

Introduction to Records Management

Catholic Diocese of
Raleigh

What is Records Management?

The systematic control of records throughout their lifecycle

Ensures that records are created, organized, maintained, and disposed of appropriately

Applies to both paper and electronic records

Why is Records Management Important?

SUPPORTS
TRANSPARENCY &
ACCOUNTABILITY

PRESERVES THE
HISTORY & MISSION OF
THE DIOCESE

INSURES COMPLIANCE
WITH CIVIL & CANON
LAW REQUIREMENTS

IMPROVES EFFICIENCY
BY ORGANIZING &
RETRIEVING
INFORMATION

PROTECTS SENSITIVE &
CONFIDENTIAL
INFORMATION

Hierarchy of RM Governance

Bishop

- Final authority for Diocesan governance
- Ensures compliance with Canon Law and civil law

Chancellor

- Chief records officer of the Diocese
- Oversees official records, archives, and retention policies

Archivist / Records Manager

- Implements Diocesan records management program
- Develops policies, retention schedules, and training
- Ensures preservation of permanent historical records

Department Heads, Principals, & Pastors

- Responsible for managing records in their offices and parishes
- Ensure staff follow diocesan retention and transfer guidelines

Parish & School Staff

- Create, maintain, and use records as part of daily work
- Apply retention schedules and follow transfer/disposition procedures

What is a Record?

Any document,
regardless of
format, created or
received in the
course of Diocesan
business

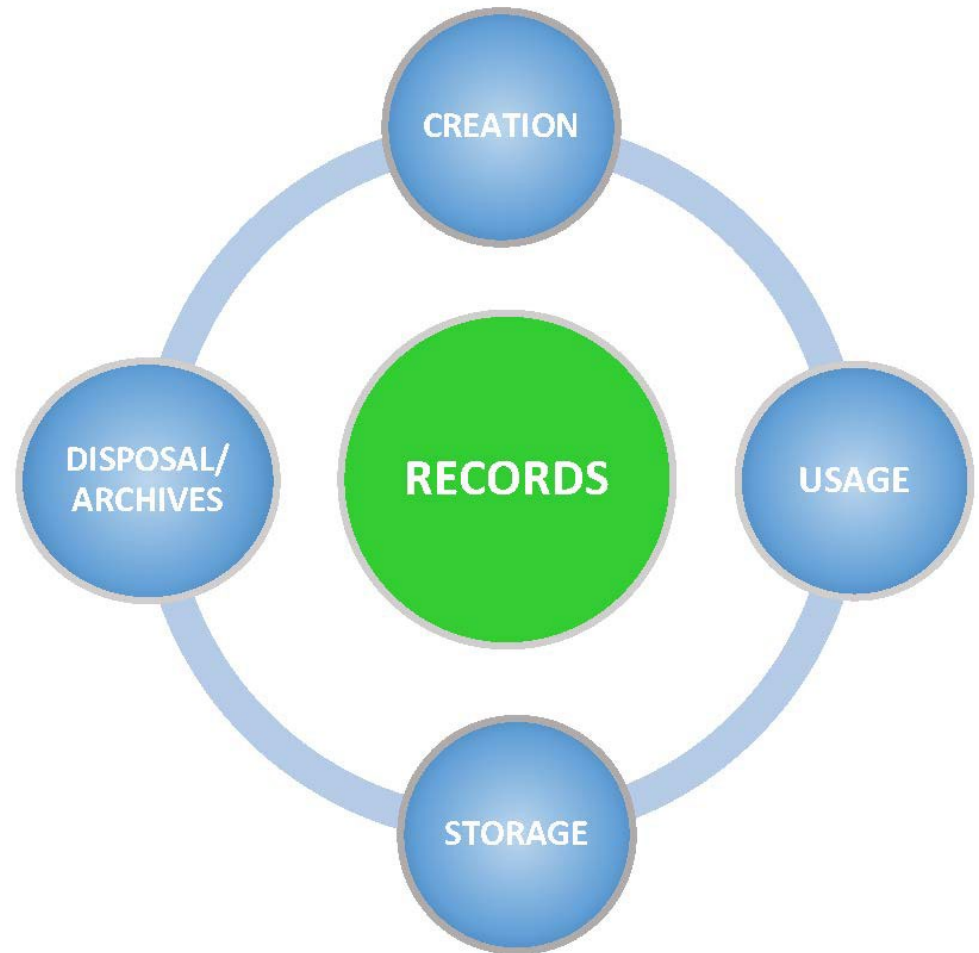
Provides evidence
of activities,
decisions, or
transactions

