



# RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

Catholic Archdiocese of Seattle  
VERSION 1.09 (2021)

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS



**AUTHORIZATION:**


Version 1.9 of the Records Retention Schedule for Archdiocesan Catholic Schools has been approved by the following:



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## WHAT IS A FUNCTIONAL RECORDS RETENTION SCHEDULE?

The *Records Retention Schedule for Archdiocesan Catholic Schools* (hereafter called the *Schedule*) is a document that lists all of the records series produced throughout the diocese. It explains how long each records series must be kept and describes what to do with the records once their retention period is over. It is organized by business or pastoral function instead of by *hierarchy* or *department* as has been done in the past. This new method more accurately reflects the functions and mission of our schools regardless of position, department, or office.

A functional records retention schedule allows a great deal of flexibility for the inevitable changes that occur in organizations. The major functions will remain relatively stable over time despite changing office responsibilities.

Another benefit of the functional approach to scheduling records series is that all records series are centralized in one document. Other institutions often require users to consult individual schedules in addition to a general schedule (containing institutionally common records series).

Offices create many common record types (e.g., subject files, meeting records, training files, event records, etc.). By grouping those common records types together in one document, this *Schedule* facilitates efficient staff use and also improves the management and continued maintenance of records.

## HOW DO I USE THIS SCHEDULE?

The *Schedule* is organized by function, **not** by department. By looking at the table of contents, you can place your records first within one of the 16 main functions. Think how the record you want to find is used. Does it have to do with an Asset? Does it support Administration? Once you've isolated the main function to which your records relate, refer to the subdivisions called "Activities" within each function to further refine your search. You can also refer to the [index](#) to help you find the correct records series.

Next, determine whether you have an "official record" or an information copy. Do others in your office retain the same record? Are you the main recipient of an email or have you been carbon copied (cc'd)? Talk to your supervisor or workgroup to determine if your copy is the official record and not just an informational copy. Informational copies can be deleted when they are no longer needed for business or an action has been taken. For further assistance on using the schedule, please contact [Archives & Records Management](#).

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**EXPLANATION OF FUNCTIONS**

<p><b><u>100 ACADEMIC ADMINISTRATION</u></b> The function of assessing students' academic progress and developing academic courses and lesson plans.</p>	<p><b><u>800 INFORMATION MANAGEMENT</u></b> The function of managing school information, including forms and publications, mail services, records administration, marketing, and public relations.</p>
<p><b><u>200 ADMINISTRATION MANAGEMENT</u></b> The function of administering school programs, offices, boards, groups, and events.</p>	<p><b><u>900 SPIRITUAL DIRECTION</u></b> The function of providing spiritual guidance to individuals, couples, and families.</p>
<p><b><u>300 ASSET MANAGEMENT</u></b> The function of managing the physical assets of a school (facilities, land, equipment, vehicles, and supplies). Includes: asset acquisition, maintenance, inventories, sale, and disposal.</p>	<p><b><u>1000 STUDENT SERVICES</u></b> The function of providing assistance to students regarding issues of discipline; physical, mental, and emotional health; and enrollment. Also includes the coordination of student athletics.</p>
<p><b><u>400 FINANCIAL ADMINISTRATION</u></b> The function of managing financial resources, obligations, and monetary infrastructure.</p>	<p><b><u>1100 TECHNOLOGY MANAGEMENT</u></b> The function of acquiring, developing, implementing, testing, supporting, and monitoring computer, networking, imaging, telecommunication, and other technologies.</p>
<p><b><u>500 PERSONNEL ADMINISTRATION</u></b> The function of recruiting, selecting, assessing, and managing employees and volunteers.</p>	<p><b><u>1200 TRAINING</u></b> The activity of organizing, coordinating, and administering training programs such as conferences, seminars, certifications, classes, workshops, and similar educational gatherings. Does not include academic instruction.</p>
<p><b><u>600 LITURGICAL ADMINISTRATION</u></b> The function of coordinating sacred musical performances and liturgical celebrations.</p>	<p><b><u>1300 LEGAL</u></b> The function of managing the civil legal affairs of the Archdiocese, including: litigation and legal advice. Includes internal and outside counsel.</p>
<p><b><u>700 PERFORMANCE &amp; THEATRICS</u></b> The function of coordinating secular music and theatrical performances. Includes: pageants, plays, and musicals. Does not include liturgical musical performances.</p>	



## EMAIL RETENTION

Email messages are records which may contain evidence of school actions, decisions, approvals, or transactions. Email does **NOT** have a blanket retention period. Like all records, they are scheduled according to the business or pastoral function to which they relate and not by their format. Many of the records series listed in this schedule are likely to contain email. The *content* of the email determines whether and how long a particular email message should be retained. For example, if an email message is related to a project, then refer to the retention period for projects. Please refer to the [Transitory Records Guidelines](#) for information on what type of material can be safely destroyed when obsolete or superseded. Please contact [Archives & Records Management](#) for more information.

## LEGAL HOLDS: PRESERVING RECORDS DURING LITIGATION OR INVESTIGATIONS

When litigation, an audit, or investigation occurs or is reasonably anticipated, a written notice (referred to as a “Litigation Hold Notice” or “Legal Hold”) will be issued to appropriate staff. All records, whether official records, information copies, working documents, or transitory records, potentially relevant to the matter must be retained until the Litigation Hold is terminated. The effect of this notice is to freeze or suspend the destruction or alteration of records, electronically stored information, and other materials identified in the notice.

Records relevant to the matter may **not** be destroyed – even if the retention period in this retention schedule has expired or expires during the Litigation Hold – until the action is resolved and a notice terminating the Hold has been issued. There are serious legal consequences for individuals that destroy or alter records under a Litigation Hold or know of a pending issue and do not halt destruction.

## SUBSTANTIVE & TRANSITORY RECORDS GUIDELINES

### TRANSITORY RECORDS

**Transitory records** are routine documents of temporary and short-term value in any format that are made or received in the course of diocesan business or pastoral work. Transitory records are not included in the Records Retention Schedule.

- Transitory records can be destroyed once you have used them or acted on them because they don't contain information that will be needed in the future.
- Transitory records do **not**
  - set policy,
  - establish guidelines or procedures,
  - identify the person(s) who participated in a business activity or had knowledge of an event, and/or
  - make or document decisions.

### Types of Transitory Records

#### 1. Transitory Correspondence

- Memos and postings that do **not** relate to the functional responsibility of the department (e.g., announcements of meetings, reservations, confirmations, itineraries, acknowledgements, form-letter thank you notes, etc.)
- Notes and memos of short-term interest involved in answering routine requests for information or publications, in requesting or transmitting routine data to other offices, in acknowledging materials/information received, or in scheduling meetings, reservations, conferences, etc.
- Letters of transmittal that do not add information to the transmitted materials
- Routine requests for information that require no administrative action, policy decision, special compilation or research

#### 2. Duplicates

- Extra copies of correspondence, forms, bulletins, statistics, reports, hardcopy mailing lists, etc. used only for reference or informational distribution

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- Duplicate/extra copies of records created and circulated for reference purposes, convenience, reading copies or follow-up; branch-wide memos; "all staff" communications; notices of special events; and routine administration issues
- Copies of electronic publications produced outside the office and no longer needed
- Electronic documents which are used to produce a hard copy version which is maintained in the hard copy files
- Email CCs (carbon copies) and BCCs (blind carbon copies) where you have been copied for informational purposes only and are not expected to take action yourself

### 3. Personal Documents

- Email messages and documents used for casual or personal communications
- To-do lists

### 4. Drafts and Working Materials

- Preliminary drafts and annotated drafts where annotations become a part of a subsequent version and are not evidence of decisions related to the evolution of the final document
- Rough notes, preliminary or informal drafts used in the preparation of correspondence, reports, memoranda, statistics, or other records that are of no value in documenting data collection or in showing how policies or programs were developed or implemented

### 5. Other

- Document errors: incorrect versions of documents, forms or reports that had to be regenerated in order to correct errors in typing, data entry, spelling, grammar, or format
- Information or forms which are used to compile or update another record and which will be obsolete once the update or data entry is validated and backup procedures are completed. For example: parishioner registrations.
- Informational resources about outside organizations, individuals, or subjects once these resources have served their purpose
- Letters of transmittal which do not add any information to the transmitted materials
- Copies of financial documents already maintained by Finance and Administration
- Miscellaneous notices or memoranda which do not relate to the functioning of the agency (notice of community affairs, employee meetings, holidays, etc.)
- Preliminary drafts, reports, work sheets, spreadsheets, presentations, and informal notes which do not represent basic steps in the preparation of record documents

## RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

### SUBSTANTIVE RECORDS

**Substantive records** are documents that are made or received in the normal course of diocesan business or pastoral work. These records, however, are important to the ongoing functioning of the school. They tell us why things were done, why decisions were made, how money was spent, etc. Substantive records are included in the records retention schedule.

**Substantive records** are documents in any format that:

- relate to the key activities undertaken to accomplish a mission or mandate,
- give evidence of decisions and policies,
- prove that *significant* transactions occurred (or did not occur),
- provide information needed for future decision/policy making, and
- support programs and projects.

