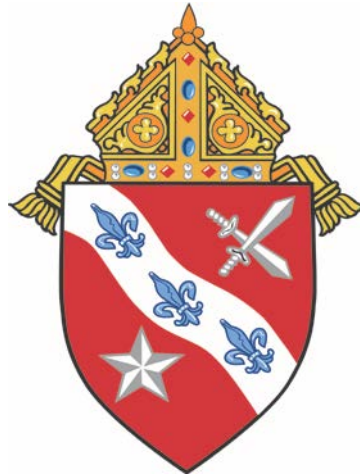


ROMAN CATHOLIC DIOCESE OF DALLAS RECORDS RETENTION SCHEDULE



Effective June 2018

CATHOLIC DIOCESE OF DALLAS PASTORAL CENTER
RECORDS RETENTION SCHEDULE
EFFECTIVE JUNE 2018

1. Introduction:

The Catholic Diocese of Dallas Records Retention Schedule for Pastoral Center Document Management (“Schedule”) is effective as of June 2018, and supersedes the version dated June 2016. This Schedule identifies specific retention periods that apply to hard copy and electronic records that require retention for legal, recordkeeping, or business policy reasons.

The Schedule lists the retention periods for the official or final version of the record regardless of media or location of storage. Official records that have met their retention period, as shown in this Schedule, should be disposed of as long as they are not subject to a legal hold or document official diocesan business that may hold historical value. Official records may be stored in physical or electronic format and may be under the control of the pastoral center or a third-party, such as an approved offsite storage vendor, outside counsel, or a public/governmental agency.

Do not retain drafts, duplicates, or convenience copies of official records longer than necessary to perform a job responsibility and in no instance longer than the retention period for the official records, unless those records are subject to a Legal Hold or document diocesan business that may hold historical value.

2. Retention Calculation:

Event Driven: All records that have event-driven retention periods, such as “Termination” or “Closed”, contain a retention period that is calculated from the event date. For example, if an employee departs in August of a year, his/her official personnel records are eligible for disposition 4 years after that date.

Non-Event Driven: If the retention period has no event, but rather a straight numerical retention period, the records must be retained for that period plus the remainder of the fiscal year in which they are created. For example, if a record is created some time during April of a year and it has a retention period of 7 years, it must be kept for the remainder of the fiscal year in which it is created plus an additional 7 years.

Permanent: If a record has a permanent retention period, it indicates that the records are historical or vital and must be retained indefinitely. However, some records may be reviewed periodically to determine if there remains any regulatory or canonical need to retain them. If not, then the disposal review and approval process will be initiated and managed in consultation with Archives and Records.

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Creation or Event	Retention	Keep Until	Explanation
4/15/2014 (Record Created)	7 years	07/01/2021	Keep full fiscal year of creation + 7 more years
1/5/2015 (Trigger Event)	Expiration + 4 years	1/6/2019	Keep 4 years after trigger event (Expiration)
1/5/2015	Permanent	TBD	Some records should be reviewed periodically to determine their status and whether they can be disposed. This does not include sacramental records which are permanent.

3. Definitions:

Disposition: The process of eliminating or deleting a record once it has met its retention period and any legal holds have been released.

Legal Hold: The procedure used to suspend disposition of certain records due to a pending or a current dispute, litigation, or investigation, even if the records are eligible for disposal.

Non-Record: External documents and publications such as trade journals, newsletters, and catalogs that do not require retention. Non-record materials should be disposed of as soon as it is no longer needed for reference. This is usually no longer than one year.

Official Records: Complete and final records that require retention for legal, recordkeeping, or business reasons. Official records provide evidence of the diocese’s business functions, policies, decisions, procedures, operations, and internal and external transactions.

Office of Record: The department responsible for maintaining the official record to comply with retention requirements as identified in this Schedule. The official records owner is typically, but not always, the department that is responsible for the creation and/or management of the record.

