



*The Episcopal Diocese of Olympia*

*The Episcopal Church in Western Washington*

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# Archives and Records Management

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**POLICIES AND PROCEDURES MANUAL**

4/30/2020  
VERSION 5

From the Office of the Bishop

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Title

Date

ARCHIVES AND RECORDS MANAGEMENT: POLICIES AND PROCEDURES MANUAL

4/30/2020

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## **ACKNOWLEDGEMENTS**

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## **DIOCESAN RECORDS: DEFINITION & POLICY**

All records created or received by the employees or agents of the Diocese of Olympia within the scope of their employment or responsibilities will be considered the records of the diocese.

The Diocese of Olympia establishes a Records Policy, together with approved procedures for the management, retention, disposition, and preservation of its records in all formats and media, including electronic records and communication, in accordance with statutory and regulatory standards, and appropriate administrative standards and best practices. All business records will be scheduled and maintained for a minimum required retention period, and thereafter as necessary for archival purposes. **No record may be improperly or prematurely disposed of by any employee. All diocesan employees are obligated to follow the diocese's records retention requirements and related management procedures.**

This policy affirms that a record of the diocese is information that is recorded or captured as evidence of the diocese's business activities and transactions. The diocese's records include records created or received by any officer, employee, or agent of the diocese in the exercise of their fiduciary responsibility. The policy applies to information recorded in a fixed form on standard media and data formats, including working documents on paper, electronically-stored information (e.g. databases, text documents, digital images), electronic communications (e.g. e-mails and list postings), and published electronic communications (e.g. websites, blogs, etc.)

Employees of the diocese are required at the time of hire to acknowledge the diocese's ownership of records as work product and works-for-hire by signing a statement to that effect or a receipt of the diocese's employee manual. Notwithstanding receipt of that acknowledgement, this policy shall apply. This policy applies to records of employees and other officially appointed agents of the diocese, paid or volunteer. Personal records should not be kept in the diocese's computers or file systems. All records kept in the diocese's records storage devices are subject to legal discovery.

The diocese acknowledges its intellectual property rights including copyright to works created in the ordinary course of business by its employees and agents, and to its published works, and all trademarks.

NOTE: This policy is based on the recommendation of the Archives of the Episcopal Church.

SEE: Pages 23 & 51 for policies and procedures acceptance and sign-off documents.

## INTRODUCTION

### **PURPOSE:**

The purpose of the Records Management Program of the Diocese of Olympia is fourfold: To ensure the proper maintenance, protection, retention and disposition of all diocesan records in compliance with administrative, fiscal and legal requirements; to preserve the historical record of the diocese; to provide efficient retrieval of and appropriate access to diocesan records; and to accomplish the above in an efficient and cost-effective manner.

### **METHOD:**

The primary method employed by the Records Management Program of the Diocese of Olympia to achieve its purpose is the employment of a regularly reviewed and updated functional records retention schedule. See definition below. This retention schedule identifies records by series and assigns appropriate retention periods and disposition instructions for each series of records based on administrative, fiscal and legal requirements as well as on historical considerations. In conjunction with the employment of the retention schedule, the establishment and use of a set of standard filing practices, the creation of retrieval systems and the maintenance of appropriate storage facilities complete the methodology.

### **ADMINISTRATION:**

The Program is administered by the Archivist/Records Manager. Under her/his management, each office is responsible for implementing the components of the Records Management Program as outlined in this manual. Though an administrative contact may be designated for each office, the ultimate success of the Program depends upon the efforts and cooperation of every member of the staff.

### **LEGAL AUTHORITY:**

The retention periods recommended in the retention schedule are based on requirements as found in the Canons of The Episcopal Church, the Canons of the Diocese of Olympia, federal law and the laws of the State of Washington. The Program has been reviewed and approved by the Bishop, the Chancellor, the Treasurer and the Archivist/Records Manager of the diocese. It is further required that the Board of Directors of the Diocese of Olympia, Inc. and the Diocesan Council, Diocese of Olympia adopt the Records Management Program at a formal meeting. *See* Board of Directors Minutes, September 21, 1995, November 19, 1998, May 18, 2006, February 19, 2009, and June 20, 2013. *See* Diocesan Council Minutes, August 22, 2013. The Records Management Program was originally designed in 1979 and formally adopted in 1980. *See* Board of Directors Minutes, May 22, 1980. This is a revision of that program.