**Examples of substantive include:**

- Official copies of agendas and meeting minutes of management teams, committees, councils, and administrative groups
- Correspondence related to official business communications at the executive level, to and from others inside and outside the organization
- Documentation of an office or department's decisions and operations
- Final reports or recommendations of diocesan agencies
- Grant proposals, approvals, reports
- Legal, financial, and property records
- Official copies of policy, program, and procedure directives, such as manuals, bulletins, orders, rules, directives, or policy statements
- Official copies of press releases
- Transmittal emails containing no substantive information but which are sent to provide attachments that fall into one of the categories above

## GUIDELINES FOR MANAGING THE ELECTRONIC RECORDS OF SEPARATED EMPLOYEES

### 1. General

- 1.1 The Archdiocese of Seattle defines *records* as documents in any format that are made or received in the course of business or pastoral affairs and saved for future reference, action, or evidence. Aside from more familiar paper-based documents, records include: word processing files, databases, spreadsheets, instant messages and chats, websites, digital images, video files, websites, and sound recordings. Please consult [Archives & Records Management](#) if you would like more information.
- 1.2 Electronic records storage sources that are subject to these guidelines include:
- o Desktop, laptop, and tablet computers,
  - o Servers,
  - o Cell/smart phones,
  - o Instant messaging,
  - o PDAs (personal digital assistant),
  - o Loose media (CDs, zip drives, etc.),
  - o Voicemail recorders,
  - o Printers, and
  - o Data backups.

### 2. Voluntarily Separated Employees

- 2.1 The computer hard drives and other digital assets of *voluntarily* separated employees (when there is no indication to school administrators that the employee is dissatisfied, hurt, or angry) can be repurposed or destroyed once records contained on them have been reviewed with records retention schedules, and materials with ongoing retention requirements or “SCHOOLS ARCHIVES” designation have been transferred (migrated) to a network server or external storage device.

### 3. Involuntary or Contentious Resignations

- 3.1 Any time there is an involuntary separation or contentious resignation from a position at a school, the institution should be prepared for the possibility of litigation. When this occurs, all electronic records on the employee’s computer hard drives (PC and laptop), external storage devices, optical media, and smart phones should be centralized and preserved until any anticipated or impending litigation has been resolved or the statute of limitations has expired. [Hardcopy records should also be centralized and preserved].

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- 3.2 To ensure the admissibility of electronic records in legal proceedings, prevent any deletions or changes to them by disabling the employee's access to all digital technologies either before or simultaneously with their final meeting with supervisors or administrators. It is also important that no other staff open these files, as doing so can change system generated metadata used for authentication in litigation. Instead, make a copy of the file(s) or folder(s) in a separate location, and provide access to the copy, **not** the original. Laptops and other technology assets should be returned to the employee's supervisor before or immediately after the severance meeting.
- 3.3 In addition to preserving the electronic records of the subject of the separation or resignation, those of the subject's supervisors and other personnel determined by school administration to be key to any possible future litigation should be preserved in accordance with this policy. Contact the [Chancellor](#) for advice in determining which personnel and the extent of information that should be included in the preservation tasks. For guidance on selecting acceptable methods of preserving electronic data and selecting external storage devices for preservation please contact [Archives & Records Management](#).
- 3.4 All data on mobile smart phones issued by a school should also be retained on a backed-up server or external storage device after an employee's involuntary separation. All email communications should be retained, including but not limited to the inbox, outbox, sent mail, trash, and any subfolders and email communications therein.
- 3.5 Before wiping, repurposing, or disposing of digital technologies, the data contained on them should be migrated to a secure network server or acceptable external storage device. Please contact the [Director of Archives & Records Management](#) to schedule this. In highly contentious matters a mirror image should be produced through a specific method of copying that replicates bit for bit, sector for sector, all allocated and unallocated space, including slack space, on a computer hard drive. This will contain all the information in the computer, including embedded, residual, and deleted data. This requires specialized hardware and software and should not be attempted by school staff. If possible, contact [Archives & Records Management](#) to schedule this *before* the severance meeting so that a plan can be in place to affect the collection and terminate the employee's access to the data concurrent or immediately after the severance meeting.
- 3.6 A hold should also be placed on any routine records destruction for the employee's email account. Additionally, email communications produced after the separation by parties identified by the Chancellor's Office and Legal Counsel to be "key" to any anticipation litigation should also be preserved with a hold placed on those individuals' email account's destruction schedule. Contact [Archives & Records Management](#) to establish a protocol and method for downloading and preserving various email sources. [Staff should *never* use personal email accounts for school business, as doing so may cause the entire account to be subject to discovery during litigation.]

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- 3.7 It is advisable to conduct an annual audit of software, email services, etc. to prepare for quick implementation of legal holds. Include all departments and entities in the audit. This is important to ensure accurate preservation and to verify that the data can be accessed in the future. For example, legacy software might also need to be preserved, so that data created using that software can be accessed. Additionally, certain server configurations are not easily reconstructed if the server is turned off.
- 3.8 Add the following to a departing employee questionnaire or interview:
- Request for a list of electronic assets and location of all electronic records, including email.
  - Request for login IDs and passwords for systems and applications.
  - Confirmation that the employee does not have any confidential, proprietary, or business-related records (paper or electronic) in his/her possession.
  - Confirmation that the employee did not use personal email services to conduct business on behalf of the Archdiocese of Seattle. If they did, they should be instructed not to access that information until a plan is in place to preserve it and remove it from their possession.
  - For highly contentious matters, contact the [Chancellor](#) or [Director of Archives & Records Management](#) for a “duty to preserve” notice to prepared for the employee at the final meeting.

### 4. Data Storage, Migration, and Disposal (Involuntary and Voluntary Separations)

#### 4.1 *Migration:*

- For assistance in migrating electronic records to other media please contact the [Archives & Records Management](#).

#### 4.2 *Storage:*

- Electronic records transferred to network servers or external storage devices for the purpose of litigation preservation should be included in the institution’s backup processes.
- If stored on a network server, access to these materials should be restricted to the pastor, PAA, or principal. If stored on an external storage device, it should be kept in a locked place with access limited to the pastor, PAA, or principal. This is to preserve confidentiality and to safeguard against spoliation of evidence in legal proceedings.

#### 4.3 *Disposal:*

- Contact the [Chancellor](#) or the [Director of Archives & Records Management](#) to determine when it is safe to destroy any materials, and then securely delete data on the computer hard drive. Secure deletion is any method which ensures that deleted data cannot be recovered using system functions or commercially available programs. Examples of computer secure deletion include:

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- Using software programs designed for secure data deletion (There are free and low-cost programs of this type available on the internet.)
  - Reformatting the hard drive (Do not use quick or high-level reformatting, which does not actually delete the data itself)
  - Physically destroying the hard drive
- After transferring the data on mobile devices to a network server or external storage device, erase the data from the device by performing a hardware reset to factory settings, and subsequently verifying that the data has been erased by visual inspection.



# 100 ACADEMIC ADMINISTRATION

The function of assessing students' academic progress and developing academic courses and lesson plans.

## 105 Course Planning & Development

The activity of drafting, proposing, tracking, and accepting academic courses.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS105-05	ACADEMIC ANNUAL CALENDARS	Permanent	SCHOOL ARCHIVES
SS105-10	ACADEMIC LESSON PLANS	Academic year + 1 year	RECYCLE
SS105-15	COURSE ADDITIONS, DELETIONS & CHANGES	Academic year + 4 years	RECYCLE
SS105-20	COURSE CATALOGS	Permanent	SCHOOL ARCHIVES
SS105-25	COURSE PROPOSALS & OUTLINES	For proposals accepted: Academic year + 4 years For proposals not accepted: End of academic year	RECYCLE
SS105-30	CURRICULUM SUMMARIES & GUIDES	Permanent	SCHOOL ARCHIVES

## 110 Student Evaluation

The activity of assessing academic progress through awarding grades, gathering statistics, and recording attendance.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS110-05	CUMULATIVE STUDENT RECORDS – The official student record. Includes, but not limited to: application materials, cumulative record card, formal changes to grades, correspondence with parents, standardized test scores, report cards, and awards.  NOTE: If student a withdraws, then a copy of the student's cumulative folder may be sent to the receiving district.	After student graduates + 3 years or after student withdraws + 3 years  Cumulative Record Card: Permanent	SHRED/DELETE  SCHOOL ARCHIVES
SS110-10	ATTENDANCE RECORDS – May include, but not limited to: planned absence forms, written excuses, and correspondence.	Academic year + 4 years	SHRED/DELETE

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	Records must include: academic year, grade, and teacher name.		
SS110-15	CHRISTIAN SERVICE LEARNING RECORDS – May include, but not limited to: Christian Service Learning Hours Verification forms and Christian Service Learning Pre-Approval Application forms.	Graduation or withdrawal + 3 years	SHRED/DELETE
SS110-20	ENROLLMENT & DEMOGRAPHIC REPORTS – Data provided by each school to the NCEA and/or Washington State Board of Education and/or Office of the Superintendent of Public Instruction, including enrollment/tuitions information, student and staffing demographics, and student participation in selected education programs.	Academic year + 3 years	DELETE
SS110-25	GRADE BOOKS – Records must include: academic year, grade, and teacher name.	For elementary schools: Academic year + 1 year  For secondary schools: Academic year + 5 years	SHRED/DELETE
SS110-30	GRADE CHANGE RECORDS – Records documenting changes to grades before they are entered onto cumulative student record card.	For elementary schools: Academic year + 1 year  For secondary schools: Academic year + 5 years	SHRED/DELETE
SS110-35	GRADUATE LISTS – Annual list of graduates.	Permanent	SCHOOL ARCHIVES
SS110-40	STUDENT ASSESSMENT DATA & REPORTS – Records are annual standardized student assessment test results.  May include: data summary and school analyses.	Academic year + 6 years	SHRED/DELETE
SS110-45	TRANSCRIPT REQUEST AUTHORIZATIONS	Resolution of request or release of record + 3 years	SHRED/DELETE

**115 School Accreditation**

The activity of ensuring the accreditation of schools by the Western Catholic Education Association and the Northwest Association of Accredited Schools.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS115-05	SCHOOL ACCREDITATION PROCESS RECORDS	Academic year + 12 years	SHRED/DELETE
SS115-10	WASHINGTON STATE PRIVATE SCHOOL APPROVALS	Academic year + 2 years	DELETE

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## 200 ADMINISTRATION MANAGEMENT

The function of administering school programs, offices, boards, groups, and events.