Record: Information (hardcopy and electronic) created, received, and used to document the business decisions, transactions, or processes of the diocese.

Unofficial Records: Records that are not required to be retained for legal, recordkeeping, or business needs unless they are subject to a legal hold. These may include drafts, duplicates, or “convenience” copies of official records. These may be disposed of when no longer referenced by the owner and in no instance should they be retained any longer than the retention period for the official records.

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4. Off-Site Storage:

Safesite is the approved off-site storage vendor for the pastoral center. If you are storing inactive records off-site with another vendor, contact Joyce Higgins for assistance. For instructions on how to prepare and index records for storage at Safesite, please contact Joyce Higgins.

5. Assistance:

If a record or document is not listed in the Schedule, or you need assistance to determine where it would be categorized, please contact Archives and Records. The Records and Archives team is here to assist you with your questions.

Date of Records Retention Schedule	Major Revisions
November 9, 2009 – Catholic Diocese of Dallas Records Retention Schedule for Pastoral Center Document Management	
June 2016 – Catholic Diocese of Dallas Records Retention Schedule for Pastoral Center Document Management	1. Modified some retention periods not subject to retention requirements. 2. Added some records categories not previously listed and removed others no longer needed.
June 2018 – Catholic Diocese of Dallas Records Retention Schedule for Pastoral Center Document Management	1. Major modification of the schedule from departmental to functional. Retention schedule review and approved by departments and senior staff. 2. Outside counsel reviewed and approved the schedule.

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

ACCOUNTING AND FINANCE					
<i>Records that support and document the financial and accounting processes of the Diocese. Includes, but may not be limited to, receivables and payables, banking, budgeting, payroll, and tax records.</i>					
Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
ACC001	Accounts Payable/Receivable	Records related to the payables and receivables processes. Does not include payables related to major building construction. SEE: PRO006 Construction and Real Estate/Construction and Remodeling.	<ul style="list-style-type: none"> • Accounts Payable Invoices • Accounts Payable Ledgers • Accounts Receivable Ledgers • Cash Books, Journals and Receipts • Check Registers • Credit Card Statements • Expense Reports 	Business Office	7 Years
ACC002	Banking	Records related to banking activities including establishment of terms and conditions for banking activities and analyses and audits of accounts.	<ul style="list-style-type: none"> • ACH Records • Cancelled Checks • Deposit Slips • Statements 	Business Office	7 Years
ACC003	Budgets and Forecasts	Records related to the budgetary planning, analyses, and financial management processes.	<ul style="list-style-type: none"> • Annual Budgets • Budget Forecasts • Operating Budgets 	Business Office	7 Years
ACC004	Financial Statements & Reports/Annual	Records related to the general ledger and year-end ledger and trial balances.	<ul style="list-style-type: none"> • Balance Sheet - Annual • Financial Statements • General Ledger – Annual • Income Statement – Annual • Trial Balance – Annual 	Business Office	Permanent

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
ACC005	Financial Statements & Reports/Interim	Records related to financial reports and statements submitted for interim periods.	<ul style="list-style-type: none"> • Balance Sheets – Interim • Financial Reports – Interim • Journal Entries • Subsidiary Journals 	Business Office	7 Years
ACC006	General Accounting	Records related to general accounting functions not covered elsewhere	<ul style="list-style-type: none"> • Accounting Project Records • Chart of Accounts • Special Accounting Functions 	Business Office	7 Years
ACC007	Investments	Records of investments made by the Diocese.	<ul style="list-style-type: none"> • Certificates of Deposit • Investment Statements • Subscription Documents 	Business Office	End of Investment + 7 Years
ACC008	Payroll	Records related to payroll accounting.	<ul style="list-style-type: none"> • Charitable Donation Deductions • Deduction Registers • Garnishment Records • Payroll Registers 	Business Office Outside Vendor	7 Years
ACC009	Tax Exemption	Records supporting the tax exemption status of the Diocese	<ul style="list-style-type: none"> • Tax Exemption Determination Letters 	Business Office	Permanent
ACC010	Tax Reporting	Records of tax reporting to state and federal agencies.	<ul style="list-style-type: none"> • Form 941 • Form 990 • W-2's • W-4's • 1099's 	Business Office	7 Years