**NOTE:** Administrative changes may be made on an as needed basis by the Archivist/Records Manager, but any extensive revision of the Program will be taken to the Board of Directors for approval.

## GLOSSARY OF TERMS

**ACTIVE:** When ACTIVE is used on the retention schedule, it means while the matter is in effect. For example, while a contract is in effect or while a piece of property is owned.

**ADMINISTRATIVE USE:** This term means that the retention period is determined by the length of time the record is needed for administrative or operational purposes. This period is determined by the office using the record.

**ARCHIVES:** 1. The non-current records (archival materials) of an organization or institution preserved because of their permanent value; 2. The agency or department responsible for selecting, preserving and making available archival materials. 3. The building or part of a building where such materials are located.

**CURRENT YEAR:** This term does not actually appear on the retention schedule. The retention period indicated on the schedule assumes the current year unless otherwise indicated. For example, if the schedule reads “3 yrs. & destroy,” it means to keep the record for the current year (year in which the record was created) plus 3 years and then follow the proper destruction procedure.

**ELECTRONIC RECORDS:** Electronic records are records that cannot be read directly by human beings but require the intervention of a computer or other electronic device. Such records may also be referred to as “machine readable records.” Electronic records include data files and data bases, machine readable indexes, word processing files, electronic spreadsheets, electronic mail, text and/or numeric data sets, etc.

**FILE CUT-OFF:** Termination of a file at regular periodic intervals to facilitate continuous transfer or disposal of the record series.

**FUNCTIONAL RECORDS RETENTION SCHEDULE:** A retention schedule establishes a timetable for retaining individual record series and indicates their final disposition. A functional records retention schedule is organized by diocesan or pastoral functions rather than by department.

**INDEFINITE:** Use of this term means that the retention period cannot be determined in advance and that the records must be reviewed periodically to determine if they can be destroyed.

**OFFICE OF RECORD:** An office designated as the official custodian of the records for specified programs, activities or transactions of an organization.

**RECORD(S):** All recorded information, regardless of media or characteristics, made or received and maintained by an organization or institution. *See* Appendix A for definition of records as contained in the Canons of The Episcopal Church.

**GLOSSARY OF TERMS (CONT.)**

**RECORD SERIES:** File units or documents maintained as a unit because they relate to a subject or function, result from the same activity, have a similar form or because of some other relationship arising out of their creation, receipt or use.

**SUPERSEDED:** Keep the records until they have been replaced by more current ones.

**TRANSITORY RECORDS:** A general term for those types of records that lose their value within a short time and that should be separated during filing from records requiring longer retention. These types of records are unscheduled and may be discarded once they have served their purpose. *See* Appendix C.

**VITAL RECORDS:** Records which are essential to the continued functioning of the organization. Generally, these are records which are necessary for establishing or defending the legal and financial position of the organization.

**WORKING FILES/WORKING PAPERS:** Working files or papers are drafts or works in progress. They are not finalized documents. Whatever the format or media, they are transitory or “non-record” material and can be discarded once they have served their purpose. *See* Transitory Records.



## **DIOCESE OF OLYMPIA ARCHIVES POLICIES AND PROCEDURES**

### **POLICY STATEMENT**

The Diocese of Olympia Archives exists to:

1. Collect, preserve and make available the historical records that document the development and chronicle the works of the Diocese of Olympia – including its congregations, institutions and ministries.
2. Arrange and describe these materials according to archival principles and make them accessible to the administration, staff and members of the Diocese of Olympia as needed and to the public as appropriate.
3. Provide adequate and appropriate conditions for the storage, protection and preservation of archival materials
4. Provide reference services to administration, staff and members of the diocese as required and to the public as appropriate and as time allows.
5. Provide educational and outreach programming to diocesan congregations, institutions and ministries to increase awareness and appreciation of their individual and diocesan history and to assist them with their archival and records management needs.

Materials acquired by the Diocese of Olympia Archives shall become the permanent property of the Archives and, therefore, the diocese, until the Archivist deems such materials no longer relevant. De-accessioning will not take place without the approval of the Archivist. All information pertaining to the de-accessioning and disposition of materials will be retained in the Archives' according to procedures outlined in the Diocese of Olympia, Records Management Program – Policies and Procedures Manual.