### 205 Administration, General

The activity of directing the day-to-day operations of schools. Includes records common to most school offices.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS205-05	OFFICE MEETING MATERIALS – Routine office or staff meeting materials and notes. Includes any audio or video recordings. For board and committee meeting materials, see <a href="#">SS210-05</a> .	Calendar year + 3 years	RECYCLE
SS205-10	PROJECT RECORDS – Records of major projects such as system implementations and strategic initiatives. (Not to be confused with ongoing programs).  May include, but not limited to: work plans, status reports, meeting materials and notes, requests for proposal, project plans, financial records, and related correspondence.	Completion of project + 6 years	RECYCLE
SS205-15	RECORDS DESTRUCTION CERTIFICATES – Records documenting the destruction of substantive school records in compliance with the Records Retention Schedule.	Permanent	SCHOOL ARCHIVES
SS205-20	REQUESTS FOR BASIC/ROUTINE INFORMATION – Records are routine requests for information about schools, including business hours, location, contact information, website links, meeting times, etc.	Obsolete or superseded	RECYCLE
SS205-25	SCHEDULING – APPOINTMENTS & MEETINGS – Records include meeting invitations accepted/declined, calendar items, notifications, and related correspondence.	Obsolete or superseded	RECYCLE
SS205-30	SUBJECT OR REFERENCE FILES – Collections of resources related to research done by departments or programs.  May include, but not limited to: correspondence, photographs, external and internal publications, biographical files, vendor catalogs, reports, external advertising and marketing information, legislation	Obsolete or superseded, review annually	RECYCLE

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	information, presentation preparation, document drafts, newspaper clippings, working files, and issue files.		
SS205-35	TRANSITORY RECORDS – See Transitory Records Policy <a href="#">above</a> . Please use the series number and title for destruction certificates.	Obsolete or superseded	RECYCLE
<p><b>210 Boards, Committees, Commissions, Councils &amp; Lay Groups</b>                      The activity of coordinating and/or staffing boards, committees, councils, commissions, lay groups, societies, and clubs.</p>			
SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS210-05	BOARDS, COMMITTEES, COMMISSIONS, COUNCILS & LAY GROUPS MEETING MATERIALS – Includes: school societies, student leadership, societies, and clubs. Records include any audio or video recordings.	Permanent	SCHOOL ARCHIVES
SS210-10	CONSTITUTIONS & BYLAWS – Formal adopted constitutions and bylaws for all organizations and groups.	Permanent	SCHOOL ARCHIVES
<p><b>215 Contracts/Agreements</b>                      The activity of managing contracts, agreements and all processes involved in their development.</p>			
SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS215-05	CHILD PHOTO/MEDIA RELEASES	Retain for 6 years after image/recording no longer being used then destroy.  Denials of Permissions: retain until end of year	SHRED/DELETE
SS215-10	CONTRACTS, SERVICE OR RENTAL AGREEMENTS & WARRANTIES – Records related to the servicing, leasing, rental and contracting of buildings, services, and equipment.	Termination of contract + 6 years	SHRED/DELETE
SS215-15	HOLD HARMLESS/INDEMNITY AGREEMENTS	Termination of contract + 6 years	SHRED/DELETE
SS215-20	INDEPENDENT CONTRACTOR AGREEMENTS	Termination of contract + 6 years	SHRED/DELETE
SS215-25	TEACHER CONTRACTS/COVANENTS	This forms part of the permanent personnel file, see <a href="#">SS505-55</a> for a full list of included documents	SCHOOL ARCHIVES

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**220 Establishment**

The activity of establishing or changing authority of employees and the structure of a school. Includes: incorporating, registering power of attorney, mapping organizational structures, and delegating executive or canonical responsibility.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS220-05	ARTICLES OF INCORPORATION	Permanent	SCHOOL ARCHIVES
SS220-10	CANONICAL APPOINTMENTS	Permanent	SCHOOL ARCHIVES
SS220-15	DECREES OF ESTABLISHMENT	Permanent	SCHOOL ARCHIVES
SS220-20	POWER OF ATTORNEY	Permanent	SCHOOL ARCHIVES

**225 Events, Field Trips & Retreats**

The activity of planning, coordinating, and delivering events, field trips, celebrations, anniversaries, fundraisers, galas, bazaars, festivals, benefits, and retreats. Includes: the arrangement of site reservations, permits, transportation and parking, entertainment and presenters, set up and clean up, and catering. Does not include the coordination of [Board, Committees, Commissions, Councils & Lay Groups \(210\)](#) or [Liturgical Administration \(600\)](#). For event insurance or incidents/accidents, see [Risk Management & Insurance \(235\)](#).

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS225-05	EMERGENCY TREATMENT RELEASE FORMS – Forms used for events granting parish staff or volunteers the authority to administer various medical/health care treatments to minors.	End of event or class + 8 years	SHRED/DELETE
SS225-10	EVENT AGENDAS	Obsolete or superseded + 1 year	RECYCLE/DELETE
SS225-15	EVENT PLANNING RECORDS – Includes site reservations, permits, transportation and parking, entertainment, presenters, set up and clean up, and catering.	Obsolete or superseded	RECYCLE
SS225-20	EVENT REGISTRATION RECORDS (ADULT) – For event registrations for minors, see Youth Event Registration Records ( <a href="#">SS225-35</a> ).	Adult registrations: end of event + 2 years	SHRED/DELETE
SS225-25	FIELD TRIP & RETREAT AUTHORIZATIONS	Academic year + 6 years	SHRED/DELETE
SS225-30	PERMITS & LICENSES – Includes: charitable gaming permits and liquor licenses.	Expiration of permit or license	RECYCLE
SS225-35	YOUTH EVENT REGISTRATION RECORDS – Events, conferences, day camps, overnight events, missions, projects, galas, festivals, field trips, retreats, and celebrations, which have been organized or administered	End of event + 6 years	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

	<p>by the school specifically for youth. Records may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Parent/legal guardian permission slip forms,</li> <li>• Class rosters,</li> <li>• Emergency information,</li> <li>• Sign-up sheets,</li> <li>• Codes of behavior or conduct, Liability waivers, and</li> <li>• Registration forms.</li> </ul> <p>For emergency releases, see Emergency Treatment Release Forms (<a href="#">SS225-05</a>) and for transportation records, see Youth Transportation Records (<a href="#">SS225-40</a>).</p>	<p>If accident/incident occurs but no claim is filed, retain for 3 years after individual reaches age 18.</p> <p>If incident/accident occurs, see <a href="#">SS235-15 CLAIMS FOR DAMAGES</a></p>	
SS225-40	<p>YOUTH TRANSPORTATION RECORDS – Records concerning the transportation of minors by bus or private vehicle. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Sign-up sheets and registration forms</li> <li>• Parent/legal guardian permissions (approval for use of private vehicles, waiver of liability, emergency information, etc.)</li> <li>• Driver/chaperone/ lists and information</li> </ul> <p>This retention policy applies only to cases where <i>the school</i> organizes transportation.</p>	<p>End of field trip + 6 years</p> <p>If accident/incident occurs but no claim is filed, retain for 3 years after individual reaches age 18.</p>	SHRED/DELETE

**230 Policies, Guidelines & Procedures**

The activity of developing and implementing policies, procedures, directives, guidelines, and process documents.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS230-05	ACCIDENT/SAFETY PREVENTION MANUALS, FINAL	Permanent	SCHOOL ARCHIVES
SS230-10	ACCOUNTING POLICIES & PROCEDURES	Obsolete or superseded + 6 years	RECYCLE
SS230-15	DISASTER/EMERGENCY PREPAREDNESS PLAN, FINAL	Obsolete or superseded + 6 years	RECYCLE
SS230-20	POLICIES, GUIDELINES & PROCEDURES DEVELOPMENT RECORDS: SCHOOLS – May include, but not limited to: substantive drafts, comments, notes, and resources.	Obsolete or superseded + 6 years	RECYCLE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS230-25	POLICIES, GUIDELINES & PROCEDURES (CHANCERY) – Documents developed by Chancery offices for implementation at schools.	Obsolete or superseded + 6 years	RECYCLE
SS230-30	POLICIES, GUIDELINES & PROCEDURES (SCHOOLS) – Final approved policy documents developed and implemented by schools.	Permanent	SCHOOL ARCHIVES
<p><b>235 Risk Management &amp; Insurance</b> The activity of identifying and mitigating risks.</p>			
SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS235-05	<p>ACCIDENTS/INCIDENTS – NO CLAIM FILED – Records relating to accidents/incidents involving individual(s) not employed by the Archdiocese of Seattle, and where a formal claim for damages is <b>not</b> filed. Records include, but are not limited to, reports, notes, photographs, correspondence, and investigations.</p> <p>For Accidents or Incidents where a claim is filed, see <a href="#">SS235-15 CLAIMS FOR DAMAGES</a>.</p> <p>Excludes hazardous materials accidents and incidents covered by <a href="#">PS235-10</a>.</p>	<p>If under the age of 18: 3 years after individual reaches age 18.</p> <p>If over the age of 18: 3 years after the incident.</p>	SHRED/DELETE
SS235-10	ACCIDENTS/INCIDENTS (HAZARDOUS MATERIALS) – Incidents including both employees, volunteers, and the public. Records include: accident report, response, investigation, correspondence, notes, medical or physical examinations.	<p><b>No</b> human exposure: 50 years after date of incident/accident</p> <p>Human exposure: 100 years after individual’s date of birth or 30 years after individual’s death, whichever is sooner.</p>	SHRED/DELETE
SS235-15	<p>CLAIMS FOR DAMAGES – Accident/Incident Claims which are called into the Archdiocese’s insurance company and for which a formal case is opened. Records include, but are not limited to: reports, correspondence, investigations, notes, testimony, and photographs.</p> <p>For Accidents or incidents where no claim is filed, see <a href="#">SS235-05</a>.</p>	<p>Close of claim + 6 years</p> <p>Claims regarding children under the age of 18: 3 years after individual reaches age 18.</p>	SHRED/DELETE
SS235-20	EMERGENCY DRILL REPORTS	Calendar year + 3 years	RECYCLE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS235-25	INSURANCE RECORDS – Includes: property, special event, and supplemental.	For policies purchased after 1990: Termination of policy + 6 years  For policies purchased before 1990: Send to Chancery Archives for review.	SHRED/DELETE  ARCHIVAL REVIEW
SS235-30	SEX ABUSE NOTIFICATIONS – Records include, but are not limited to, intake forms, letters, electronic messaging (emails, text messages, voice messages), counseling notes/reports, and documentation of verbal conversations.	Permanent	SCHOOL ARCHIVES

