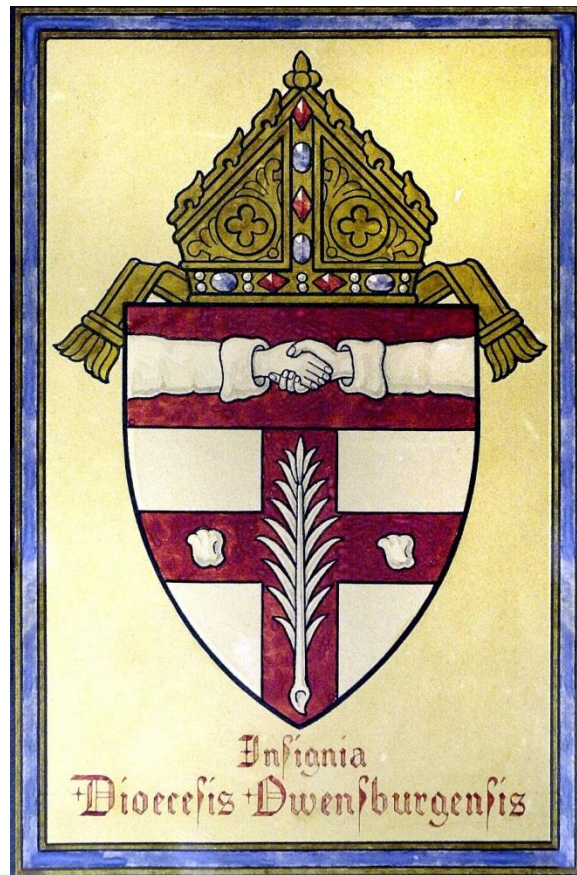


# Roman Catholic Diocese of Owensboro Records Retention Schedule



Office of Archives and Records Management  
October 2015



OFFICE OF THE BISHOP

# DIOCESE OF OWENSBORO

Catholic Pastoral Center

Protocol # 2013/01 PL

## DECREE

### Promulgation of the Roman Catholic Diocese of Owensboro Record Retention Schedule

Dear Directors of Diocesan Offices and support staff:

As Bishop of the Diocese of Owensboro, I possess the “ministry of governance” (can. 375 §1). I am also the one responsible for the issuing of singular administrative acts by virtue of Decree (can. 48).

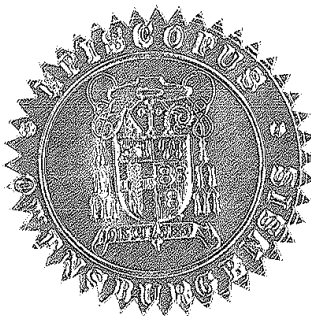
Having received the document entitled Record Retention Schedule crafted by our Office of Archives, I commend that office for presenting a clear, concise instrument. The Priests’ Council and I reviewed and approved this document on 16 September 2013 with one caveat: confer with the Office of Ongoing Formation of Clergy then add a section to this document specifically for that Office.

I, the Roman Catholic Bishop of Owensboro by virtue of this Decree authorize the promulgation of this document once it has been amended as I have instructed above. Thereupon, this Record Retention Schedule shall be in force effective immediately.

Be assured of my ongoing support for the preservation of history in a well ordered and accessible manner for the benefit of the Church.

Given this 17<sup>th</sup> day of September 2013

at the Catholic Pastoral Center, Owensboro, Kentucky



Most Rev. William F. Medley  
Bishop of the Diocese of Owensboro

Kevin Kauffeld  
Chancellor of the Diocese of Owensboro

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## Introduction

This Records Retention Schedule has been created for the Diocese of Owensboro, Kentucky. It is the overarching schedule for the Catholic Pastoral Center, Parishes and Catholic Schools in the diocese. The first section defines what records management is and why it is important to the diocese. The second section explains the organization of the records retention schedule and how it is to be used. The third through fifth sections give guidance on how to properly manage electronic records, including e-mail, and how to be prepared for a potential disaster that could destroy your electronic records.

Following this is the records retention schedule itself. The first section is the General Schedule that lists alphabetically records that are found in multiple offices. The record name (series) is given and in some instances includes a description. At the right is the retention period of how long the record is to be kept in years. Some records are unique to specific offices. Following the general schedule is a list of offices (including Parishes and Schools) that have records unique to their needs. The layout for these records is the same as the General Schedule.

Any questions can be directed to the Diocese of Owensboro Office of Archives & Records Management, 270-683-1545.

## Records Management

Records management is the practice of overseeing the life cycle of records from their creation or receipt in your office, through their use and ultimately through their eventual disposition (destruction) or transfer to an archives for permanent retention. Effectively managing an institution's records ensures their availability when and where they are needed and in a manner that they can be used appropriately. This process allows an institution to maintain control over both information and administrative operations.

When talking about records management, here are some basic definitions of what a record is and what it is not:

- A **Record** is "all recorded information, including documents, papers, letters, maps, books, photographs, film, sound recordings, or other documentary material regardless of format, created or acquired in the transaction of business."
- A **Non-record** can be extra copies of documents preserved only for convenience of reference; stocks of publications or blank forms; other items not otherwise included within the definition of record.

An effective records management program serves many purposes, including:

- Compliance with legal retention requirements and the establishment of administrative, fiscal, and historical retention requirements
- Increased efficiency in the retrieval of information
- Allowing access to records and information more quickly and efficiently. Less time is spent searching for and identifying information, thus increasing productivity and the ability to locate and utilize important information.
- Space Savings. An organization will recognize immediate savings in terms of space when records are managed efficiently. This is also true for electronic records because electronic storage comes at a cost as well.
- The efficient identification and protection of records with enduring (historical) value.

Remember, these records do not belong to you. They are the property of your parish, school or agency.