The Archives retains the right to reproduce materials by mechanical, electronic or photographic means for security, conservation or research purposes. The Archives will accept historical materials that “document the development and chronicle the works of the Diocese of Olympia,” in the following formats, if they do not duplicate current holdings: textual records; electronic records; photographs, and other visual records; maps, plans and architectural drawings; sound recordings and audio cassette tapes. The Archives will only accept books, serials and other published material, textiles and artifacts at the discretion of the Archivist.

The Archives retains the right to charge for any reproduction or other research service.

The Archives will only accept material on a permanent basis, except when borrowing material for short-term loans to reproduce or to include in displays or exhibits.

Donors will complete and sign a Deed of Gift when donating materials to the Archives.

Materials from the Archives may be loaned to other institutions or organizations only when:

1. Written authorization is obtained from the Archivist.

**DIOCESE OF OLYMPIA ARCHIVES  
POLICIES AND PROCEDURES (CONT.)**

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**POLICY STATEMENT (CONT.)**

2. The borrower ensures adequate care and handling of the material on loan. If at any time the Archives determines that the material on loan is not being cared for adequately, the Archivist may cancel the loan and request the immediate return of the material. Persons desiring to use archival material will abide by the policies of the Diocese of Olympia Archives here appended.

**PUBLIC ACCESS POLICY**

The Diocese of Olympia Archives is the repository for the official records of the Diocese of Olympia. The Archives has a primary responsibility to serve the administration, program, and mission of the diocese by meeting its information and research requirements. The Archives does not allow the transfer of diocesan records to third party for-profit enterprises for commercial publication or re-sale.

As an extension of its mission, the Diocese of Olympia Archives welcomes research inquiries from the public. Public access to the records of the diocese is governed by policies adopted by the Board of Directors of the Diocese of Olympia, Inc., by Diocesan Council and by agreement with private donors. These policies require that a researcher complete an Application for Use of the Archives. The researcher must state the purpose of the research and identify the objectives and intended products of the research inquiry. The researcher will be notified of acceptance and an appointment scheduled. Researchers returning after an absence of more than a year will be asked to update their application form. If a researcher is unable to visit the Archives in person, the Archivist will respond to inquiries by mail, phone or e-mail as time permits.

Access to the Archives is granted based on the age and content of the records and is always at the discretion of the Archivist. Except for confidential records, diocesan records older than 30 years are generally open to researchers. *See: Sacramental Records Access Policy and Confidential Records - Policies and Procedures.* Diocesan records 30 years old or less – except for those created for public dissemination and those which must remain open by law - are closed to the public. There are also special conditions under which access to records older than 30 years and not usually considered confidential may be restricted by the Archivist; if the records have not been processed or appraised, if they contain un-separated personal information on individuals, if they are in a highly fragile condition, if restrictions have been placed upon them by the donor. Special access to restricted records may be granted only in the unusual case when release of the information serves an essential public interest over and above a private research agenda or when it fulfills a vital personal need.

All records and papers of the Archives, unless otherwise noted, are the property of the Diocese of Olympia. Expenses incurred during the research process are the responsibility of the researcher. Researchers are required to request permission to publish and to note copyright permission and credit in print. Proper citation formats are available upon request. Researchers are respectfully requested to deposit copies of their work with the Archives when significant use has been made of its primary resources. **NOTE:** This policy is based on the provisions of the Public Access Policy of the Archives of the Episcopal Church.

## **DIOCESAN ACCESS POLICY**

The Diocese of Olympia Archives is the repository for the official records of the Diocese of Olympia. The Archives has a primary responsibility to serve the administration, program and mission of the diocese by meeting its information and research requirements.

**DIOCESAN STAFF:** Diocesan staff has access upon request to the current and non-current records of their immediate departments. In addition, diocesan staff will be allowed access to the records of other departments on a need to know basis if their request for access is in conformity with the diocesan confidential records policy. All requests for access are to be made to the Archivist. If the Archivist is not available and there is an immediate need for access, the Canon to the Ordinary – or the Archivist’s designee - is to be contacted. No files are to be removed from the Archives without permission of the Archivist, the Canon to the Ordinary or the Archivist’s designee.