Includes paper
documents,
emails, digital
files, photographs,
and recordings

Records are
distinct from non-
records (e.g.,
drafts, duplicates,
convenience
copies)

The Records Lifecycle

- Creation: records are made or received during the work of employees
- Usage: active records are accessed, shared, and used in daily operations
- Storage: inactive records are kept according to retention schedules
- Disposals/archives: records are securely destroyed or archived permanently



How Records Are Assessed

Administrative Value: supports daily operations and decision-making

Legal Value: provides evidence of rights, obligations, or legal actions

Fiscal Value: documents financial transactions and accountability

Historical/Intrinsic Value: preserves the history and mission of the Diocese



Retention Schedule

- Defines how long records must be kept
- Ensures compliance with legal, regulatory, and diocesan requirements
- Provides consistency in managing records across departments

Series #	Series Title	Series Description	Disposition Instructions	Location
008	Civil Rights File	Records concerning agency participation in federal and state efforts to develop community programs, including Title VII of the Civil Rights Act, the Equal Pay Act, the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), and the Genetic Information Nondiscrimination Act (GINA). File includes reports and plans required by federal statute, including facility accessibility records under the ADA. See also Civil Rights Case File (item 0150).	a) Destroy in office at report, response, and resolution date after 1 year. b) Destroy in office alternative action plans 5 years from date implemented.	Authority: 39 CFR 1000.7 39 CFR 1000.30 39 CFR 1000.6
009	Complaints File	Complaints made by and received from citizens and employees. See also Complaints Database File (item 010).	Destroy in office 1 year after settlement or completion.	
010	Conferences and Meetings File	Records concerning conferences and meetings, conducted by or attended by agency employees. File includes participation lists, minutes, and other related records. See also Agency Training File (item 0100), Recruitment Process Training File (item 0100), Outreach Training Training File (item 0100), and Service File (item 0100).	Destroy in office after 1 year.	
011	Customer Call Center Response File	Records concerning calls to agency customer service centers, made for facility assistance and training purposes.	Destroy in office after 30 days.	
012	Discrimination Complaints File	Records concerning formal discrimination complaints and allegations filed against the agency. See also Complaints File (item 009).	Destroy in office 3 years after settlement or completion.	
013	Emergency Management File	Records concerning procedures, preparation for disasters, and operations in the event of disasters. Includes Continuity of Operations Plan (COOP) and Business Continuity Plan (BCP). See also Disaster Preparedness and Recovery Planning File (item 0100).	Destroy in office when superseded or obsolete. Retention Policy: Current copy of disaster recovery plan annually in the State Chief Information Officer in compliance with 39 CFR 101.11-100.0.	Authority: 39 CFR 101.11-100.0 Confidentiality: 39 CFR 101.11-100.0

The destruction of records may take place if obligated to do so and is pending or otherwise anticipated or determined. See also [FOIA, E.O. 13526, and](#)

RM Policies in the Diocese of Raleigh

Governance Policies

Define roles, responsibilities, and oversight (e.g., Chancery, parish, and school staff).

Records Creation & Classification

Standards for identifying what constitutes a record and categorizing it properly.

Retention & Disposition Policies

Establish legal, canonical, and operational timeframes for keeping or destroying records.

Access & Confidentiality Policies

Rules for safeguarding sensitive, sacramental, and personnel records while allowing appropriate use.

Digitization & Electronic Records Policies

Guidelines for scanning, metadata, storage, and long-term digital preservation.

Archival Policies

Criteria for permanent preservation of records of historical, legal, or sacramental significance.

Purpose & Use of the Transmittal Form

Document

the transfer of records from a parish, school, or office to the diocesan archives or records center.

Ensure

a clear chain of custody and accountability.

Provide

essential details: record series, date range, description, quantity, and retention category.

Support

retrieval by serving as the official record of what was transferred.

Purpose & Use of the Destruction Form

Authorize	Verify	Maintain	Provide
the secure disposal of records once their retention period has expired.	that records were reviewed and approved before destruction.	legal and administrative protection by proving compliance with retention schedules.	a permanent record of destruction, reducing risk of liability.