## **How to Use the Records Retention Schedule**

A necessary tool when managing records is a **Records Retention Schedule**. A records retention schedule is a document that governs the disposition of records created and/or used by an organization. A schedule has been created and approved for the Diocese of Owensboro offices, schools and parishes and lists the record types, description, and the retention period.

The records retention schedule provides guidelines for how long an office, school or parish should retain groups of related documents, known as **Record Series**. The schedules set the amount of time that an office should retain a record. Unless otherwise specified, the retention period is set regardless of the format of the record.

Record series are appraised to determine how long each must be maintained. The appraisal is based on four values:

- **Administrative value.** The usefulness of a record in the conduct of an organization's business. These include records that document policy and operations. Policy records are generally retained permanently, while operations records are usually considered to have short-term value.
- **Legal/Canonical value.** The usefulness of a record complying with statutes and regulations of all civil and canonical jurisdictions. Records having legal value generally document legal or property rights of individuals or of the entity that created or maintained the records.
- **Fiscal value.** The usefulness of a record in documenting the financial transactions of a company or as evidence of a company's tax liability. Records having fiscal value usually relate to financial transactions and normally have short-term retention. Records documenting fiscal policy may have permanent value.
- **Historic value.** Records having historic or research value are retained permanently because they provide documentation of key functions, policies, activities, and events of the organization, and/or provide information on associated persons, subjects, and events.

### **Instructions for Using the Records Retention Schedule**

Records retention schedules provide guidelines for how long an office or institution should retain records. The retention period is set regardless of the format of the record unless specified.

At the beginning of the records retention schedule is a **General Schedule** that is comprehensive to many offices. It includes records that may potentially be in any or all offices of an organization. As a result, staff may find they do not have some records listed in the general schedule. The general schedule only sets the retention requirements of those records that already exist in an office. It does not require an

office to create all the records listed. It only applies to records created by your office. **The office of creation is considered the office of record.** It is probable that some records are duplicated within other departments. Those department managers will insure those duplicate records are retained no longer than the time indicated in the schedule. Whether specifically identified within the schedule or not, managers of each department are responsible for ensuring the proper disposition of all records within their departments.

The **other records retention schedules** in this document apply to several diocesan offices and parishes and schools holding record series not found elsewhere. Not every office has its own schedule. Those with unique schedules must reference them in conjunction with the general schedule. Please also consult the **Administration** schedule for financial and building records.

Each schedule contains three columns. The first and second columns provide the title and a brief description of the record series. The third column defines the retention for a record series. Office staff should conduct records reviews regularly, usually on an annual basis. Referencing the appropriate record retention schedule(s), they can identify records ready for transfer (usually to diocesan archives) or destruction. However, staff must contact the Office of Archives & Records Management for instruction before transferring records to diocesan archives. When ready to destroy records, staff is required to fill out a Disposal Certificate (Appendix A) indicating the type of record to be destroyed, the dates of record it encompasses and the method and date of destruction.

In the event your institution is served with any subpoena or request for documents, or in the event any staff member becomes aware of a governmental investigation or audit or the commencement of any litigation against or concerning the diocese, such staff member shall inform the Bishop. Upon advice of legal counsel, further disposal of documents shall be suspended as applicable until such time as the Bishop, with the advice of legal counsel, determines otherwise.

If you have any questions or concerns, or if your office holds records that are not identified on a retention schedule, please contact the Office of Archives and Records Management.

## **Electronic Records**

Today we find ourselves creating almost all records electronically and often duplicating these records by printing them. The use of electronic records has not cut down on the amount of paper records being produced; rather it has increased the volume as people continually print out a hardcopy of their files in addition to the copy saved on their hard drives. However, one must remember that electronic records need to be managed as well from their creation through their use and final disposition. People tend to think that if a record is created and stored electronically it will always be there. This is not the case. Electronic storage has its limitations and should not be considered a bottomless filing cabinet. Additionally, over time as technology and software evolve previously used electronic storage media will become unreadable and inaccessible. In order to ensure that these electronic records are maintained for their appropriate retention as specified in the record retention schedule, the following practices should be followed:

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

### **File Naming Protocol**

Organizing your electronic records initially can feel like an overwhelming task. However, once you have established an electronic filing system using appropriate folder structures and file naming protocols, your electronic records will be easy to maintain. The first step that is suggested is to create an appropriate folder structure that mirrors your paper records. It is within this folder structure that you will place the actual records. Below, Figure 1 is an example of some of the different types of record classifications that a parish may have and how you can set up your folder structure on your disk. Please note –you may or may not have to create all of the below types of folders. You do not need to create folders for which you do not have records. This is merely an example.



