



# Record Management Guide

***Part I - Part II***

***ACWR Subcommittee***

***September, 2000***



## **RECORDS MANAGEMENT**

The topic of Records Management was initiated by the Archivist of Congregations of Women Religious (ACWR) at their annual conference in Sinsinawa, Wisconsin in 1997. Archivists who were interested in the topic were contacted by the tacted later by the ACWR Board and a subcommittee was formed.

The subcommittee represented eight different religious congregations from seven different states. The names of the of the subcommittee members and consultants can be found on a separate listing. Communications by the members was done by phone or mail. The chairperson submitted a progress report either in writing or by phone to the ACWR for their Board meeting in the Spring. The project has taken approximately two years to complete.

One of the first things we did was to get a base upon which we could build our own Records Management. We collected twelve records from different communities and the chairperson selected seven that fitted our overall purpose. Each committee member received a copy of each of the seven records labeled A to G. From the top three choices one emerged as a favorite. It was from the Sisters of Charity of Leavenworth, Kansas. Permission was requested to use their policy of Confidential Records as our foundation point and they readily agreed to it. We then began to add or delete after obtaining input from all the subcommittee members.

It was agreed that the records would be divided into Part I- Personal (Confidential) and Part II- Non-Confidential. Part I was completed in 1998 and presented to the WRA Roundtable at the SAA annual meeting in Orlando, Florida; Part II- was completed in 1999 and presented to the WRA Roundtable at the SAA annual meeting held in Pittsburgh, Pennsylvania. On both occasions suggestions and comments were solicited from ACWR members who attended these sessions and revisions were made after both meetings and sent to the subcommittee members for their input and approval.

This Records Management Plan is considered a guide. Each congregations' archival depository is unique and reflects the charism of their particular order. Some Congregations feel strongly about holding on to the terminology of their founders/ foundresses, others differ on what is confidential or not confidential while others see some topics under different headings. An Archivist should do what is best for its Congregation and its Charism. It is suggested that Administration send records and materials no longer needed to the Archives on a regular basis that is worked out by Administration and the Archivist.

The subcommittee hopes this final revised Record Management Plan will give some commonality to religious Archives.

## ACKNOWLEDGEMENTS

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# RECORDS MANAGEMENT

## PART 1

**Records**

- Personal
- Medical
- Ministry
- Formation
- Former members
- Associates
- Financial
- Legal (Civil/Canon)

# RECORDS MANAGEMENT

## Personal Records

### GUIDING PRINCIPLES

**Congregational leaders, under the principle of reverence for the individual and care for the common good, create, maintain and administer files and records on individual sisters in a spirit of discretion, justice and charity.**

**Individual religious, under the canonical right to privacy and to one's good name, are entitled to know what is kept in files and how the material is handled.**

**In keeping with these guiding principles this listing of records and files has been compiled.**

TYPES	PURPOSE	WHERE STORED (LOCATION)	METHOD OF STORAGE	WHO HAS ACCESS	RETENTION IN ADM. OFFICE OF ORIGIN	DISPOSITION
<u>Personal Records</u>  Birth Statistics Family History Sacraments Education Records Correspondence Literary Publications Media Releases Power of Attorney Living Will Death/Burial	Reference      Legal / Reference	Community Secretary's File	Computer /Files	Individual Sister  Leadership  Authorized Personnel	Lifetime	Archives at the death of a member  Permanent

TYPES	PURPOSE	WHERE STORED (LOCATION)	METHOD OF STORAGE	WHO HAS ACCESS	RETENTION IN ADM. OFFICE OF ORIGIN	DISPOSITION
<u>Medical Records</u> Ordinarily medical records are held by the member and her authorized healthcare personnel and physician	Reference	Healthcare Personnel Office	Files / Computers	Community Leadership/ Authorized Healthcare Personnel	Kept for five years after the death of a member	Five years after the death dispose of, but maintain a short summary of the illnesses.
Psychological Record (Perpetually Professed)	For continuity in decision making	Community Director's Office	Files	Appropriate Community Leadership	Lifetime of Members	Destroy psychological assessment and evaluations when their purpose has been served, but maintain a short summary of the treatment received, recommendation made, and actions taken.
<u>Ministry Records</u> A. Ministry (Place/years) B. Summary of Academic and Clinical Preparation	Record of Ministry Record of Professional Preparation	Appropriate Community Leadership	Computer/Files	Appropriate Community Leadership	Lifetime of Members	Archives-at the death of a member – Permanent

TYPES	PURPOSE	WHERE STORED (LOCATION)	METHOD OF STORAGE	WHO HAS ACCESS	RETENTION IN ADM . OFFICE OF ORIGIN	DISPOSITION
Formation (Pre-candidacy to Final Vows)						
Application Autobiography	Reference Reference	Formation Director's Files	Formation Files / Computer	Formation Directors / Appropriate Community Leadership	Until Final vows, then to the Appropriate Community Leadership	Archives after death / departure
Birth Certificate Baptismal Certificate Confirmation Certificate Naturalization Papers	Legal/Reference					Permanent
Request for Reception Request for Vows Significant Letters	Reference					
Expiration of Temporary Vows Transfer of Vows Vow Papers Dispensation Papers (indult of Departure Will	Legal/Reference  Legal/Reference					
Record of formal Interview Review Board Report	Reference					
Correspondence -Confidential	Respect rights of Individual					
-General	Reference					
Psychological Records	Evaluation Purposes					Destroy psychological information when purpose has been served, but maintain a short summary of the treatment received, recommendations made, and actions taken.