## 300 ASSET MANAGEMENT

The function of managing the physical assets of a school (facilities, land, equipment, vehicles, and supplies). Includes: asset acquisition, maintenance, inventories, sale, and disposal.

### 305 Design & Construction

The activity of designing, constructing, or remodeling buildings, structures, and infrastructures owned, leased, or otherwise occupied by a school.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS305-05	BLUEPRINTS & ARCHITECTURAL PLANS	Completion of project + 6 years, then contact Chancery Property and Construction	SCHOOL ARCHIVES
SS305-10	PROPERTY & CONSTRUCTION PROJECT FILES – Records relating to the design, permitting, and construction or additions/remodels (affecting the structure of the building/facility). Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Project meeting minutes, approval, program review and/or comments</li> <li>• Plans and drawings (including “as-built” and “as-designed” drawings and shop drawings affecting the structure or operating systems of the building)</li> <li>• Permits and Environmental Impact Statements (EIS)</li> </ul>	Life or sale of facility + 6 years, then contact Chancery Property and Construction	SCHOOL ARCHIVES



RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

	<ul style="list-style-type: none"> <li>• Specifications, design calculations, contracts, test results, reports modification proposals and manuals</li> <li>• Photographs/video showing major/significant stages of the project</li> <li>• Allotment and payment records and related documentation</li> </ul>		
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**310 Inventory**

The activity of detailing or itemizing goods, materials, and resources.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS310-05	INVENTORY OF FILING SYSTEMS & RECORDS	Obsolete or superseded + 1 year	SHRED/DELETE
SS310-10	INVENTORY OF FIXED ASSETS – Contains a list of each asset as well as a description of asset, purchase/acquisition date, date asset put into service, original cost, location of asset, estimated useful life, and date of previous inspection.	Obsolete or superseded + 4 years	SHRED/DELETE
SS310-15	INVENTORY OF MATERIALS, EQUIPMENT & SUPPLIES	Calendar year + 4 years	SHRED/DELETE

**315 Maintenance**

The activity of repairing, inspecting, or servicing assets owned by a school. Includes: buildings, vehicles, and equipment.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS315-05	BUILDING INSURANCE INSPECTION RECORDS – Records are the results of insurance company inspections of all properties.	Superseded + 6 years	SHRED/DELETE
SS315-10	BUILDING SAFETY PERMITS/ INSPECTIONS – Fire extinguishers, alarms, sprinklers, suppression systems; heating, ventilation, air conditioning systems; boilers/hot water tanks, elevators, etc. Does not include hazardous waste inspection/ abatement records. See ACCIDENTS/INCIDENTS (HAZARDOUS MATERIALS) - <a href="#">SS235-10</a> .	<b>Retain</b> for 6 years after inspection superseded ( <u>and</u> conditions of inspection satisfied <u>and</u> violations corrected/ resolved), then Destroy	SHRED/DELETE
SS315-15	HAZARDOUS MATERIAL SAFETY DATA SHEETS (MSDS) & ASBESTOS REPORTS	Permanent	SCHOOL ARCHIVES

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS315-20	<p>MAINTENANCE HISTORY RECORDS – MAJOR AND/OR REGULATED – Records of major and/or regulated maintenance on buildings, equipment, and any vehicles performed by maintenance staff, vendors, or contractors. May include: logs, reports, and related correspondence/email.</p> <p>Included in this series are: accident/traffic collision records, as well as any inspection documentation or safety analysis records.</p>	Disposal or sale of property, equipment, or vehicle + 6 years	SHRED/DELETE
SS315-25	<p>MAINTENANCE &amp; SERVICE REQUESTS (MINOR AND/OR UNREGULATED) – Records documenting minor and/or unregulated repairs and services performed by maintenance staff, vendors, and third parties. Includes custodial, floor and window cleaning, lawn/gardening, painting, and vehicle and equipment oil changes, tune-ups, filters, tires, etc.</p> <p>Records may include: email calendar appointments, events, work orders, and tasks as well as email.</p>	<p>Calendar year + 3 years</p> <p>If security/safety issues, then retain indefinitely</p>	SHRED/DELETE
SS315-30	OPERATING MANUALS	Disposition or sale of facility or equipment	SHRED/DELETE
SS315-35	OPERATING PERMITS	Expiration of permit + 6 years	SHRED/DELETE

**320 Operations**

The activity of managing the day-to-day usage of buildings, vehicles, and equipment.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS320-05	BUILDING ACCESS PRIVILEGE RECORDS	Obsolete or superseded	SHRED/DELETE
SS320-10	HEALTH DEPARTMENT FOOD SAFETY INSPECTION REPORTS	Retain until next inspection, then destroy	SHRED/DELETE
SS320-15	KEY CHECK OUT RECORDS	Termination of employee + 6 years	SHRED/DELETE
SS320-20	KEY LOGS	Obsolete or superseded	SHRED/DELETE
SS320-30	PARKING PERMIT LISTS	Obsolete or superseded	RECYCLE
SS320-35	VEHICLE TITLES & REGISTRATIONS	Disposition or sale of vehicle + 4 years	SHRED/DELETE
SS320-40	VISITOR REGISTRATION LOGS	Calendar year + 4 years	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

**325 Security**

The activity of protecting employees and staff, physical goods, and resources against danger, loss, or threat.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS325-05	POLICE NOTIFICATIONS OF LOCAL JUVENILE & SEX OFFENDERS	Obsolete or superseded	SHRED/DELETE
SS325-10	POLICE REPORTS	Resolution of incident + 6 years	SHRED/DELETE
SS325-15	SECURITY ROUNDS LOGS	Calendar year + 1 year	SHRED/DELETE
SS325-20	SECURITY/INCIDENT REPORTS – Excludes all injuries to individuals. See <a href="#">SS235-05</a> & <a href="#">SS235-15</a> for accidents and injuries to individuals.	Resolution of incident + 6 years	SHRED/DELETE
SS325-25	SURVEILLANCE RECORDS	If no incident occurs, creation date + 30 days  If incident, resolution of incident + 6 years	SHRED/DELETE  DELETE

**400 FINANCIAL ADMINISTRATION**

The function of managing a school’s financial resources, obligations, and monetary infrastructure.

**405 Accounting**

The activity relating to the creation of financial records of business transactions and the preparation of statements concerning the assets, liabilities, and performance. For Accounting Policies, see [Policies, Guidelines, & Procedures \(230\)](#).

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS405-05	ACCOUNTS PAYABLE & RECEIVABLE – Includes cancelled checks.	Fiscal year + 6 years	SHRED/DELETE
SS405-10	AUDIT REPORTS	Permanent	SCHOOL ARCHIVES
SS405-15	CASH RECEIPTS	Fiscal year + 6 years	SHRED/DELETE
SS405-20	CHECK REQUISITIONS	Fiscal year + 6 years	SHRED/DELETE
SS405-25	GENERAL LEDGERS	Permanent	SCHOOL ARCHIVES
SS405-30	JOURNAL ENTRIES	Fiscal year + 6 years	SHRED/DELETE
SS405-35	VOIDS/STOP PAYMENTS	Fiscal year + 6 years	SHRED/DELETE
SS405-40	WIRE TRANSFERS	Fiscal year + 6 years	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

**410 Authorization**

The activity of granting and/or receiving permission or approval in relation to financial management.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS410-05	APPROVALS FOR COMPANY CREDIT CARDS & STORE CREDIT APPLICATIONS	Obsolete or superseded + 6 years	SHRED/DELETE
SS410-10	AUTHORIZED SIGNATURE LISTS	Obsolete or superseded + 6 years	SHRED/DELETE

**415 Banking**

The activity of transacting monetary exchanges with outside financial institutions.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS415-05	BANK/INVESTMENT STATEMENTS & RECONCILIATIONS	Fiscal year + 6 years	SHRED/DELETE
SS415-10	CHART OF ACCOUNTS	Fiscal year + 6 years	SHRED/DELETE

**420 Budget Development**

The activity of determining estimates of future revenue and expenditures.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS420-05	BUDGET DEVELOPMENT WORKING FILES	Obsolete or superseded	SHRED/DELETE
SS420-10	BUDGET, FINAL	Permanent	SCHOOL ARCHIVES