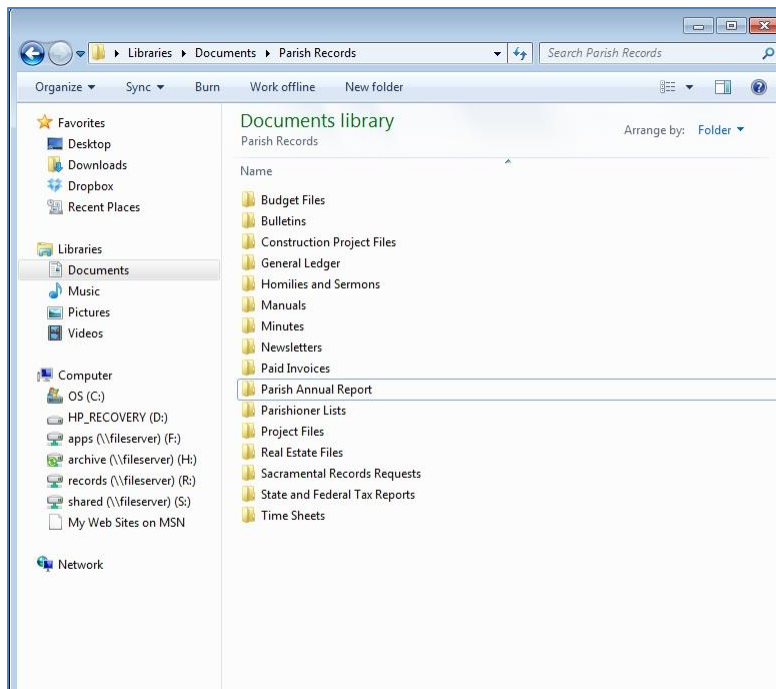


Figure 1

Once you have created a useful folder structure on your disk as shown in Figure 1, you will need to develop an appropriate way to name your records when you create and place them within a folder structure. The more specific and accurate your file naming is, the easier and more effective your electronic filing system will be.

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

- Date record created (e.g. January 12, 2012 as 20120112; numbering dates by year, month and date allow for chronological sorting).
- Description of content (e.g. paid invoices, manual, parish bulletin).

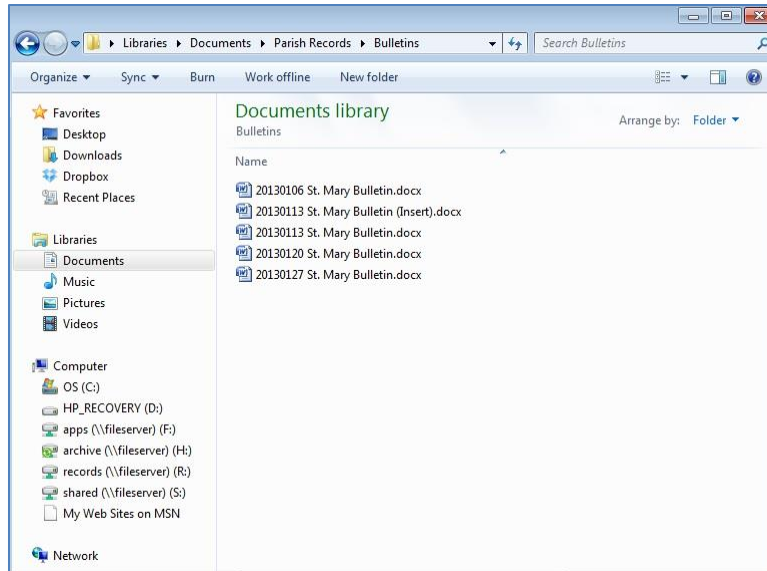


Figure 2

Figure 2 is an example of the file naming protocol for records found within the Bulletins folder structure. Each of the files shown in it names the date of the record (20121230), identifies the owner of the record (St. Mary) and has a title that identifies the content of the record (Bulletin).

### E-mail Records

Electronic communication is the transfer of information from the sending party to one or more receiving parties through an electronic telecommunication system. E-mail has become a critical part of our everyday business practices. As with paper communication, e-mail messages need to be managed and maintained for appropriate periods of time. All e-mails used in connection with diocesan business are subject to possible litigation and discovery. E-mail such as advertisements and junk mail do not need to be retained. However, other e-mail records need to be categorized by topics such as event, committee, function or any other appropriate topic heading. E-mail can be broken down into the following categories:

- For **non-business related correspondence**, discard as soon as possible. This would include spam, junk, non-business announcements, personal messages, etc.
- For **routine correspondence**, keep only as needed. This would include listserv messages, notes from coworkers, general announcements, setting up meetings, etc.
- For **official correspondence**, keep permanently. This would include meeting minutes, correspondence that affects policy, procedure, or personnel, annual reports, etc.

Organizing your e-mail into folders within the e-mail system with appropriate classifications, as opposed to keeping everything in your inbox, will allow you to better manage and utilize your e-mail records.

### **Emergency Preparedness**

Disasters happen and can take many forms. There are natural disasters such as floods, tornadoes, earthquakes and hurricanes and then there are local disasters such as building fires, hard drive failures or server crashes which can destroy your data. It is a good practice to have your computer files backed up on a regular basis to ensure a smooth transition back to operation when a disaster occurs. This can be done by using a variety of methods by copying your electronic files to:

- Backup Tapes (for parishes with large amounts of electronic records)
- External Hard Drives
- Flash Drives

Each of these storage mediums can hold a varying amount of electronic information. It is the decision to your office to select what is most appropriate for your needs. Once your electronic records are copied (backed-up) on external hardware, it is essential to store the hardware someplace secure that is offsite. For example, you could trade backups with a nearby parish or store it in a bank safety deposit box. The crucial point is that it is stored someplace secure that is a different location. If your back up is kept onsite and your building is destroyed by a fire, the backup becomes futile.

The question is asked how often a backup should be made. There is no one size fits all answer. Daily backups are ideal but they are not feasible for every organization. Whether you run backups manually or use an automatic program, think of how much data could you afford to lose. If you lose your records and your last backup was two weeks ago, how easy will it be for you to be able to resume operation? Pick a specified time and a regular schedule that works for your office and be consistent with it.

No.	Record Series	Description	Retention (in years)
	<b>General Schedule</b>		
1.01	Annual Reports	Summary statistics and/or financial report of the annual office. Note that monthly, quarterly, or other subordinate reports might fulfill this record series if the office does not maintain annual summarized reports.	Permanent
1.02	Brochures/Handouts/Special Events Programs/Worship Aids		Retain sample permanently.
1.03	Agendas		1
1.04	Charitable Gaming, Licenses		3
1.05	Charitable Gaming, Pull Tabs		3
1.06	Charitable Gaming, Reports		6
1.07	Correspondence, General	Excludes correspondence of executive offices (e.g., Bishop, Vicar General, Chancellor, and Chief Financial Officer).	Assess every 2 years, destroy what is no longer necessary.
1.08	Correspondence, Official	Executive correspondence.	Permanent
1.09	Emergency Drills	Fire, earthquake. Date, time, # people, faculty.	2
1.10	Grants, Awarded	Requests made by a parish or Catholic institution for grant assistance. This series consists of grant requests awarded and includes a summary sheet and accountability report.	Permanent; retain summary sheet and accountability report. Dispose the remainder after 5 years.