**CLERGY AND DIRECTORS OF DIOCESAN CONGREGATIONS, SPECIAL MINISTRIES AND AFFILIATED INSTITUTIONS:** Clergy and directors of diocesan congregations, special ministries and affiliated institutions have access upon request to the current and non-current records of their respective congregations, ministries and institutions. All requests for access are to be made to the Archivist.

**MEMBERS OF DIOCESAN CONGREGATIONS, SPECIAL MINISTRIES AND AFFILIATED INSTITUTIONS:** Members of diocesan congregations, special ministries and affiliated institutions requesting access to a congregation's, special ministry's, or institution's records to research a specific topic or prepare a history, must obtain written authorization from the rector, vicar or priest-in-charge of the congregation or the director of ministry or institution. This authorization must be sent or presented to the Archivist and should introduce the individual or individuals as official representatives of the congregation or institution and request access to the records for a specified purpose. In addition, individuals seeking access to the records will need to schedule an appointment with the Archivist and to fill out the Application for Use of the Archives.

**CHAIRPERSONS OF DIOCESAN COMMISSIONS, COMMITTEES AND TASK FORCES:** Chairpersons of diocesan commissions, committees and task forces have access upon request to the current and non-current records of their respective commissions, committees and task forces. All requests for access are to be made to the Archivist.

**MEMBERS OF DIOCESAN COMMISSIONS, COMMITTEES AND TASK FORCES:** Members of diocesan commissions, committees and task forces requesting access to the records of their respective groups must obtain authorization from their chairperson or director. This authorization must be sent or presented to the Archivist and should introduce the individual or individuals as official representatives of the group and request access to the records for a specified purpose. In addition, individuals seeking access to the records will need to schedule an appointment with the Archivist and to fill out the Application for Use of the Archives.

**SACRAMENTAL RECORDS ACCESS POLICY:** The Diocese of Olympia Archives is the repository for the sacramental records (parish registers) of closed churches in the Diocese and for

**DIOCESAN ACCESS POLICY (CONT.)****SACRAMENTAL RECORDS ACCESS POLICY (cont.):**

confirmation records for which the Bishop's Office is the Office of Record. Sacramental records are both public and private in nature. Baptisms, confirmations, marriages, and burials are recorded to document sacred acts and are, as such, private records. Sacramental records are also private because the information they contain is often confidential and are created with the presumption of privacy.

Sacramental records are not civil records. They are, however, sometimes treated as civil records because they are accepted as valid evidence when the appropriate civil record does not exist. The passage of time, however, affects the sensitivity of these records and the need for restricting use diminishes. Therefore, public access to sacramental records is unrestricted to those created eighty (80) or more years ago.

Access to information contained in sacramental records created less than eighty (80) years ago is restricted to the individual or individuals named in the record as having received the sacrament; the Episcopal clergy or his delegate involved in canonical procedures; the parents of the subject if the subject is a minor; and government agencies (such as Social Security) who present a signed release from the individual whose record is requested. An exception may be made – at the discretion of the Archivist with the advice of the Bishop and/or the Chancellor - for the immediate family of an individual named in the record if that individual is deceased or if there is reason the individual cannot make the request. *See also:* Confidential Records – Policies and Procedures.

Requests for information must be made in writing and signed by an authorized party as detailed above. E-Mail requests may be accepted if the Archivist is satisfied the request is legitimate. Identification may be required. Once right to access has been determined, the Archivist will either issue a letter in which the information as it appears in the record is transcribed or will photocopy or scan the original record and affirm its authenticity. If a person representing a civil authority (law enforcement, court official, lawyer, etc.) requests a record for civil or legal purposes, that person will be referred to the Chancellor who will handle the request.

## **FILING PROCEDURES FOR PAPER RECORDS**

Efficient retrieval of diocesan documents depends upon the creation and implementation of standard filing procedures. Though filing is not a simple task, the following procedures have been developed with the intent of making the process as straight forward as possible.

### **1. FILE ARRANGEMENT (WITHIN RECORD SERIES)**

Each record category or series should have a consistent file arrangement to make filing and retrieval possible. There are six possible methods of arrangement. The one you use depends upon the nature of the record series.