Roles and Responsibilities of Employees

Understand
& follow

the Diocese's records management policies

File

records in the correct location and format

Protect

confidential and sensitive information

Follow

retention schedules for records

Participate
in

in training and compliance initiatives

Report

any issues or concerns to the Records Manager

Internal Audits for RM: Purpose



Ensure compliance
with diocesan, civil,
and canon law
requirements



Verify records are
complete, accurate,
and properly
retained/disposed

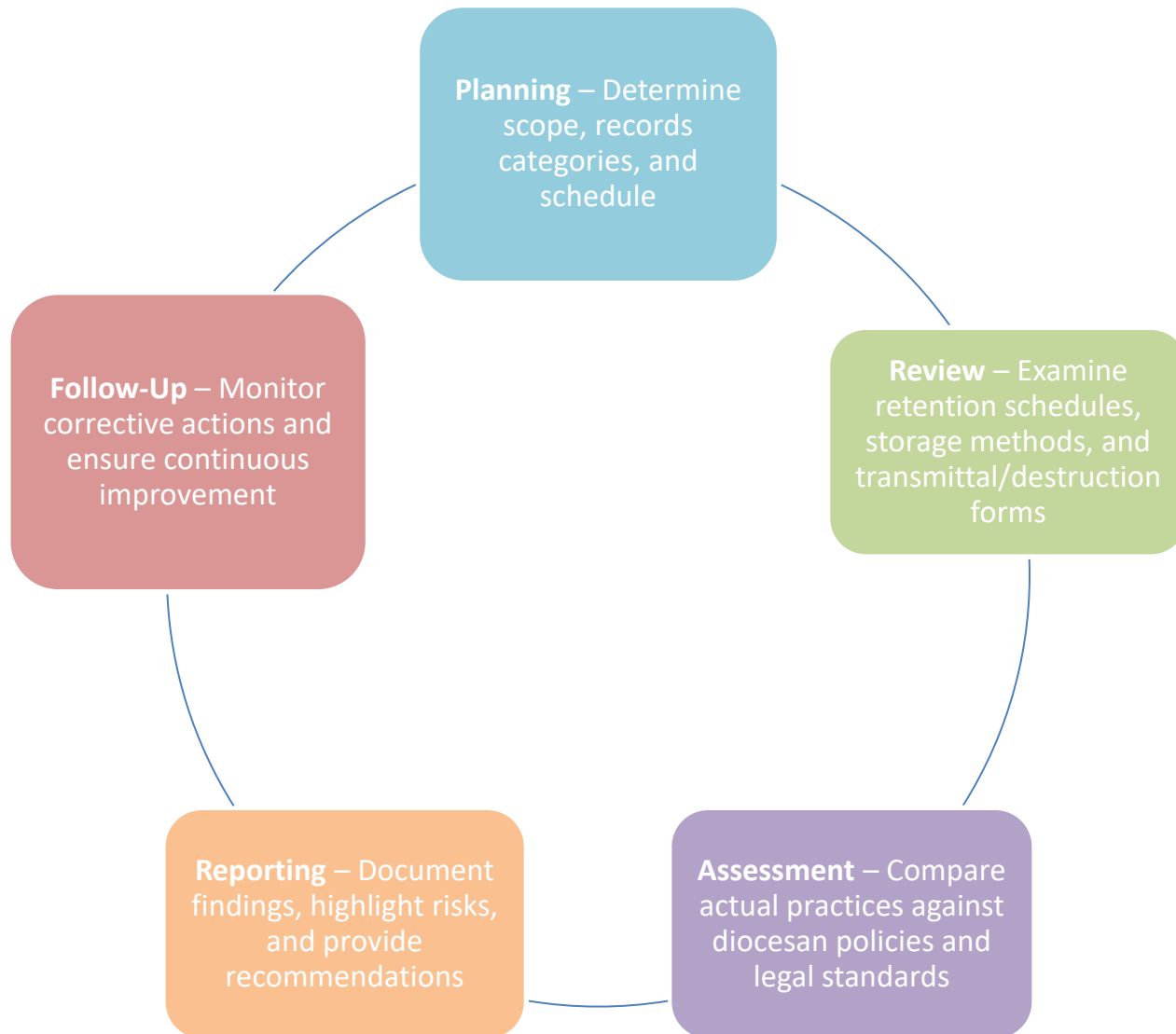


Identify gaps in
practices and
improve
accountability



Strengthen trust and
transparency in
diocesan operations

Internal Audits for RM: Process



Support from the Diocese



POLICIES &
PROCEDURES TO
GUIDE STAFF



TRAINING
& ONGOING
EDUCATION



ACCESS TO RECORDS
MANAGEMENT
TOOLS AND SYSTEMS



SUPPORT FROM THE
OFFICE OF ARCHIVES
AND RECORDS

Summary



Records management ensures proper handling of information



It supports compliance, efficiency, and preservation of diocesan history



Every employee plays a vital role in safeguarding records



Together we can uphold accountability and protect our mission