No.	Record Series	Description	Retention (in years)
1.11	Grants, Non-Awarded	Requests made by a parish or Catholic institution for grant assistance. This series consists of grant requests not awarded.	5
1.12	Newsletters		Permanent
1.13	Official Minutes of Boards, Commissions and Committees		Permanent
1.14	Photographs		Permanent; Retain sample of historical value.
1.15	Policy Manuals, Handbooks		Permanent; When superseded, send former copy to Archives.
1.16	Presentations Given by Diocesan Staff	Includes registration materials, letters, brochures, related hotel and restaurant information, etc.	Permanent; Retain sample of historical value. Remainder retained until administrative value ceases.
1.17	Professional Reference Materials	Publications and reference materials used by staff members.	Retain while useful, then destroy
1.18	Registration and Attendance		2
1.19	Registration and Attendance, Youth Events		20
	<b>Administration (Financial)</b>		
2.01	Accident reports	Accident or injury reports from parish, school or other diocesan property.	5. Records of monitoring exposure to hazardous materials (along with toxic substances and blood-borne pathogen exposure) must be retained for the duration of an individual's employment, plus 30 years.

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
2.02	Accounts Payable	Invoices and paid bills for general accounts and major building construction, ledger, credit card statements, charge slips.	8
2.03	Accounts Receivable		8
2.04	Annual reports to Chancery (Status Animarum)	Financial reports from parishes.	Permanent
2.05	Annuities Financial Records		8 after death of donor
2.06	Architectural Blueprints		As built is Permanent; Drafts and Proposals are kept only as needed.
2.07	Articles of Incorporation		Permanent
2.08	Audit Reports		Permanent
2.09	Balance sheets, monthly/quarterly		3 after audit
2.10	Banking Record File	Statements, deposits, cancelled checks, bank reconciliations.	8
2.11	Bid Files, Successful		Destroy 3 years after specifications met or completion of contract or agreement and audit.
2.12	Bid Files, Unsuccessful		1
2.13	Budgets, Approved		Permanent
2.14	Budgets, Work papers		5
2.15	Building/Maintenance Contracts		Life of Contract +3
2.16	Building Safety Inspections	Includes in-house and outside vendor inspections.	5
2.17	Bylaws		Permanent
2.18	Cash Balance Sheet		Continuous

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
2.19	Deeds		Permanent
2.20	Electronic Funds Transfer (EFT)	A summary form of the names and donation amounts who donate via an electronic transfer. The original form is in the financial office.	3
2.21	Employee salary schedules		Continuous
2.22	Employment taxes	Contributions and payments, including taxes withheld, FICA.	7 after audit
2.23	Financial reports, annual	Includes diocesan balance sheets.	Permanent
2.24	Financial reports, monthly		3 after audit
2.25	Financial statements		8
2.26	Fire Department Inspection	Fire extinguishers, fire alarms, etc.	1
2.27	Foundation of Western Kentucky Files	Trust financial records, parish investments, endowments.	Permanent retention of select documentation at closing of fund. Please consult Archives.
2.28	General Ledger		Permanent
2.29	General Ledger Entry Support	Detailed explanation of General Ledger entries.	3 after audit
2.30	Income Tax Withheld, Annual		7
2.31	Income Tax Withheld, Monthly		5
2.32	Insurance, Events	Includes non-parish events on parish property and parish or school events on public property.	Active +8
2.33	Insurance Policies		Permanent
2.34	Inventories, Equipment		8 after termination of ownership.
2.35	Inventories, Property		Permanent

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
2.36	Investments, Monthly	Monthly statements of securities, stocks, bonds.	8
2.37	Payroll journals		5 after last entry.
2.38	Payroll registers	Summary schedule of earnings, deductions, accrued leave, pay stubs.	8 after termination.
2.39	Payroll Reports, Bimonthly and Quarterly		3
2.40	Payroll Year End Reports		70
2.41	Pension records		Permanent
2.42	Permanent earnings and records		8 years after termination and audit.
2.43	Priest Medical Bills		3
2.44	Property Records	Mortgage, real estate surveys, plots, plans, title search papers and certificates, zoning, appraisals.	Permanent
2.45	Retirement, Annual Withholdings		7
2.46	Retirement, Monthly Reports		5
2.47	Securities Statements Annual Reports		Permanent
2.48	Securities Statements Monthly and Quarterly Reports	Statements are received monthly and the diocese writes quarterly reports.	8
2.49	Tax Exemption Files	State exemption certificates, IRS exemption determination letter for organizations other than those listed in the The Official Catholic Directory.	Permanent
2.50	W-2, W-3, W-9, 941, 1099		4
2.51	W-4		5 after termination.



No.	Record Series	Description	Retention (in years)
	<b>Archives</b>		
3.01	Deeds of Gift	Record of transfer of physical and intellectual ownership of records or materials to the Diocese of Owensboro.	Permanent
3.02	Finding Aids	Print and electronic description and location guides of collections.	Permanent
3.03	Researcher Applications	Annual applications of researchers that include personal contact information and a brief description about their research.	Until administrative value ceases.
	<b>Bishop's Office</b>		
4.01	Annual Report to Rome	An annual report sent to Rome of diocesan statistics, including priests and religious serving the diocese, schools, sacraments administered.	Permanent
4.02	Correspondence, Routine	All incoming/outgoing written communications, including e-mails, with short-term administrative value. Examples include thank you notes, greeting cards, exchange of pleasantries, etc.	2
4.03	Correspondence, Non-Routine	All incoming and outgoing written communications, including e-mails and attachments that have long-term or permanent retention. Examples include correspondence regarding policy, procedure, or personnel.	Permanent; It is recommended that these emails be printed.

