ceases	Destroy
Parish files		Miscellaneous loan information re non parish loans; school information associated with parish re loans and financial issues; general correspondence; Catholic Mutual Risk Management information including property inspection; non-confidential legal issues; parish loan issues re ledger accounts, inquiries, contracts/agreements, property liens; construction contracts; right of way contracts	Permanent	CY+5	Archives
Funds	Miscellaneous	Miscellaneous Diocesan funding; records include DDF applications, campaign info, stewardship appeals, annual reports, endowment booklets, correspondence, etc.;	Permanent	Admin value ceases	Off-site King St storage
	Estates, gifts, trusts, endowment	Diocesan funding re estates, gifts, and trusts; general correspondence; copies of wills and agreements; endowment records	Permanent	Admin value ceases	Off-site King St. storage
Working files		Parish memos re policies and policy changes	Admin value ceases	Admin value ceases	Destroy
Confidential		Class Action information; correspondence	Permanent	Admin value ceases	Archives

Creating a Records Management Policy

Policy approval.....



This may take a while...

Implementing a Pilot Program

Look for a department that...

- Produces a large amount of records
- Shows enthusiasm



Choose a department liaison...

- Familiar with the records
- Likes to organize
- Willing to get dirty

Implementing a Pilot Program

Office of Finance



The Finance Office assists the Bishop, his staff and others responsible for the temporalities of the Diocese to fulfill the diocesan mission. Responsibilities include accounting, investment management, financial analysis, budgetary management, and oversight of parishes and schools (including compliance with diocesan and civil laws, regulations and policies). The office provides accounting services for most diocesan departments and Catholic Charities.

Records Management Fridays



Sort...



Shred...



Records Management Fridays

Metrics

One-time project metrics

No. of cartons/ft. destroyed:

~135 cartons/ ~168.75 linear ft./ ~135 cubic ft.

No. of cartons/ft. moved to off-site storage:

~60 cartons/ ~75 linear ft./ ~60 cubic ft.

No. of cartons/ft. rehoused:

~49 cartons/ ~61.25 linear ft./ ~49 cubic ft.

No. of cartons/ft. identified as permanent:

76 cartons/ 95 linear ft./ 76 cubic ft.

No. of cartons/ft. rearranged in off-site storage:

245 cartons/ 306.25 linear ft./ 245 cubic ft.

Future projections

No. of cartons/ft. added per year on average:

~~37-42 cartons/ ~~46.25-52.5 linear ft./ ~~37-42 cubic ft.

No. of cartons/ft. added permanently per year on average:

~~3 cartons/~~3.75 linear ft/ ~3 cubic ft.



Lessons Learned

- Formulate plans and participant roles before the project is implemented
- There is no “I” in TEAM
- Relationships, reputation and referral