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

ADMINISTRATION AND GOVERNANCE					
<i>Records that document administrative functions performed within the Diocese, including but not limited to, departmental management activities. Also includes records documenting the structure, official decisions, communications, and programs of the Diocese such as the Bishop's correspondence and decrees, reporting to and from the Vatican, and United States Council of Catholic Bishops (USCCB) communications.</i>					
Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
ADM001	Official Reports and Meeting Minutes/Permanent	Official reports, supporting documentation and meeting minutes produced by the Diocese that are retained permanently for historical or other needs.	<ul style="list-style-type: none"> • Ad Limina Reports (Quinquennial Reports) • Finance Committee Reports and Minutes • Pastoral Council Reports and Minutes • School Advisory Council Reports • United States Council of Catholic Bishops (USCCB) Reports 	Various	Permanent
ADM002	Official Reports and Meeting Minutes/Non-Permanent	Reports and meeting minutes produced by the Diocese that are retained for a specific period and not required for permanent retention.	<ul style="list-style-type: none"> • Annual Reports to Pastoral Center (Status Animarum) • Annual Vatican Report • Canonical Affairs Committee Reports and Minutes • Mass Counts • Non-Parish Organization Files • Official Catholic Directory Entity Financials • Official Catholic Directory Reports and Work papers 	Various	Superseded/ Obsolete + 5 Years

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
ADM003	Departmental Administration	Records related to general administrative functions and planning for all departments. NOTE: Any correspondence that may provide historical significance should be retained permanently.	<ul style="list-style-type: none"> • Department Correspondence • General Office Files • Routine Correspondence • Calendars and Appointment Books • Official School calendars • Professional Association Membership Files • Subject Files 	All Departments	MAX 3 Years
ADM004	Historical Records	Records of historical significance maintained to document the history of the Diocese. SEE ALSO: LEG006 Legal and Canonical/Sacramental Registers	<ul style="list-style-type: none"> • Annuario Pontificio Directories • Baptism Index • Clergy Card Files • Clergy Informational Files • Former Bishops' Records • General Topical, Religious Orders for Men and Women Files • Official Catholic Directories • Parish, School, Institution Histories • Texas Catholic Directories 	Archives	Permanent
ADM005	Internal Projects	Records related to internal projects not covered elsewhere.	<ul style="list-style-type: none"> • Agendas • Project plans • Studies 	Various	Project Completion + 3 Years

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
ADM006	Official Correspondence	Correspondence generated and/or received as result of conducting diocesan business that concerns policy, governance, legal matters, and directives.	<ul style="list-style-type: none"> • Bishop Decrees • Bishop Correspondence of Intervention into Practices and Policies of Entities • Holy See/Nuncio Correspondence • Legal Correspondence • Official Bishop and Diocesan Communication • Texas Catholic Conference of Bishops Correspondence • United States Conference of Catholic Bishops Correspondence 	Bishops Office Chancellor Office	Permanent
ADM007	Organizational Structure	Records documenting the organizational structure of the Diocese as well as official Catholic entities.	<ul style="list-style-type: none"> • Articles of Incorporation • Bylaws • Charters • Constitutions 	Business Office	Permanent
ADM008	Safe Environment Program	Records related to the implementation, training, screening, background checks, and other procedures designed to reduce the risk of sexual abuse of children and vulnerable adults. Does not include audits. SEE: CMP002 and CMP003 Compliance and Audits.	<ul style="list-style-type: none"> • Applications • Background Checks • Certification Records • Screenings • Forms • Interviews • References • Training records 	Safe Environment	Permanent