No.	Record Series	Description	Retention (in years)
4.04	Deanery Appointments	Each deanery has a three year rotation in which priests are elected and then appointed by the bishop to serve on the Deanery Council.	Permanent
4.05	Nominations and Ballots	This can include deanery appointment and election ballots.	3
4.06	Diocesan Offices and Organizations	Offices and institutions operated by the diocese. This series includes correspondence with the bishop and any reference material about said entity.	Continuous; with consultation of archivist, retain records of historical value.
4.07	Parish Files	This series consists of records regarding parishes. Included are foundation decrees, pastor assignments, installations of pastors, parochial vicars and deacons, correspondence, testimonies of suitability of visiting priests and building/renovation requests.	Permanent
4.08	Permanent Deacon Files	Candidacy documents, ministries, assignment and appointment letters of permanent diocesan deacons.	Permanent
4.09	Priest Appeals and Exceptions	Requests made by priests to administer sacraments in extraordinary circumstances (ex. Confirmation of adults outside the Easter Vigil). Requests filed by year.	Permanent
4.10	Priest Council Elections	Council members' election records. Groups arranged by date of ordination.	Permanent

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
4.11	Priest Council Rosters	Lists of priests who are members of the council.	Permanent
4.12	Priest Files	Files of diocesan priests and priests who have served in the diocese. Includes assignments, wills/vitae, faculties (including temporary), testimonials of suitability, correspondence and death notices.	Permanent
4.13	Sexual Abuse, Various	Accusations made against any priest or diocesan employee.	Permanent
4.14	USCCB Meeting Information	Information regarding the biannual USCCB meetings and correspondence.	Retain while useful.
	<b>Bishop Soenneker Home</b>		
5.01	Annual State Surveys	Resident information, statistics.	Permanent
5.02	Employee In-service	Attendees, when, material covered.	2
5.03	Employee Schedules	Includes extra chores completed by staff and kitchen cleaning lists.	Retain until administrative value ceases, and then destroy.
5.04	Incident Reports		5
5.05	Kitchen Equipment Temperature Charts		5
5.06	List of Chemicals		Retain until administrative value ceases, and then destroy.
5.07	Narcotic Book		5
5.08	Resident Eating Chart		3

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
5.09	Resident Files	Nurses/doctors notes, charts, medication administration, shower records, Resident assessment reports, "Face Sheets."	7
5.10	Resident Files, Financials		8
5.11	Resident Referrals	Residents not admitted.	Retain until administrative value ceases, and then destroy.
5.12	State Inspections	Kentucky facility inspections, regulations	8
5.13	State Lab Work	Waivers for lab work contracted by state (CLIA).	2
5.14	Vendors	Catholic Mutual, inspectors, etc.	8
	<b>Catholic Charities</b>		
6.01	Counseling Statements from Counselors	Memorandums of understandings made with counselors before working with clients.	5
6.02	Domestic Adoption Files	Applications, correspondence, medical information, and biological and adoptive parent information regarding children.	Permanent
6.03	Financial Audit	Financial audit of the adoption program.	Permanent
6.04	International Home Studies and Post Placement Reports	Home studies investigating the suitability of a home and the follow up reports after a placement. Placements are done by an outside agency.	Permanent
6.05	Non-Adoptive Clients	The files of clients who apply to be adoptive parents but do not receive a placement.	5

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
6.06	Parish Counseling Payments	Payment requests received from counseling sessions at parishes. Catholic Charities pays half and a request is sent out to the parish for half.	8
6.07	St. Benedict Joseph Shelter Resident Files	Applications, last known address, contact information, background checks, and dates they stayed as residents.	5
6.08	St. Benedict Joseph Homeless Shelter Census	Weekly number of residents.	5
6.09	St. Gerard Home Resident Files	Includes basic contact information of residents, application, proof of pregnancy, picture ID and birth certificate.	5
6.10	USCCB Reports	Reports sent yearly to the USCCB regarding the Family Reunification program.	Permanent
6.11	Victim Assistance Coordinator Notes	Notes on cases, contact information, and billings.	Keep until administrative value ceases.
	<b>Catholic Schools Office</b>		
7.01	Annual School Reports	Annual reports from each school that includes the cumulative number of students.	Permanent
7.02	Asbestos records	Annual required documentation from schools with asbestos.	Permanent
7.03	Academic Standards	The 6-yr cycle during which the academic standards for each subject is reviewed and updated as needed.	Permanent

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
7.04	Inactive Personnel Files, Copy	The personnel files of former teachers and administrators of the Catholic Schools. Includes application, transcripts, certification and contracts.	60 after termination.
7.05	Medical Records	The required initial employment medical records of Catholic Schools personnel. Retained separately from personnel file.	30 after termination.
7.06	Monthly/Annual Attendance Reports	Monthly attendance reports from each school.	5
7.07	National Catholic Education Association Data Form	Form updating school information, enrollment, professional staff and other information collected by NCEA for national census.	Permanent
7.08	Release School Records Authorization Forms	Requests for transcripts to be released.	1
17.09	Requests for Copies of Permanent Records		5
7.10	School Data Forms	Catholic Schools Office form updating school information, enrollment, professional staff and other employees.	Permanent
7.11	Student Records	Transcripts for graduated students from open and closed schools grades 1-8 and closed high schools.	Permanent. Records are scanned and the paper destroyed.
7.12	Teacher Salary Scale		3
7.13	Years Experience List	Listing of all teachers arranged according to Diocesan and Professional seniority, and verified annually by the teachers.	Continuous