TYPES	PURPOSE	WHERE STORED (LOCATION)	METHOD OF STORAGE	WHO HAS ACCESS	RETENTION IN ADM. OFFICE OF ORIGIN	DISPOSITION
<u>Former Members</u>  Family History Places and years of missions Signed vow form Request for exclauration Signed no pecuniary claim form  Request for dispensation  Rescripts  Record of monetary assistance or gifts given at dispensation	Legal / Reference	Archives at departure	Computer/ Files	Appropriate Community Leadership  Archivist	Appropriate Community Leadership until dispensation	Archives after departure  Permanent
<u>Associates</u>  Membership Commitment Meetings Education Photographs Termination	Reference	Associate Director's Office	Computer/ Files	Associate Director Leadership	Associate Director 5 years	Archives  Permanent



TYPE	PURPOSE	WHERE STORED (LOCATION)	METHOD OF STORAGE	WHO HAS ACCESS	RETENTION IN ADM. OFFICE OF ORIGIN	DISPOSITION
<u>Financial Records</u>  A. Taxable earnings B. Pension Plan C. Social Security Information D. Patrimony Information E. Trusts/Wills	Administrative Review  Financial and legal requirements	Treasurer's Office	Computer/File	Treasurer Community Leadership	Treasurer As long as financial regulations and guidelines specify	Shred those not specified by civil / canon law
<u>Legal records</u> <u>Civil/Canon Law</u>  Allegations of Misconduct - sexual misconduct  - mismanagement of funds - substance abuse	Protection of individual and common good of society To meet legal requirements	Office of the Appropriate Community Leadership	Files in the Office of the Appropriate Community Leadership	Appropriate Community Leadership	Until the issue is resolved / death	Information stays with Leadership and at death/termination of vows maintain a record of allegations, the investigations, and any action taken as a result of the investigation.

# RECORDS MANAGEMENT

## PART II

Congregation

Governance

History

Membership

Religious

Church

**Records**

Real Estate

Organizations

Survey/Studies

Communications

Creative Arts

Audio Visual Materials

Miscellany

TYPES	PURPOSE	LOCATION	STORAGE	ACCESS	RETENTION	DISPOSITION
<u>Congregation</u>  Foundress/ Founders   Mission/Charism	Historical Reference	Admin. then Archives	Files/Computers	Admin./ Community/ Researchers	Admin. until sent to the Archives	Permanent/ Archives

<u>Governance</u>  Structure(s)  Constitution(s) Directives  Consolidation(s)  Chapters/ Assemblies  Commissions/ Committees  Boards	Reference	Admin. then Archives	Files/Computers	Admin./ Community/ Researchers	Admin. until sent to the Archives	Permanent/ Archives
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TYPES	PURPOSE	LOCATION	STORAGE	ACCESS	RETENTION	DISPOSITION
<u>History</u>						
Foundations	Reference	Admin. then Archives	Files/Computers	Admin./ Community/ Researchers	Admin. until sent to the Archives	Permanent/ Archives
Major Superiors/ Correspondence				Admin./Released after 25 years for living members	1-2 years then sent to Archives	
Benefactors/ Significant Individuals				Admin./ Community/ Researchers	Admin. until sent to the Archives	
Significant Events						

<u>Membership</u>						
Assignments (Directories)	Reference	Admin./ Archives	Files/Computers	Admin./ Community/ Researchers	Sent to Archives Annually	Permanent/ Archives
Annals				Authorized Personnel		
Deceased Members		Admin.			Archives at the death of the Sister	

TYPES	PURPOSE	LOCATION	STORAGE	ACCESS	RETENTION	DISPOSITION
<u>Religious Life</u>  Common Prayer Books  Spiritual Renewals  Celebrations/ Anniversaries/ Jubilees	Reference	Admin. Office Archives	Files	Authorized Personnel	Archives	Permanent/ Archives
<u>Church</u>  Decrees-Rome  Correspondence  Quinquennial Reports  Diocesan Church Diocesan Missions	Reference	Admin. Office	Files	Depends on Content  Authorized Personnel	Admin. for 5 Years then Archives	Permanent/ Archives
<u>Real Estate</u>  Property (Purchased/Sold)  Blueprints	Reference Legal Purposes	Admin. Office/ Treasurer  Maintenance/ Business Office	Admin. Office Files/Computers  Maintenance/ Business Office	Leadership, Authorized Personnel	If kept in another office, it goes to Archives after 5 years  When no longer needed it is sent to the Archives	Permanent/ Archives

TYPES	PURPOSE	LOCATION	STORAGE	ACCESS	RETENTION	DISPOSITION
<u>Organizations</u> Local National International	Reference	Archives	Files/Computer	Authorized Personnel	Archives	Permanent/ Archives
<u>Surveys/ Studies</u> Religious life Surveys	Reference	Archives	Files/Computer	Authorized Personnel	Archives	Permanent/ Archives
<u>Communica- tions</u> Newsletters Newspapers/ Magazines (Special issues)  Dissertations Community-related Books Media Publications Journals  Diaries	Reference	Archives	Archives/Computer	Authorized Personnel       Leadership, Authorized Personnel	Archives	Permanent/ Archives