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
ADM009	Security	Records related to routine security actions taken to protect employees and visitors including investigations of security violations.	<ul style="list-style-type: none"> • Employee Badge Information • Security Violations • Visitor Logs 	Facilities	Act + 4 Years
ADM010	Strategic Planning	Records of strategic planning activities.	<ul style="list-style-type: none"> • Strategic Plans • Management Plans • Crisis Management Plans 	Various	Superseded + 5 years
ADM011	Policies and Procedures	Records documenting diocesan policies and procedures.	<ul style="list-style-type: none"> • All Diocesan Policies and Procedures 	Various	Superseded + 4 Years
COMMUNICATION AND PUBLIC RELATIONS					
<i>Records including official publications and marketing of the Diocese along with graphic and web design records.</i>					
COM001	Graphics and Photos/General	Records of photos and other graphics used to communicate and publicize people and event in the Diocese.	<ul style="list-style-type: none"> • Stock Photos • Event Photos • Event Graphics 	Archives (Photos only) Communications Ministries	Superseded/Obsolete
COM002	Graphics and Photos/Portraits	Official portraits of the Bishops.	<ul style="list-style-type: none"> • Bishop Portraits 	Archives Communications	Permanent
COM003	News Clippings	Newspaper clipping of official Diocese events.	<ul style="list-style-type: none"> • Newspaper Clippings 	Archives Communications	Permanent
COM004	News Releases	News releases distributed by the Diocese to official news outlets.	<ul style="list-style-type: none"> • News Releases 	Communications	Permanent
COM005	Newsletters	Newsletters published and distributed by various departments	<ul style="list-style-type: none"> • Capital Campaign Newsletters • Clergy Newsletters • Pastoral Center News 	Various	6 Years
COM006	Publications	Official Diocese publications and supporting materials.	<ul style="list-style-type: none"> • Texas Catholic • Revista Catolica 	Communications	Permanent
COM007	Subscribers	Records documenting subscribers to the Diocese newsletters and publications.	<ul style="list-style-type: none"> • Subscriber Lists 	Communications	Superseded/Obsolete

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

COMPLIANCE AND AUDITS					
<i>Records documenting and supporting internal and external compliance and audit requirements, including but not limited to, reporting to external agencies and internal entities.</i>					
Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
CMP001	Accidents and Injuries	Records of accidents and injuries sustained on Diocese properties. Does not include Workers' Compensation records. SEE: LEG003 Legal and Canonical/Claims and Litigation/Workers' Compensation	<ul style="list-style-type: none"> • Accident Reports • Accident Report Follow-up • School Accidents 	Risk Management (for pastoral center accidents only)	3 Years
CMP002	United States Conference of Catholic Bishops/Safe Environment Audit	Records documenting the USCCB audits of the Diocese safe environment program.	<ul style="list-style-type: none"> • USCCB Safe Environment Audits 	Safe Environment	Permanent
CMP003	Governmental Compliance and Reporting/General	Records created and submitted by the Diocese to governmental agencies to comply with local, state, and federal reporting requirements.	<ul style="list-style-type: none"> • EEOC Reporting • Environmental Reporting • Title IX-ESA Elimination of Sex Discrimination Certification 	Catholic Schools Office Human Resources Real Estate Risk Management	6 Years
CMP004	Financial Audits	Records of financial audits performed by outside auditors.	<ul style="list-style-type: none"> • Financial Audit Reports • Letters to Management Re: Internal Controls 	Business Office	Permanent
CMP005	Internal Operational Audits	Records of internal audits performed on various diocesan processes and programs.	<ul style="list-style-type: none"> • Internal Safe Environment Audits • Parish School Audits 	Various	5 Years