No.	Record Series	Description	Retention (in years)
	<b>Cemetery</b>		
8.01	Account Cards	Record of lot ownership and payments.	Permanent
8.02	Burial Cards		Permanent
8.03	Burial Record		Permanent
8.04	Lot Contracts		Permanent
8.05	Lot Maps		Permanent
	<b>Communication</b>		
9.01	Western Kentucky Catholic Past Issues, Paper	Monthly diocesan newspaper.	Permanent; retain sample
9.02	Western Kentucky Catholic Past Issues, PDF	Monthly diocesan newspaper.	Permanent; retain sample
	<b>Computer &amp; Information Technologies</b>		
10.01	Computer Inventories	Continuous list of computers assigned to each office and employee.	Continuous
10.02	Equipment Manuals		Life of machine.
10.03	Contracts	Contracts Internet connections.	Life +3
10.04	Software Licenses	Permissions to use and install programs on a certain number of computers.	Life +3
10.05	Backup Tapes, Weekly	Backups of electronic records made on a four week cycle.	Superseded every 4 weeks.
10.06	Backup Tapes, Biannually	Backups of electronic records made biannually.	Superseded every year.

No.	Record Series	Description	Retention (in years)
	<b>Diocesan Tribunal</b>		
11.01	Canon Law Society of America Tribunal Statistics Report	Annual reports sent to the Canon Law Society of America. Includes number of cases heard, types of cases, and grounds on which the cases were heard.	Permanent
11.02	Canonical Affairs (non-marriage)	Issues and cases the bishop asks the Tribunal to undertake, such as laicization cases.	Permanent
11.03	Completed Marriage Cases: All Types	Annulment cases. Includes correspondence, testimonies.	Permanent
11.04	Diocesan Review Board	Agendas, meeting minutes, cases, notes and correspondence related to sexual abuse accusations.	Permanent
11.05	Dispensations, Permissions & Sanations	Requests by diocesan priests for dispensations, permissions, and sanations. Also includes request grants.	Permanent
11.06	Mandated Lay Advocate Listing	A list of and forms completed by laity who act as advocates to persons seeking an annulment.	Continuous, keep as necessary.
	<b>Faith Formation</b>		
12.01	Catechist Certification	Certification information for each catechist. Includes classes attended and level of certification achieved.	5 after termination
12.02	Catechist Information	A list of all diocesan catechists including their basic contact information.	Continuous



No.	Record Series	Description	Retention (in years)
12.03	Parish Religious Education Information	Records pertaining to Religious Education activities in each parish. Includes curriculum used by each parish, lists the Director of Religious Education, class times and number of students.	Continuous; with consultation of archivist, retain records of historical value.
	<b>Human Resources</b>		
13.01	Applications, Not Hired		2
13.02	Personnel files	Employment application, service record, I-9 form, disability forms, W-2, W-4.	5 after termination.
13.03	Retirement Enrollment and Beneficiary Records		5 after termination.
13.05	Time sheets		3
13.05	Workers' compensation records		5 after termination.
	<b>Music</b>		
14.01	Copyright Licenses	Licenses the diocese secures to use the intellectual property of outside entities. Can include licenses used for liturgies and publications.	Life of license +3
14.02	Mechanical Licenses	Licenses to use CDs and DVDs for events.	Life of license +3
14.03	Broadcast Licenses	Licenses for rights to broadcast events on the internet.	Life of license +3
14.03	Rental Contracts	Rental contracts for things including instruments, sound systems, and venues.	Life of contract +3

No.	Record Series	Description	Retention (in years)
	<b>Parishes</b>		
15.01	Annual Report to Diocese		Permanent
15.02	Bulletins		Permanent
15.03	Calendar of Events		1
15.04	Catechist Lists		Destroy when no longer necessary.
15.05	Charity Beneficiaries	Names on Giving Trees, etc.	Destroy when no longer necessary.
15.06	Children's Liturgy Lessons		Destroy when no longer necessary.
15.07	Collection Envelopes		1
15.08	Faith Formation, Attendance and Registration	Includes Vacation Bible School and other similar events.	2
15.09	Faith Formation, Curriculum		Destroy when no longer necessary.
15.10	Faith Formation, Reports		Permanent
15.11	Funeral Service Guidelines		Continuous
15.12	Homebound Lists		Continuous
15.13	Liturgical Minister Schedule		Destroy when no longer necessary.
15.14	Marriage Preparation Files		Permanent
15.15	Mass Intention Books & Stipends		1
15.16	Parish Directories		Permanent
15.17	Parish Histories		Permanent
15.18	Parish Registration Lists		Permanent
15.19	Parishioner Donation Tax Forms		3
15.20	Planning Day for Staff		Destroy when no longer necessary.
15.21	RCIA Formation Files	Files on persons entering the Catholic Church.	Permanent

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
15.22	Sacramental Register Letters/Certificates from other Parishes		Permanent; Keep in separate file from Registers.
15.23	Sacramental Registers		Permanent
15.24	Safe Environment Annual Reports		Permanent
15.25	Safe Environment Code of Conduct		1
15.26	Safe Environment Files		5
15.27	Safe Environment Training for Children Checklist		While current.
15.28	Safe Environment, Driver Forms		5
15.29	St. Vincent de Paul Application Form		5
15.30	Stephen Minister Application	Memorandums of understandings made with counselors before working with clients.	5
15.31	Stephen Ministry Clients		On file as needed; destroy when counseling ends. Permanently retain name and date(s) of counseling.
15.32	Time & Talent Pledges		Destroy when no longer necessary.
15.33	Vulnerable Adult Training Files		5
15.34	Vulnerable Adult Training List		While current.
15.35	Youth Ministry Permission Records		5