**425 Development & Fundraising**

The activity of soliciting and gathering contributions of money and/or other resources through capital campaigns, auctions, fundraising events, special collections, and estate planning.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS425-05	BEQUESTS, TRUSTS & ENDOWMENTS	Permanent	SCHOOL ARCHIVES

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS425-10	CAMPAIGN PLANNING RECORDS – May include: promotional materials, event planning materials, prospective donor lists, photographs, and sample pledge cards and forms.	End of campaign + 2 years	SHRED/DELETE
SS425-15	DONATION RECORDS	Calendar year + 6 years	SHRED/DELETE
SS425-20	DONATION SUMMARY REPORTS	Calendar year + 6 years	SHRED/DELETE
SS425-25	DONOR DATABASE RECORDS – Include: contact information, demographic information, educational and business information, how donators wish to be recognized, donation amount, history of gifts, attendance at activities, as well as other attributes relevant to the donator's relationship with the Archdiocese of Seattle.	Calendar year + 6 years or obsolete or superseded, whichever is longer	DELETE
SS425-30	EMPLOYER MATCHING GIFTS	Calendar year + 6 years	SHRED/DELETE
SS425-35	FUNDRAISING GOAL WORKSHEETS	Calendar year + 6 years	SHRED/DELETE
SS425-40	FUNDRAISING PLEDGE RECORDS – May include, but not limited to: pledge cards, payment forms, credit card or electronic fund transfer forms, batch records, cash receipts journal, pledge status reports, summary reports, ad-hoc reports, donor gifts, and pledge adjustment documentation.	Calendar year + 6 years  If using pledge forms for data entry into a parish data system, then pledge forms are transitory and database is official record.	SHRED/DELETE

**430 Grants**

The activity of giving or receiving grant funds.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS430-05	GRANT RECORDS – Prepared by or received by schools for the dissemination of funds.  Includes, but not limited to applications, status reports, supporting documentation, and related correspondence.	Grants issued: Grant period + 6 years  Applications denied: Calendar year + 1 year	SHRED/DELETE
SS430-10	GRANT RECORDS – FULCRUM FOUNDATION – Records pertaining to awarded funds to the Fulcrum Foundation.  May include, but not limited to: status updates, application materials, reports, information about the granting institution, and financial statements.	End of grant period (and any subsequent renewal period) + 6 years  Applications denied: Calendar year + 1 year	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS430-15	SCHOOL GRANTS APPLICATION MATERIALS – Include: application and report of income and expenses.	Grants issued: Grant period + 6 years  Applications denied: Calendar year + 1 year	SHRED/DELETE
SS430-20	TEACHER GRANT APPLICATION MATERIALS – Include: project proposals, teacher's personnel information, statements of commitments, and budget proposals.	Grants issued: Grant period + 6 years  Applications denied: Calendar year + 1 year	SHRED/DELETE
SS430-25	TUITION ASSISTANCE ACCEPTANCE LETTERS	Grant period + 6 years	SHRED/DELETE
SS430-30	TUITION ASSISTANCE APPLICATION MATERIALS – Include: application forms, principal's authorizations, tax information, supplemental evidence, and evidence for special circumstances.	Grants issued: Grant period + 6 years  Applications denied: Calendar year + 1 year	SHRED/DELETE

**435 Payroll**

The activity relating to the monetary compensation of employees on a periodic basis.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS435-05	MANUAL CHECKS SUMMARY REPORTS	Fiscal year + 4 years or until completion of audit	SHRED/DELETE
SS435-10	PAYROLL DEDUCTION REQUESTS	Termination of authorization + 6 years	SHRED/DELETE
SS435-15	PAYROLL REGISTERS*  *Includes: Wage and Tax Registers	Permanent	SHRED/DELETE
SS435-20	PAYROLL VENDOR REPORTS (ADP) – Records generated automatically by payroll system pre-January 1, 2014.	Master Control, Monthly/Quarterly reports: End of fiscal year  Last Master Control report of Calendar year: Permanent  Pre-2005 reports: retain permanently to provide proof of employment (if no personnel file exists)  General informational/reference reports: Obsolete or superseded	SHRED/DELETE  SCHOOL ARCHIVES  SCHOOL ARCHIVES  SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS435-25	TIMECARDS (ADP)	If used for retirement verification: Calendar year + 60 years.  If NOT used for retirement verification: Calendar year + 4 years	SHRED/DELETE
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**440 Student Tuition**

The activity of coordinating financial aid assistance to students and payment for tuition fees.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS440-05	FINANCIAL AID/SCHOLARSHIP RECORDS – Applications and supporting documentation for financial assistance provided by a school or another external source.	Termination of financial aid or scholarship + 6 years  For financial aid or scholarship <b>not</b> awarded: Calendar year + 1 year	SHRED/DELETE
SS440-10	MEAL ASSISTANCE APPLICATION RECORDS	Academic year + 6 years	SHRED/DELETE
SS440-15	TUITION & COMMITMENT CONTRACTS – Signed by parents annually upon child’s acceptance.	Fulfillment of contract + 6 years	SHRED/DELETE

**445 Tax**

The activity of filing any required annual or special-purpose tax returns.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS445-05	BUSINESS & OCCUPATIONAL (B & O) TAX RETURNS	Calendar year + 6 years	SHRED/DELETE
SS445-10	EXCISE TAX RETURNS	Calendar year + 6 years	SHRED/DELETE
SS445-15	INTERNAL REVENUE SERVICE (IRS) RECORDS: <ul style="list-style-type: none"> <li>• 1099 Form</li> <li>• 941 Tax Quarterly Form</li> <li>• Absolution Letters</li> <li>• CP-2100A Notice</li> <li>• W-2 Form (Wage &amp; Tax Statement)</li> <li>• W-4 Form (Employee’s Withholding Allowance Certificate)</li> </ul>	Calendar year + 6 years	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

	<ul style="list-style-type: none"> <li>W-9 Form (Request for Taxpayer Identification Number &amp; Certification)</li> <li>990-T Unrelated Business Income Tax</li> </ul>		
SS445-20	PROPERTY TAX EXEMPTION RENEWAL RECORDS – Records are WA State Department of Revenue forms, tax statements, and correspondence used in the renewal process of a parish or school’s tax exempt status.	Calendar year + 6 years	SHRED

## 500 PERSONNEL ADMINISTRATION

The function of recruiting, selecting, assessing, and managing employees and volunteers.

### 505 Personnel Management

The activity of documenting an individual’s employment. Includes volunteers.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS505-05	BACKGROUND CHECKS, POSITIVE CRIMINAL HISTORY RESULTS – for records of Negative Criminal History Results, see <a href="#">SS505-55</a> for more information.	Permanent (see <a href="#">SS505-55</a> Personnel Files)	SCHOOL ARCHIVES
SS505-10	CONFIDENTIALITY AGREEMENTS – Records are contracts signed by staff that ensure that personnel, legal, and health information will not be disclosed outside of office-approved situations. See <a href="#">SS505-55</a> for more information.	Separation of employee + 1 year, then incorporate into employee’s personnel file	SCHOOL ARCHIVES
SS505-15	EMPLOYEE DISPUTE RESOLUTION RECORDS	Resolution of dispute + 6 years  If employee terminated: Permanent	SHRED/DELETE
SS505-20	EMPLOYEE PERFORMANCE EVALUATIONS	Permanent (see <a href="#">SS505-55</a> Personnel Files)	SCHOOL ARCHIVES
SS505-25	FAMILY MEDICAL LEAVE RECORDS*– Records allow for employees to take leaves of absence in certain circumstances without losing their employment or benefits.  May include: application, correspondence with physician, physician notes and letters, and release to return to work.	Separation of employee + 7 years	SHRED/DELETE



RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

	*Records must be kept in a file separate from general personnel file.		
SS505-30	FIRST AID CERTIFICATION RECORDS	Expiration of certification + 6 years	SHRED/DELETE
SS505-35	HIPAA TRAINING CERTIFICATES	Permanent (see <a href="#">SS505-55</a> Personnel Files)	SCHOOL ARCHIVES
SS505-40	I-9 EMPLOYMENT ELIGIBILITY RECORDS	Date employee hired + 3 years or termination of employment + 1 year, whichever is longer	SHRED/DELETE
SS505-45	PARENT VOLUNTEER ROSTERS	Calendar year + 1 year	SHRED/DELETE
SS505-50	PARENTAL COMPLAINTS	Resolution of complaint + 3 years  If related to alleged abuse or misconduct: Permanent	SHRED/DELETE  SCHOOL ARCHIVES
SS505-55	PERSONNEL FILES – Records of school employees and volunteers. May include, but not limited to: <ul style="list-style-type: none"> <li>• Applications/resumes</li> <li>• Background checks/criminal history results</li> <li>• Confidentiality agreements</li> <li>• Continuing education certificates</li> <li>• Correspondence/email</li> <li>• Directory information</li> <li>• Employee personnel policy agreements</li> <li>• HIPAA training certificates</li> <li>• Lay off/severance notification letters</li> <li>• Letters of reference</li> <li>• Pay rate/history</li> <li>• Performance evaluations</li> <li>• Personnel action forms</li> <li>• Personnel status tracking records</li> <li>• Transcripts</li> </ul>	Permanent  For a complete list of Personnel File Record Keeping Requirements for Catholic Schools, contact the Office of Catholic Schools.	SCHOOL ARCHIVES
SS505-60	RETURNING TEACHER COMMITMENTS	Until teacher annual contract is signed + 1 year	SHRED/DELETE
SS505-65	SAFE ENVIRONMENT TRAINING PROOF OF COMPLETION	Before 1 July 2015: Permanent. Printed proof must be included in Personnel File (see <a href="#">SS505-55</a> ).  After 1 July 2015: Permanent. Records maintained by Virtus.	SCHOOL ARCHIVES