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

CONSTRUCTION AND REAL ESTATE					
<i>Records that document ownership and use of property along with construction and remodeling of buildings and facilities. Also includes environmental records of owned properties.</i>					
Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
PRO001	Boundaries	Records that document the boundaries of diocesan properties.	<ul style="list-style-type: none"> • Boundary Documents • Plats and Surveys 	Real Estate	Permanent
PRO002	Building Maintenance, Repair, and Inspection	Records related to the repair and general maintenance of facilities and facility-related equipment.	<ul style="list-style-type: none"> • Equipment Maintenance Logs • Facility Inspection Sheets • Preventive Maintenance Records 	Construction	Until Superseded or Obsolete
PRO003	Cemetery	Records documenting the ownership of cemetery plots. Does not include financial and accounting records that support this ownership: SEE: ACC001 Accounting and Finance/Accounts Payable and Receivable.	<ul style="list-style-type: none"> • Annual Reports • Board Minutes • Burial Records • Cemetery Account Cards 	Real Estate	Permanent
PRO004	Environmental	Records documenting environmental status and any issues for property owned or sold by the Diocese.	<ul style="list-style-type: none"> • Environmental Reports • Toxic Substance Reports • Hazardous Exposure Records 	Real Estate Risk Management	Permanent

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Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
PRO005	Ownership	Records documenting the acquisition and disposition of real property along with any financing involved in the transactions.	<ul style="list-style-type: none"> • Appraisals • Deeds • Easements • Rights of Ways • Floor Plans • Mortgages • Deeds of Trust • Letters of Credit • Surveys and Plot Plans • Title Papers 	Real Estate	Permanent
PRO006	Construction and Remodeling	Records of all building or remodeling of diocesan facilities.	<ul style="list-style-type: none"> • Architectural Drawings • Blue Prints • Bishop Approvals • Building Permits • Construction Contracts and Payment Records 	Construction	Permanent
PRO007	Vehicle Ownership	Records related to vehicle licensing, destinations, fuel purchases, and registration.	<ul style="list-style-type: none"> • Vehicle Certificate of Insurance • Vehicle Registrations • Vehicle Maintenance 	Risk Management	Life of Vehicle + 4 Years
DEVELOPMENT AND FUNDRAISING					
<i>Records that document efforts to raise funds used to support the ongoing development of the Diocese including capital campaign, major gifts, the annual golf tournament, planned-giving, and the Bishop's Annual Appeal. Does not include financial transaction records resulting from the activities of this function. SEE: ACCOUNTING AND FINANCE</i>					
DVP001	Pledges and Cash Gift/Bishop's Annual Appeal/General	Records related to pledges made to the Bishop's Annual Appeal.	<ul style="list-style-type: none"> • Pledge cards (BAA) • Ledgers 	Development	2 Years

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
DVP002	Pledges and Cash Gifts/Bishop's Annual Appeal/Reconciliations	Records that document the reconciliation of these payments	<ul style="list-style-type: none"> • Reconciliations(BAA) 	Development	7 Years
DVP003	Pledges and Cash Gifts/Capital Campaign/General	Records related to pledges made to the capital campaign	<ul style="list-style-type: none"> • Pledge cards (OFOF) 	Development	Campaign End + 3 Years
DVP004	Pledges and Cash Gifts/Capital Campaign/Reconciliations	Records that document the reconciliation of these payments.	<ul style="list-style-type: none"> • Reconciliations (OFOC) 	Development	7 Years
DVP005	Donor Lists	Records of donors participating in diocesan fundraising events including names, contact information, and giving history.	<ul style="list-style-type: none"> • Donor lists 	Development (Database)	Permanent
DVP006	Grant Projects	Grant records related to educational agencies and non-educational agencies. Grants are for the advancement of Catholic schools and the advancement and growth of the Diocese. Also includes grants provided to the ministries.	<ul style="list-style-type: none"> • Grant applications • Grant reports • Grant responses • Ministry Grants • Photos 	Development Ministries	Permanent
DVP007	Restricted Gifts	Records documenting operational funds gifted to the Diocese.	<ul style="list-style-type: none"> • Gift pledges 	Development	Permanent