No.	Record Series	Description	Retention (in years)
<b>Safe Environment</b>			
16.01	Allegations of Misconduct, Original and PDF	Records of allegations against laity or cleric, victim records, investigation notes, correspondence, phone logs, settlements. Includes Form I.	75
16.02	Audits of Safe Environment Program, Original and PDF	Annual audit of safe environment program, conducted by third party. Includes Children's Permission/Opt-Out, Children's Training Totals-Parish, and Children's Training Totals-School forms.	Permanent
16.03	Background Screenings, Original	Biographical materials, criminal record report, central registry report, credit report, driving history, Screening Review Committee dispositions on adverse cases. Includes Forms J, K and L.	2 years after expiration.
16.04	Background Screenings, PDF	Biographical materials, criminal record report, central registry report, credit report, driving history, Screening Review Committee dispositions on adverse cases. Includes Forms J, K and L.	75
16.05	Safe Environment Facilitators, PDF	Training and evaluation sessions leaders/facilitators. Includes Pastor's Annual Report, Testimonial of Suitability, Sexual Abuse Policy Receipt for Clergy, Sexual Abuse Policy Acknowledgement and Codes of Conduct forms.	75

No.	Record Series	Description	Retention (in years)
	<b>Schools</b>		
17.01	Absentee File		1
17.02	Academic Standards	From the diocese.	As revised on academic standard. Ongoing.
17.03	Accreditation Reports		Permanent
17.04	After School License (if applicable)	License from state.	Life of license +3
	Asbestos Documentation		Permanent
17.05	Attendance Reports, Daily		20
17.06	Attendance Reports, Monthly	Copies sent to Diocese, County, and State.	2
17.08	Attendance Reports, Annual/Non-Public School Attendance Report	Sent to Diocese of permanent retention.	Destroy school copy after 1 year.
17.09	Attendance, Tardy or Excused Notes		2
17.10	Authorization to Dispense Medicine	Authorization from parent or guardian, in compliance with Diocesan policy described in <i>Handbook for Catholic Schools</i> .	1
17.11	Busing Transportation, Field Trips	Includes Yearly Count; Field Trips	1
17.12	Code of Ethics (Standardized Tests)	Sent to Diocese.	3
17.13	Contracts/Licenses		Life of contract/license +3
17.14	Catholic Religious Education for the Diocese of Owensboro (CREDO) certification	Certification information for each catechist. Includes classes attended and level of certification achieved.	5 after termination.
17.15	Day Care/Preschool Enrollment Records		Destroy 3 years after child's withdrawal from the day care center/preschool.
17.16	Emergency Contact Form and Notification Lists	For students, faculty and staff.	Destroy when the card has been replaced with an updated one.

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
17.17	Emergency Drills	Fire, earthquake, tornado, bomb threats, intruder on property (date, time, #people, faculty).	5
17.18	E-Rate Documentation	Discounted Internet access and internal connections to enable digital learning in classrooms.	10
17.19	Faculty Meeting Minutes and Agendas		5
17.20	Fire Inspections	Inspections of fire extinguishers, alarms, etc.	5
17.21	Fundraiser Summary Reports		5
17.22	Guidance Records		5 years after student leaves school.
17.22	Health Technician Annual Reports	Given to principal. Summary of medications administered, ill students, etc.	1
17.23	Inspection & Safety Check	School Plant & Facilities inspections.	5
17.24	Lesson Plans, Yearly	Submitted to principal.	1
17.25	Monthly Activities Calendar		5
17.26	Permission Forms		1
17.27	Personnel Files, Staff		5 after termination.
17.28	Personnel Files, Teachers and Administrators	Includes teaching certificate, CREDO data, transcripts, pre-employment materials, Safe Environment clearance, etc.	Sent to Diocese at termination.
17.29	Personnel, Medical	Physical, TB screening, etc.	30 after termination.
17.30	Pest Reports	Reports of building checks, any remedial work they had to perform.	1
17.31	School Data Form		5. Sent to Diocese.

<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
17.32	School Handbook Acknowledgement Forms	From parents and students	Destroy one year after student leaves school.
17.33	School Sign-In and Sign-out Log		1
17.34	Scrip Enrollments		1
17.35	Scrip Inventory	Weekly Printout, count gift cards, monthly SCRIP financial reports, documentation of any variances or discrepancies.	5
17.36	Sports Physicals	Sports Physicals required by KHSAA for middle and high school athletics; Sports Physicals are valid for one year from date of issuance.	Student Turns 18 Years Old +1
17.37	Standardized Test Results (School and Grade Averages)	i.e., Diocesan Assessments, ITBS, Terra Nova, Explore, Plan, ACT, ACT Aspire, PSAT, STAR (both required and optional).	5
17.38	Student Service Team Files	Meetings, how to help students.	4
17.39	Student Discipline Record		Until student leaves school.
17.40	Student Discipline Record/Major Offenses	Includes student suspensions, dismissals, incidents involving weapons, guns, drugs, alcohol, etc.	5 years after student leaves school.
17.41	Student File (Other than Student Discipline)	Registration, birth certificate, baptismal certificate, academic records, individual standardized test results.	Retain at school site until student completes the exiting grade at that school. If a student transfers to a school outside the Diocesan school system before completing the exiting grade taught at that school, a copy of the complete permanent record is forwarded to the new school. The

No.	Record Series	Description	Retention (in years)
			original permanent record remains at the school until which time the student reaches the age of the exiting grade of that school. At that time, the original permanent record is forwarded to the Catholic Schools Office, where it is permanently recorded and originals shredded.
17.42	Student Files, Medical Record	I.e., school physicals, medication, doctor orders, eye/hearing tests, immunizations.	Retain 6 years after the student leaves the school/system, and then destroy.
17.43	Teacher Grade Books	For each class.	2
17.44	Title Program	State assistance for teaching remedial subjects. Funds used for purchasing equipment, providing salaries. File includes applications and order forms for equipment.	Destroy 3 years after submission of final expenditure report and audit.
17.45	Tuition Assistance Summary Report		3
17.46	Yearbooks		Retain a selection from each year permanently. Destroy remainder.
	<b>School Food Service</b>		
18.01	Café Enterprise Lunch System	Tracks meals taken by students on a daily basis. Includes their name, pin number, and account number.	5
18.02	Cafeteria Equipment Inventory		Continuous.