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS505-70	TERMINATED EMPLOYEE CHECKLIST & SUPPORTING DOCUMENTATION	Permanent	SCHOOL ARCHIVES
SS505-75	TERMINATED EMPLOYEE RECORDS – See Personnel Files ( <a href="#">SS505-55</a> )	Permanent	SCHOOL ARCHIVES
SS505-80	VOLUNTEER SIGN-IN SHEETS	Calendar year + 4 years	SHRED/DELETE
SS505-85	WORKERS' COMPENSATION CLAIM RECORDS	For claims awarded: 75 years after close of claim  For claims denied: 40 years after close of claim	SHRED/DELETE
SS505-90	WORKERS' COMPENSATION REPORTS FOR SELF-INSURED BUSINESSES	Fiscal year + 6 years	SHRED/DELETE

**510 Recruitment & Hiring**

The activity of screening, selecting, and employing individuals. Includes: volunteers and visiting and temporary religious community members.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS510-05	EMPLOYEE RECRUITMENT RECORDS – Records related to the recruitment and selection of employees, job description, and determination of rate of pay.  Records may include: summary of position responsibilities, requirements, applications (not hired) and rejection letters, wage rate, and reporting relationships.	Position filled + 3 years  Applications of hired individuals are transferred to personnel file.	SHRED/DELETE

**600 LITURGICAL ADMINISTRATION**

The function of coordinating sacred musical performances and liturgical celebrations. For training materials for new ministers, see [Training \(1200\)](#).

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS600-05	CALENDAR OF LITURGIES	Permanent	SCHOOL ARCHIVES
SS600-10	LITURGICAL MINISTER'S SCHEDULE	Permanent	SCHOOL ARCHIVES
SS600-15	ORDERS OF CELEBRATION/ORDOS	Permanent	SCHOOL ARCHIVES
SS600-20	PROGRAMS/HANDBILLS	Permanent	SCHOOL ARCHIVES
SS600-25	REPERTORY CALENDAR	Permanent	SCHOOL ARCHIVES

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS600-30	REPRINT LICENSES	Expiration of license + 2 years	SHRED/DELETE
SS600-35	USAGE LICENSES	Expiration of license + 2 years	SHRED/DELETE
SS600-40	WORSHIP AIDS	Obsolete or superseded	SHRED/DELETE

## 700 PERFORMANCE & THEATRICALS

The function of coordinating secular musical and theatrical performances. Includes: pageants, plays, and musicals. Does not include musical performances related to the Mass.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS700-05	MUSIC PERFORMANCE RECORDS	Obsolete or superseded	SHRED/DELETE
SS700-10	REPERTORY CALENDARS	Permanent	SCHOOL ARCHIVES
SS700-15	REPRINT LICENSES	Expiration of license + 2 years	SHRED/DELETE
SS700-20	THEATRICAL/MUSIC PROGRAMS	Permanent	SCHOOL ARCHIVES
SS700-25	USAGE LICENSES	Expiration of license + 2 years	SHRED/DELETE

## 800 INFORMATION MANAGEMENT

The function of managing school information, including forms and publications, mail services, records administration, marketing, and public relations.

### 805 Library Administration

The activity of administering library resources.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS805-05	LIBRARY CATALOG	Obsolete or superseded	SHRED/DELETE
SS805-10	LIBRARY CIRCULATION RECORDS – Records tracking materials checked in/out of library. Includes: membership roster and statistics.	Obsolete or superseded	SHRED/DELETE

### 810 Marketing

The function of promoting school programs, services, drives, and events.

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS810-05	LOGOS – Organizational & Departmental	Permanent	SCHOOL ARCHIVES
SS810-10	MARKETING MATERIALS – May include, but not limited to: <ul style="list-style-type: none"> <li>• Advertisements,</li> <li>• Audio/Video tape cassettes,</li> <li>• Brochures,</li> <li>• Catalogs,</li> <li>• CD-ROMs,</li> <li>• Digital Images,</li> <li>• Direct Mailings,</li> <li>• Films and Presentations,</li> <li>• Fliers,</li> <li>• Manuals,</li> <li>• Pamphlets,</li> <li>• Photographic Prints and Negatives, and</li> <li>• Posters.</li> </ul>	Permanent	SCHOOL ARCHIVES

**815 Public Statement**

The activity of releasing information to student families and to the general public.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS815-05	PRESS RELEASES & PUBLIC SERVICE ANNOUNCEMENTS	Permanent	SCHOOL ARCHIVES

**820 Publications & Memorabilia**

The activity of drafting, producing, and managing public documents, including printed and electronic matter, broadcast media, and website material.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS820-05	ANNIVERSARY BOOKS AND VIDEOS	Permanent	SCHOOL ARCHIVES
SS820-10	BACCALAUREATE & COMMENCEMENT PROGRAMS	Permanent	SCHOOL ARCHIVES
SS820-15	BULLETINS, NEWSLETTERS, NEWSPAPERS & MASS MAILINGS	Permanent	SCHOOL ARCHIVES
SS820-20	HISTORICAL NEWSPAPER CLIPPINGS	Permanent	SCHOOL ARCHIVES

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS820-25	HISTORICAL PHOTOGRAPHS	Permanent	SCHOOL ARCHIVES
SS820-30	PARENT & STUDENT HANDBOOKS	Permanent	SCHOOL ARCHIVES
SS820-35	PERIODICALS – Publications produced by a school.	Permanent	SCHOOL ARCHIVES
SS820-40	SCHOOL DIRECTORIES	Permanent	SCHOOL ARCHIVES
SS820-45	SCRAPBOOKS	Permanent	SCHOOL ARCHIVES
SS820-50	WEBSITE RECORDS	Capture before major content change	SCHOOL ARCHIVES
SS820-55	YEARBOOKS/ANNUALS	Permanent	SCHOOL ARCHIVES
SS820-60	YEARBOOKS/ANNUALS PHOTOGRAPHS	Permanent	SCHOOL ARCHIVES

### 825 Research & Planning

The activity of conducting statistical research, and developing, monitoring, auditing and reviewing plans, long term strategies, functions and goals of offices, departments, projects, and programs.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS825-05	ANNUAL REPORTS	Permanent	SCHOOL ARCHIVES
SS825-10	CENSUS RECORDS (FACULTY AND STUDENT)	Permanent	SCHOOL ARCHIVES
SS825-15	SURVEYS, STUDIES, REPORTS & RECOMMENDATIONS	Permanent	SCHOOL ARCHIVES

### 900 SPIRITUAL DIRECTION

The function of providing spiritual guidance to individuals and families.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS900-05	SPIRITUAL DIRECTION NOTES	Obsolete or superseded	SHRED/DELETE
SS900-10	SPIRITUAL DIRECTION RESOURCES	Obsolete or superseded	SHRED/DELETE
SS900-15	SPIRITUAL DIRECTION STATISTICS	Obsolete or superseded	SHRED/DELETE
SS900-20	TELEPHONE CALL LOGS	Obsolete or superseded	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

## 1000 STUDENT SERVICES

The function of providing assistance to students regarding issues of discipline; physical, mental, and emotional health; and enrollment. Also includes the coordination of student athletics.

### 1005 Athletics

The activity of coordinating athletic teams and sporting events.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS1005-05	ATHLETIC ELIGIBILITY RECORDS – Includes: physicals, insurance, grade point, appeals, emergency information, student registration, and transportation plan.	Academic year + 3 years	SHRED/DELETE
SS1005-10	ATHLETIC REGISTRATION RECORDS – Records relating to youth registration for team sports.  May include: rules and regulations, team registration form (school, grade levels, coach’s name, fees paid), payment records, code of conduct agreement, and pastor-sign off sheet.	Retain until minor is age 18 + 3 years	SHRED/DELETE
SS1005-15	PARENT/LEGAL GUARDIAN CONSENT FORMS – This includes any records where parents/legal guardians are giving consent to travel to, register for, or participate in athletic events.	Academic year + 6 years	SHRED/DELETE
SS1005-20	SPORTING EVENT SCHEDULES	Academic year + 3 years	RECYCLE
SS1005-25	TEAM ROSTERS	Academic year + 3 years	RECYCLE
SS1005-30	TEAM SPORT CERTIFICATION RECORDS	Expiration of certification + 2 years	SHRED/DELETE

### 1010 Counseling

The activity of assisting students in need of counseling (college or otherwise). Includes: counseling, referral, and testing.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS1010-05	COUNSELING SESSION LOGS	Last counseling visit + 5 years	SHRED/DELETE
SS1010-10	PARENTAL AUTHORIZATIONS FOR COUNSELING	Last counseling visit + 5 years	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS1010-15	PSYCHOLOGICAL TEST RESULTS	Last counseling visit + 5 years	SHRED/DELETE
SS1010-20	PSYCHOLOGICAL TESTING REFERRALS	Academic year + 3 years	SHRED/DELETE
SS1010-25	STUDENT COUNSELING INTAKE & SESSION RECORDS	Last counseling visit + 5 years	SHRED/DELETE

**1015 Discipline**

The activity of administering disciplinary actions in a school setting.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS1015-05	DISCIPLINE RECORDS	Graduation or withdrawal + 3 years  If case results in an expulsion or involves law enforcement: Permanent	SHRED/DELETE  SCHOOL ARCHIVES
SS1015-10	PLAYGROUND INCIDENT REPORTS	Graduation or withdrawal + 3 years	SHRED/DELETE