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EDUCATION					
<i>Records documenting the support and oversight provided to all Catholic schools within the Diocese. Does not include staff or teacher personnel records. SEE: HUMAN RESOURCES.</i>					
Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
EDU001	Achievement Test Results	Records documenting student achievements.	<ul style="list-style-type: none"> • Achievement Test Results 	Catholic Schools Office	10 Years
EDU002	National Catholic Education Association Databank Reports (NCEA)	Reports submitted to the NCEA and individual school reports.	<ul style="list-style-type: none"> • Diocesan NCEA Reports • Individual School Reports 	Catholic Schools Office	Permanent
EDU003	Official Student Enrollment	Records of student enrollment	<ul style="list-style-type: none"> • Student Enrollment Records 	Catholic Schools Office	Permanent
EDU004	School Employee Roster	Official roster of school employees.	<ul style="list-style-type: none"> • Employee Rosters 	Catholic Schools Office	Permanent
EDU005	Student Retention Data	Record documenting students in the Diocese school system. NOTE: Only for closed schools where records do not go to the parish	<ul style="list-style-type: none"> • Student Records for John XXIII, St. Peter's, Sacred Heart, St. Ann's, St. Francis, and St. Edward's 	Catholic Schools Office	Permanent
EDU006	Teacher Salary Scales	Records of teacher salary data.	<ul style="list-style-type: none"> • Teacher Salary Scales 	Catholic Schools Office	15 Years
EDU007	Texas Catholic Conference of Bishops Education Department (TCCB ED)	Records in compliance with the TCCB ED.	<ul style="list-style-type: none"> • Annual Report for Continued Accreditation • School Self-Study Document • VT Consensus Report • School Required Action • Interim Reports • Health Manual 	Catholic Schools Office	Permanent

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HUMAN RESOURCES					
<i>Records that document hiring, contracting, and benefit management for pastoral center lay staff. Also includes management of benefits for all diocesan personnel.</i>					
Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
HUM001	Benefit Enrollment and Participation	Records related to the enrollment and participation of employees and clergy in the benefit programs offered by the Diocese.	<ul style="list-style-type: none"> • Benefit Enrollment • Open Enrollment 	Human Resources/Outside Vendor	Permanent
HUM002	Benefit Plan Administration and Development	Records documenting development of any benefit plans offered by the Diocese.	<ul style="list-style-type: none"> • 403B Retirement Plan • Life Insurance Policies • Benefit Plan Descriptions • Benefit Plan Annual Reports 	Human Resources/Outside Vendor Business Office	Life of Plan + 6 Years
HUM003	Compensation Planning	Records related to the determination and monitoring of salary structures, incentive programs, and job classifications.	<ul style="list-style-type: none"> • Compensation Plans 	Human Resources	Superseded + 4 years
HUM004	Personnel Records/Clergy	Records documenting the history of clergy personnel during their tenure in the Diocese.	<ul style="list-style-type: none"> • Clergy Assignment Letters • Deacon Personnel Records • Ordination Records • Priest Files • Seminarian Files 	Archives (deceased clergy files) Chancellor Office Diaconate Vicar for Clergy Office of Vocations	Permanent