<b>No.</b>	<b>Record Series</b>	<b>Description</b>	<b>Retention (in years)</b>
18.03	Cafeteria Equipment Purchase Invoices		8
18.04	Commodities Received	Commodities are foods received from the state. This series includes Form D3.	5
18.05	Form D2	Reports for claims and reimbursements sent in by the schools.	5
18.06	Free and Reduced Price Meal Applications	Annual applications from families. Includes family contact and student(s) information.	5
18.07	Meal Prices and Reimbursement Rates	Annual fee schedules.	5
18.08	Menus	Standardized menu, rotates every week.	5
18.09	Monthly School Food Reports	Monthly submitted commodities and purchased food inventories.	5
18.10	School Calendars	Dates the schools are open.	1
18.11	School Food Service Reviews	Annual reviews completed by the Director of School Food Service.	5
18.12	Summer Feeding Daily Meal Count	Breakfast and lunches served during the summer in Paducah and Henderson. List of how many participated.	5
18.13	Summer Feeding Delivery Slips	Slips indicating how much food was delivered to the schools and when.	5
18.14	Summer Feeding Locations	List of sites served.	5
18.15	Summer Feeding Trainings	Record of who attended the trainings, where and when, and what material was covered.	5

No.	Record Series	Description	Retention (in years)
	<b>St. Benedict Homeless Shelter</b>		
19.01	Check-in Sheet	Check-in sheet for each night.	2
19.02	Chore List	Chore assignment list for each night.	1
19.03	Prayer Journal	Notes written by volunteers for each night.	1
19.04	Resident Files	Includes: Orientation guidelines, biographical info, rules and regulations, warrant check, incident reports (if applicable).	8 from last stay.
19.05	Volunteer Form		5
19.06	Waiting List		Until administrative value ceases.
	<b>Stewardship</b>		
20.01	Catholic Foundation of Western Kentucky (CFWK) Annuities	Files on annuitants and a list of gifts given.	Permanent
20.02	CFWK Board Members	Names and contact information of board members.	Continuous
20.03	CFWK Charters	Parishes or Catholic institutions that set up an endowment fund. Four times annually an investment report is submitted.	Permanent
20.04	Donor Prospects	A list of potential donors for the diocese. Updated as needed.	Continuous

No.	Record Series	Description	Retention (in years)
20.05	Feasibility Studies	For the Diocesan Capital Campaign. A mailing goes out to every Catholic household requesting input.	Permanent
20.06	International Catholic Stewardship Council (ICSC) Region V (Ky. & Tenn.)	Established by the USCCB, the ICSC is a group that supports Catholic life in the region. This series consists of meeting minutes, correspondence and reference materials.	Continuous; with consultation of archivist, retain records of historical value.
20.07	Posting Records	Posting records of the DRF and Capital Campaign are kept separately. They include deposit slips, pledges made, names of donors, amounts donated, and summaries.	8; keep annual report permanently.
20.08	Posting Records (Copy) with Gift Information	Copy of Posting Records, includes the correspondence of donations received.	Destroy 1 year after campaign ends.
20.09	Sophia Award Nominations	Annual nominations of senior citizen who have contributed greatly to Catholic life. The person from each parish with the most nominations is given the Sophia Award.	3
	<b>Vocations</b>		
21.01	Seminarian Applications, Not Processed	Applications of men for the seminary who never entered.	Retain until administrative value ceases, and then destroy.
21.02	Seminarian Files, Not Ordained	Men who entered the seminary but were never ordained. Includes correspondence, grades, assignments and ministries.	60 after termination

No.	Record Series	Description	Retention (in years)
21.03	Seminarian Files, Ordained	Seminary files of men who are ordained are sent to the Archives. Their priesthood file is kept in the Bishop's Office.	At priestly ordination, send to archives.
	<b>Worship</b>		
22.01	Wedding Liturgy Guidelines	Guidelines to use with engaged couples while preparing the marriage ceremony.	Continuous
	<b>Youth Office</b>		
23.01	"At a Glance" Sheets	For closed events. Attendees are listed under their chaperones.	20
23.02	Chaperone Lists for Safe Environment	Listing of all chaperones who attend events and the dates that their Safe Environment background checks and online training expires.	3
23.03	Medical Forms, Youth and Adults	Forms A & B used for youth and adults. These forms list the medical history of attendees and chaperones, their allergies and the name of their physician.	5
23.04	Form C	Permission forms from parents for children to attend Christian Leadership Institute (CLI).	5

**Diocese of Owensboro, Kentucky  
Office of Archives and Records Management**

**Certificate of Records Destruction**

Name \_\_\_\_\_

Office \_\_\_\_\_ Date \_\_\_\_\_

<b>Record Series</b>	<b>Date Span</b>	<b>Record Format</b> (paper, electronic, etc.)	<b>Date of Destruction</b>

I certify that the records listed above have been retained for the scheduled retention period, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date