**1020 Enrollment**

The activity of coordinating student admission, placement testing, and registration.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS1020-05	ADMISSIONS RECORDS – Includes, but not limited to: application, interview notes, supporting documentation, reference questionnaires, grades, transcripts, confidential teacher evaluation forms, confidential school report/transcript requests, and standardized test scores.	Graduation or withdrawal + 3 years*  *Only transcripts are retained permanently	SHRED/DELETE
SS1020-10	ASSESSMENT & PLACEMENT TEST RECORDS	Graduation or withdrawal + 3 years	SHRED/DELETE
SS1020-15	COURSE REGISTRATIONS	Academic year + 1 year	SHRED/DELETE
SS1020-20	DAYCARE ATTENDANCE RECORDS	Academic year + 6 years	SHRED/DELETE
SS1020-25	EXTENDED DAY PROGRAM (EDP) APPLICATION & AUTHORIZATIONS – Records of before and after-school extended care programs.  Includes, but not limited to: registration forms, contact information, health forms, pick up authorizations, and consent for emergency treatment forms, and program contracts.	Academic year + 6 years	SHRED/DELETE
SS1020-30	INDIVIDUAL CLASS STUDENT LISTS	Academic year + 4 years	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS1020-35	INTENT TO REGISTER RECORDS – Filled out annually by parents.	After annual tuition & commitment contract is signed + 1 year	SHRED/DELETE
SS1020-40	PARENT AGREEMENTS – Yearly agreement that parents have read and understood the Parental Handbook.	Academic year + 6 years	SHRED/DELETE
SS1020-45	STUDENT TECHNOLOGY USAGE RECORDS – Also called Technology Usage Form or Acceptable Use Agreement (AUA).	End of academic year	SHRED/DELETE

**1025 Health Services**

The activity of providing assistance to students who require medical attention. Includes: forms and authorizations for administering medical care and distributing health cards.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS1025-05	CERTIFICATION OF IMMUNIZATION STATUS (CIS) – Records documenting a student’s immunization status, including proof of immunization. May include: Washington State Department of Health Form No. 348-013.	Graduation or withdrawal	SHRED/DELETE
SS1025-10	HEALTH CARE/SERVICES PROVIDED TO STUDENTS – Records of health care or health care services administered to students at the school (staff, volunteers, and contractors).	Calendar year + 8 years	SHRED/DELETE
SS1025-15	HEALTH ROOM VISITOR LOGS	Academic year + 8 years	SHRED/DELETE
SS1025-20	MEDICAL USE AUTHORIZATIONS – Authorizations for the administration of medication by school staff.	Final administration of dosage or procedure + 8 years	SHRED/DELETE
SS1025-25	STUDENT HEALTH FILES OR CARDS – Includes, but not limited to: emergency contact information, medical history, and special instructions.	Graduation or withdrawal + 8 years	SHRED/DELETE

**1100 TECHNOLOGY MANAGEMENT**

The function of acquiring, developing, implementing, testing, supporting, and monitoring computer, networking, imaging, telecommunication, and other technologies.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
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RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

SS1100-05	COMPUTER PATCH MANAGEMENT LOGS	Obsolete or superseded	DELETE
SS1100-10	FIREWALL LOGS	Obsolete or superseded + 1 years	DELETE
SS1100-15	INTERNET TRAFFIC LOGS	Calendar year + 1 years	DELETE
SS1100-20	NETWORK SERVERS EVENT LOGS	Obsolete or superseded	DELETE
SS1100-25	SYSTEM BACKUP LOGS	Obsolete or superseded	DELETE
SS1100-30	TECHNOLOGY IMPLEMENTATION LOGS – Records produced through technology implementation services.  May include: each event entry, status of the event, requesting office, requesting customer, date received, priority, and staff assigned to the event.	Until application or version is no longer needed for agency business and all records within the application have been migrated or dispositioned	DELETE
SS1100-35	WEBSITE USAGE REPORTS	Calendar year + 1 year	DELETE

## 1200 TRAINING

The activity of organizing and delivering training programs such as conferences, seminars, certifications, classes, workshops, and similar educational gatherings. Does not include academic instruction.

SERIES NO.	SERIES/TITLE DESCRIPTION	RETENTION	DISPOSITION
SS1200-05	<p>TRAINING COURSE ADMINISTRATION RECORDS – CERTIFIED, HOURS/CEDITS EARNED, OR MANDATORY – Records produced through the administration of training courses, workshops, classes, orientations, and seminars given by the Archdiocese which are mandatory, a certification is given or hours, or credits are earned.</p> <p>May include, but not limited to:</p> <ul style="list-style-type: none"> <li>• applications and registrations (if no other attendance list exists),</li> <li>• copy of graduation certificate,</li> <li>• course or instructor evaluations,</li> <li>• instructor records,</li> <li>• listing of completed courses,</li> <li>• payment information,</li> <li>• student attendance and sign-in sheets,</li> </ul>	After training + 6 years	SHRED/DELETE

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

	<ul style="list-style-type: none"> <li>• student essays and résumés,</li> <li>• test results evaluations, and</li> <li>• student progress status.</li> </ul> <p>For trainings, where hours or credits are not earned, see <a href="#">SS1200-10</a>. For final versions of materials, see <a href="#">SS1200-25</a>.</p>		
SS1200-10	<p><b>TRAINING COURSE ADMINISTRATION RECORDS – GENERAL –</b> Records produced through the administration of training courses, workshops, classes, orientations, and seminars given by the Archdiocese, which do not confer a certification, are not mandatory or no hours or credits are earned.</p> <p>May include, but not limited to:</p> <ul style="list-style-type: none"> <li>• applications and registrations (if no other attendance list exists),</li> <li>• attendance and sign-in sheets,</li> <li>• copy of graduation certificate,</li> <li>• course or instructor evaluations</li> <li>• instructor records,</li> <li>• listing of completed courses,</li> <li>• student essays and résumés,</li> <li>• student payment information,</li> <li>• student progress status, and</li> <li>• test results evaluations.</li> </ul> <p>For mandatory trainings or trainings where hours or credits are earned, see <a href="#">SS1200-05</a>. For final versions of materials, see <a href="#">SS1200-25</a>.</p>	After training + 3 years	SHRED/DELETE
SS1200-15	<p><b>TRAINING COURSE LOGISTICS –</b> Records are training and date scheduling records, availability notices, participant registrations, arrangements related to catering, facilities, and equipment.</p>	Obsolete or superseded	SHRED/DELETE
SS1200-20	<p><b>TRAINING MATERIALS DEVELOPMENT RECORDS –</b> Records produced in the creation of training courses, workshops, classes, orientations, and seminars put on by the Archdiocese.</p> <p>May include, but not limited to: draft course curricula, reference publications, manuals, draft syllabi, lecture notes, draft outlines and agendas, handouts, and readings.</p>	Obsolete or superseded	SHRED/DELETE

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SS1200-25	<p><b>TRAINING MATERIALS: FINAL VERSIONS</b> – Finalized copies of materials distributed at a training course, workshop, class, orientation, or seminar put on by the Archdiocese.</p> <p>May include, but not limited to: course curricula, reference publications, manuals, booklets, syllabi, outlines, agendas, handouts, and readings.</p>	Permanent	SCHOOL ARCHIVES
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## 1300 LEGAL

The function of managing the civil legal affairs of the school, including: litigation and legal advice. Includes internal and outside counsel.

### 1305 Counsel

The activity of requesting and receiving legal advice and opinions.

SERIES NO.	SERIES TITLE & DESCRIPTION	RETENTION	DISPOSITION
SS1305-05	LEGAL ADVICE AND OPINIONS	Permanent	SCHOOL ARCHIVES

### 1310 Litigation Support

The activity of providing consultation and support services to diocesan legal counsel in regard to current and pending cases.

SERIES NO.	SERIES TITLE & DESCRIPTION	RETENTION	DISPOSITION
SS1310-05	<p>LITIGATION SUPPORT RECORDS – Records produced through research relating to compliance with requests for production.</p> <p>Includes: complaint, interrogatories, requests for production/admissions, review notes, attorney meeting notes, background material, and correspondence.</p>	Obsolete or superseded	SHRED/DELETE
SS1310-10	LITIGATION WORK PRODUCT FILES – Records developed between legal counsel and school in preparation for litigation. May include, but is not limited to writings, notes, memoranda, reports, photographs, audio/video recordings.	Close of case + 10 years, then arrange for appraisal by Chancery Archives	ARCHIVAL REVIEW

## GLOSSARY

## RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

**Archives** – The place where permanent inactive records are stored. Archival records in the Archives of the Archdiocese of Seattle are non-circulating, meaning that once they are officially transferred to the archives, staff may view the records, but not remove or check them out.

**Diocesan Record** – The Archdiocese of Seattle defines its *records* as any documents (regardless of format) that are made or received in the course of business or pastoral affairs and saved for future reference, action, or evidence. Aside from more familiar paper-based documents, records can be word processing documents, databases, spreadsheets, instant messages and chats, websites, digital images, video files, websites, and sound recordings. Please consult [Archives & Records Management](#) if you would like more information.

**Disposition** – Actions taken when records are no longer legally or administratively required to be retained. The *dispositions* on the *Records Retention Schedule for Catholic Schools* are:

SHRED: Records contain sensitive information such as names and addresses, health information, and financial or payment information (such as checks or credit cards). Please dispose of records designated as SHRED in a secured shredding receptacle.

DELETE: Records contain electronic information that should be deleted from drives, desktops, or databases once they reach the end of their retention period.

RECYCLE: Records do **not** contain sensitive information and can be discarded in a paper recycling bin once they reach the end of their retention period.