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
HUM005	Personnel Records/Lay	Records providing a history of employment from initial hiring, including promotions, performance development, and transfers. Does not include teacher service records. SEE: HUMAN RESOURCES: Teacher Service Records	<ul style="list-style-type: none"> • Applications • Attendance Records • Employee Contracts • Performance Reviews • Principal Contracts • Promotions and Transfers • Resumes • Salary Information 	Human Resources	Termination + 4 Years
HUM006	Recruitment and Selection	Records related to personnel requests, job applications, advertising, and interview criteria.	<ul style="list-style-type: none"> • Advertising • Applications (non-hires) • Interviews • Recruitment Logs • Resumes (non-hires) 	Human Resources	2 Years
HUM007	Employee Eligibility	Records related to employee proof of residency as well as immigration and naturalization records.	<ul style="list-style-type: none"> • I-9 Forms • Immigration Forms 	Human Resources Dioconate Vicar for Clergy	Termination + 4 Years
HUM008	Job Descriptions	Records related to job descriptions such as summary of position responsibilities, requirements, and reporting relationships.	<ul style="list-style-type: none"> • Job Descriptions • Position Descriptions 	Human Resources	Superseded + 4 Years
HUM009	Medical Records	Records of employee medical complaints, incidents, injuries, etc. Does not include Workers' Compensation Claims. SEE: LEG003 Legal and Canonical/Claims and Litigations/Workers' Compensation	<ul style="list-style-type: none"> • Employee Medical Records 	Risk Management NOTE: Official Medical Records stored by third party.	7 Years
HUM010	Organizational Charts	Records related to the structure and staffing of departments within the pastoral center.	<ul style="list-style-type: none"> • Organizational Charts • Staffing Charts 	Human Resources Information Technology	Superseded/ Obsolete + 4 Years

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INFORMATION TECHNOLOGY					
<i>Record documenting the management and support of the pastoral center's technology resources.</i>					
Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
ISY001	Disaster Recovery Plans	Records related to the development and implementation of plans used in the event of a disaster or system failure.	<ul style="list-style-type: none"> • Business Contingency Plans • Contingency Planning Documents • Disaster Recovery Plans 	Business Office	Superseded/ Obsolete + 4 Years
ISY002	System Technical Administration	Records used to provide details and a history of the technical environment including changes, problems, additions/deletions and operating status. Also includes equipment inventory.	<ul style="list-style-type: none"> • Access Logs • Asset Tracking and Inventory • Network Security Logs • Security Administration 	Business Office Database	Superseded/ Obsolete + 4 Years
LEGAL AND CANONICAL					
<i>Records of both civil and canonical matters including contracts and agreements, claims and litigations, as well as records that document and support the interpretation and application of laws of the church including marital invalidity and other sacramental matters.</i>					
LEG001	Claims and Litigations/General	Record documenting claims or litigation involving the Diocese. Does not include workers comp claims. SEE: LEG003 Claims and Litigation/Workers' Compensation.	<ul style="list-style-type: none"> • Discovery • EEOC Claims • Subpoenas • Pleadings • Settlement Agreements (Non-Major) • Unemployment \Claims 	Chancellor	Settlement + 4 Years
LEG002	Litigation and Claims/Major Settlement Agreements	Records of settlements resulting from major claims or litigations that require ongoing compliance.	<ul style="list-style-type: none"> • Settlement Agreements (Major) 	Chancellor	End of Compliance + 4 Years
LEG003	Claims and Litigations/Workers' Compensation	Record documenting workers' comp claims for the pastoral center staff.	<ul style="list-style-type: none"> • Workers' Compensation Claims 	Risk Management	Settlement + 12 Years

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
LEG004	Contracts/General	Records of agreements between the Diocese and a third party. Does not include real estate or construction contracts. SEE: PRO006 Construction and Property/Construction and Remodeling.	<ul style="list-style-type: none"> • Advertising Contracts • Agreements • Amendments to Contracts • Capital Campaign Agreements • Consulting Agreements • Contracts • Educational Institution Contracts • Leases 	Business Office Various	Termination + 4 Years
LEG005	Insurance Policies	Records of insurance coverage for the Diocese.	<ul style="list-style-type: none"> • Insurance Binders • Insurance Policies 	Risk Management	Permanent
LEG006	Sacramental Registers	Records and registers required by canon law to support parishioner's status.	<ul style="list-style-type: none"> • Baptism Registers • Confirmation Registers • Death Registers • First Communion Registers • Marriage Registers 	Archives has partial for some closed churches and microfilm of baptisms from before 1980-1978 and a database of ones after 1978 to present	Permanent
LEG007	Preuptial Files	Records relating to all prenuptial papers involving parishes in the Diocese required for submission to the tribunal for permissions and dispensations for marriages.	<ul style="list-style-type: none"> • Form II, affidavit of free status for each party • Form III granting dispensations and permissions • Form V providing all detailed information of the marriage 	Tribunal	Permanent NOTE: 6 years in paper then digitize