SCHOOL ARCHIVES: Records have ongoing legal, fiscal, evidential, or historical value and should be retained in the SCHOOL ARCHIVES. For more information about establishing a SCHOOL ARCHIVES, contact [Archives & Records Management](#).

**Legal Holds** – See [LEGAL HOLDS: PRESERVING RECORDS DURING LITIGATION OR INVESTIGATIONS](#) p. 9.

**Obsolete or Superseded** – This is a *schedule* designation which means that it is up to the creator, keeper, or office of the record to decide when a particular record ceases to be useful or relevant. This period will inevitably vary from person to person and from office to office. It is the responsibility of the owner of the records or department to review these records annually to determine their usefulness.

## RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

**Records Retention Schedule** – A document that states how long particular records must be kept based on administrative and/or pastoral concerns as well as statutes, regulatory requirements, and best practices. It describes the records series number; records series title/description; and states the disposition (or method of destruction) of a particular records series. Some are deemed archival and must be retained in the archives permanently while others can be shredded, recycled, or deleted once they’ve reached the end of their retention period. **Before destroying any records, please consult [Archives & Records Management](#).**

**Retention Period** – The length of time needed to retain a certain record series. Based on the type of record, this time period can be as short as its *obsolescence* or as long as *separation of employee + 60 years*. For most retention periods, there are two parts: a cut-off (trigger) and the time period. A cut-off or trigger is the action portion of the period. It can be the *end of calendar year, end of fiscal year, when obsolete or superseded, life of equipment, resolution of case*, etc. It tells you when to start “counting.” The date portion is how long you should count after the action is completed. If a particular record’s retention period is: *calendar year + 6 years*, then you would wait out the current calendar year and then wait another six years on top of that before disposing of the record.

**Series Number** – This column on the *records retention schedule* is the unique identifier for each record series. It is also the number needed when filling out Archives & Records Management forms such as the transfer form and destruction form.

## APPENDIX A: LEGAL CITATIONS & REFERENCES DISCLAIMER

Extensive research has been done before assigning retention periods to diocesan records series in order to assure compliance with government regulations and best business practices. CCAS has used the following statutes and/or acts as resources in creating this retention policy, even if the provisions of those statutes and acts do not apply.

- **29 C.F.R. § 1607.4 (RET); 29 C.F.R. § 1602.13 (NS)** – Records as to racial or ethnic identity of employees. Employers may acquire the information necessary for completion of items 5 and 6 of Report EEO-1 either by visual surveys of the work force, or at their option, by the maintenance of post-employment records as to the identity of employees where the same is permitted by State law. In the latter case, however, the Commission recommends the maintenance of a permanent record as to the racial or ethnic identity of an individual for purpose of completing the report form only where the employer keeps such records separately from the employee's basic personnel form or other records available to those responsible for personnel decisions, e.g., as part of an automatic data processing system in the payroll department.
- **29 C.F.R. § 1620.32 (2 years)** – Employer subject to The Equal Pay Act must maintain records to the payment of wages, wage rates, job evaluations, job descriptions, merit systems, seniority systems, and description of practices or matter explaining basis for wage differential between employees of opposite sex.
- **29 C.F.R. § 1904.33 and § 1904.44**
- **ADEA 29 C.F.R. § 1627.3(b)(1) (CR+01)** – Job applications, promotions, demotions, test papers, transfer records; *Title VII of the Civil Rights Act §790(c)*; 29 C.F.R. § 1602.14.
- **Civil Rights Act of 1964 (Title VII) 29 C.F.R. § 1602.7 (NS)** – Copy of most recent EEO-1 report filed for each reporting unit must be retained at each such unit; 29 C.F.R. § 1607.4 (RET); 29 C.F.R. § 1602.13 (NS) – Records as to racial or ethnic identity of employees. Employers may acquire the information necessary for completion of items 5 and 6 of Report EEO-1 either by visual surveys of the work force, or at their option, by the maintenance of post-employment records as to the identity of employees where the same is permitted by State law. In the latter case, however, the Commission recommends the maintenance of a permanent record as to the racial or ethnic identity of an individual for purpose of completing the report form only where the employer keeps such records separately from the employee's basic personnel form or other records available to those responsible for personnel decisions, e.g., as part of an automatic data processing system in the payroll department.
- **FMLA 29 C.F.R. § 825.500(b) (CR + 3)** – Documents describing employee benefits or employer policies/practices concerning taking paid/unpaid leave.
- **Immigration and Nationality Act 8 U.S.C.A. § 1342a; 8 C.F.R. § 274a.2(b)(2)(A), (B), (c)2** (3 years after hire date or one year after termination; whichever is later).
- **RCW 4.16.080 (2)** Limitation of action for EEO discrimination complaints is 3 years.  
The ADA, Rehabilitation Act, *Title VII of the Civil Rights Act*, and ADEA require employers to keep all resumes and job applications on file for one year. Because the ADEA further stipulates a two-year retention period for paperwork for individuals over the age of 40 (something that may be difficult to determine and is, of course, illegal to ask), retain all resumes and applications 2 years.

## APPENDIX B: PERSONNEL FILES: EMPLOYEES

The following information is from Human Resources at the Archdiocese of Seattle:

Personnel files should contain:

- Safe Environment Program Church Personnel Agreement
- Background check, completed within the last 3 years
- HR Policies Agreement Form
- Employee emergency contact information
- Documentation of the current fiscal year employee pay rate (authorized, amount, effective date, and reason)
- Documentation of current Safe Environment Training

For regular employees and temporary employees on benefits, the file is also to contain:

- Letter of Employment Agreement
- Job description, signed by the employee and supervisor
- Performance evaluation completed within the last year

Form I-9 Employment Eligibility forms should not be filed in employee files, but rather in a separate binder or file.

The following policy is part of Archdiocese of Seattle Catholic School's [curriculum standards and resources](#):

Because of the confidential nature of some information regarding employees, and to meet with federal regulations, more than one file should be established for each employee. Three files are listed below. It is recommended that each file for an employee be a different color, to designate the purpose of the file. For proper management of files, all files regarding an employee should be housed in one location. If for any reason a file is housed in a different location, the main file (personnel file) should indicate where the other file is housed. In case of subpoena, all files must be produced. If files are subpoenaed, one person should be given responsibility for assembling and presenting the files.

### 1. Personnel file for current employees:

## RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

### a. Directory of Information:

- Date of hire \*
- Assignment; any subsequent changes in assignment \*
- Address \*
- Phone \*
- Date of end of employment \*

### b. Employee Selection Data:

- Resume
- Archdiocesan application (includes: WSP form, employee disclosure statement and INS Employee Eligibility Verification form)
- Correspondence related to hiring (if any)
- Skill test results\* (where applicable)

### c. Certification:

- Signed "Safe Environment Church Personnel Agreement Form"
- Certificate for Safe Environment training.
- Teaching certificate
- Any required job permits (health card for kitchen worker, 1st aid card for daycare, etc.)
- Catechetical Certification

### d. Academic Record:

- Record of college/university courses (transcripts). Do not keep the rest of the placement file.
- Transcripts for any additional coursework that determines salary increases

### e. Notation of significant achievements

### f. Performance documentation:

- Formal, signed evaluations
- Signed employee improvement plans

### g. Miscellaneous:

- Record of accrued sick leave
- Current contract



## RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

- Copy of any employment dispute settlement that may have been assigned

*\* Only these items should be kept on file permanently after employment ends. The rest of the file should be kept for 6 years after employment ends.*

### **2. Principal's File:**

- a. Records from employee application interview
- b. Pre-employment reference checks, indicate person contacted, phone number and summary statement
- c. Documentation regarding complaints, performance issues, etc.
- d. Any notes compiled as the result of possible or pending litigation. When an attorney has been contacted, these notes constitute a "work product file." Once a settlement agreement has been signed, these notes and the agreement are retained until the file is no longer active and for 7 years thereafter. At this point the agreement is placed in the personnel file. All supporting documentation is destroyed.

Note: These items do not belong in an employee's personnel file, which may be viewed by various supervisors. At the same time, it is important to note that the above items should be factual and may be subpoenaed. Destroy this file upon termination of employment unless legal action is pending.

### **3. Employee Medical File:**

- a. All medical data
- b. Any materials related to FMLA or ADA
- c. Injury reports
- d. Disability leave reports

Note: These items must be kept separate from the employee's personnel file. Destroy this file upon termination of employment unless legal action is pending.

RECORDS RETENTION SCHEDULE FOR ARCHDIOCESAN CATHOLIC SCHOOLS

**APPENDIX C: REVISIONS AND VERSIONS**

<i>Version</i>	<i>Date</i>	<i>Revisions</i>
1.00	03/19/2012	Implemented and authorized <i>Records Retention Schedule for Parishes, Catholic Schools &amp; Faith Communities</i>
1.01	01/21/2013	Added GUIDELINES FOR MANAGING ELECTRONIC RECORDS OF SEPARATED EMPLOYEES
1.02	09/04/2013	Split <i>Records Retention Schedule for Parishes, Catholic Schools &amp; Faith Communities</i> into two schedules: <i>Records Retention Schedule for Parishes &amp; Faith Communities</i> and <i>Records Retention Schedule for Archdiocesan Catholic Schools</i>
1.03	03/07/2014	Annual Revision
1.04	03/16/2015	Annual Revision
1.05	2016	Annual Revision (throughout the year)
1.06	2017	Annual Revision (throughout the year)
1.07	01/24/2018	Annual Revision
1.08	09/16/2019	Annual Revision
1.09	04/07/2021	Annual Revision

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