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
LEG008	Marriage Nullity Files/Final Decisions (Cases Receiving Affirmative Decision)	Decisions relating to all marriage cases (administrative and judicial) that received an affirmative outcome.	<ul style="list-style-type: none"> • First instance defender' briefs • First Instance judge's decisions • Second instance defender's briefs • Second instance judge's decisions • Decrees/decisions settling incidental matters • Petrine decrees/decisions from Rome 	Tribunal	Permanent
LEG009	Marriage Nullity Files/Acta (Cases Receiving Affirmative Decision)	Documents, except final decisions, in all marriage cases (administrative and judicial) that received affirmative outcomes. (See above re: final decisions.)	<ul style="list-style-type: none"> • Petitions for investigation of a marriage bond • Signed procedural decrees • Initial letter/citation to respondent • Confessions/declarations of petitioner and respondent • Testimonies of witnesses • Medical Records • CPS Reports 	Tribunal	Settlement + 20 Years

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
LEG010	Marriage Nullity Files (Cases NOT Receiving Affirmative Decisions)	Documents in all marriage cases (administrative and judicial) that did not receive affirmative outcomes.	<ul style="list-style-type: none"> All first and second instance defender's briefs and judge's decisions All documents useful if case reintroduced 	Tribunal	Permanent
LEG011	Trusts and Wills	Records documenting establishment of trusts as well as wills that outline terms of use of funds for the Diocese.	<ul style="list-style-type: none"> Trust Agreements Wills 	Business Office	Permanent
MINISTRY					
<i>Records that support ministerial activities of the Diocese including family life/marriage, worship, catechetical services, pastoral, juvenile, persons with disabilities, as well as youth, young adult and campus ministries.</i>					
MIN001	Catechetical Certification	Records documenting the training and certification of catechists.	<ul style="list-style-type: none"> Attendance Records Certifications 	Catechetical Services	Life of Student
MIN002	Course Evaluations	Evaluations of all ministry courses.	<ul style="list-style-type: none"> Evaluations 	Ministries	3 Years
MIN003	Events/General	Records of less significant and/or annual and local events sponsored by the Diocese. Does not include significant diocesan events that may hold historical value. SEE: MIN004 Ministry/Events/Significant.	<ul style="list-style-type: none"> Annual Event Records 	Ministries Office of Delegate for Legislative Advocacy and Ecumenism	5 Years
MIN004	Events/Significant	Records of significant events sponsored and/or co-sponsored by the Diocese. These are events that hold historical value.	<ul style="list-style-type: none"> Diocesan Events Major Events 	Ministries Office of Delegate for Legislative Advocacy and Ecumenism	Permanent

Roman Catholic Diocese of Dallas - Pastoral Center Records Retention Schedule

Record Series Code	Record Series Title	Record Series Description	Example Records	Office of Record	Retention Period
MIN005	Event Permission Forms	Forms completed and submitted by persons attending ministry events	<ul style="list-style-type: none"> • Code of Conduct • Incident Reports • Medical Releases • Waivers of Liability 	Ministries Third Party Vendor	7 Years
MIN006	Scholarship and Tuition Assistance	Records of scholarship awards and tuition assistance provided by the diocesan ministries.	<ul style="list-style-type: none"> • Scholarships • Tuition Assistance 	Ministries	5 Years
MIN007	Training Materials	Training materials developed and maintained for ministry courses.	<ul style="list-style-type: none"> • Handbooks • Manuals • Training courses 	Ministries	Superseded + 4 Years