- a. Numerical Arrangement: Consecutively numbered records are filed by number if the number is generally used for retrieval such as purchase orders, invoices, etc.
- b. Name Arrangement: Records are filed alphabetically from A to Z when the name of an organization or person is the most important access point. *See Appendix B for filing rules.*
- c. Subject Arrangement: Records are organized alphabetically by subject. *See Appendix B for filing rules.*
- d. Geographical Arrangement: Records are filed alphabetically by major geographic location and sub-divided by localities. **NOTE:** Parish and mission records are filed by city followed by church name.
- e. Chronological Arrangement: When the date of an action is the primary access point, records are filed in date order with the most current to the front.
- f. Case File Arrangement: Records are filed by person, place or action. This filing arrangement is different from subject filing because it applies to a specific person, place or action and the file itself terminates when an event such as the completion of a project, the end of an agreement or the termination of employment occurs. Normally, case files are maintained separately. However, they may sometimes be filed as a subdivision within a series or general subject category. Within the case file, individual records are usually maintained in chronological order with the most current to the front.

### **2. TRANSITORY RECORDS**

Transitory records should be destroyed immediately if they have served their purpose. However, if they can be of value for a short time (i.e. 90 days or less), they should be filed in a folder labeled “90 Day” in chronological order, regardless of subject matter and destroyed quarterly. *See Appendix C.*

### **3. CHRONOLOGICAL (CHRON) FILES**

Chronological files are **copies** of correspondence arranged by date and should not be kept for more than one year because the original correspondence is filed elsewhere. Keeping chronological files is **NOT** encouraged.

### **4. DUPLICATE COPIES**

Duplicate copies of documents should not be filed unless they are needed for administrative reference.

## **FILING PROCEDURES FOR PAPER RECORDS (CONT.)**

### **5. CROSS REFERENCES**

Some information can be interpreted in different ways and consequently could be filed under various headings. In addition, several subjects may be discussed in a single item or an item may have implications in several areas. This type of information should be cross referenced for ease of access. Cross references direct the searcher to the file folder where the desired item is filed. Cross references can be overdone so be judicious in their use.

### **6. FILE DRAWERS**

Label file drawers with record series title(s).

### **7. FILE DRAWER ARRANGEMENT: Guides, Folders and Labels**

- File Guides corresponding to record series titles as outlined in the retention schedule and additional file guides for sub-divisions are recommended. For example, an office might have a guide labeled: Camps, Conferences and Special Events and a guide labeled: Diocesan Convention as a sub-division within that record series.
- File Folders: Whenever possible, use letter size folders, not legal size.
- File Folder Labels: Use only labels with good quality adhesive or print your folder headings by hand directly on the folder. The following information should be included.

RECORD SERIES TITLE; Year  
Folder Title  
Sub-division (optional)

**Example:** COMISSIONS & COMMITTEES 1995  
Personnel Commission  
Minutes

**NOTE:** IT IS IMPORTANT THAT THE RECORD SERIES TITLE IS INCLUDED ON THE FIRST LINE OF THE LABEL as this is the key to the diocesan filing system and the link with the retention schedule. Abbreviate if necessary, be consistent and be sure the record series title to which you are referring is clear. Use all capital letters for the first line, upper and lower case for the rest. Use a block format.

## **FILING PROCEDURES FOR PAPER RECORDS (CONT.)**

### **8. FILE INVENTORY**

It may be helpful to maintain file inventories for some record series, but this is not required.

### **9. SUMMARY**

- a. Select the most appropriate file arrangement (numerical, name, subject, geographic, chronological or case file) for each record series.
- b. Refer to Appendix B if you are uncertain about alphabetical filing. Be consistent.
- c. Eliminate transitory materials immediately. If something must be kept for administrative purposes, file in a '90-day file' and destroy contents quarterly.
- d. Do not keep 'Chron' files unless necessary.
- e. Do not file duplicate copies.
- f. Use cross references sparingly.
- g. Use file guides to label record series titles and sub-divisions as necessary.
- h. Letter size folders are preferred.
- i. Include RECORD SERIES TITLE; year; and folder title on file folders.
- j. Label file drawers with record series title(s).
- k. Do not over-fill folders & leave working space in each file drawer.
- l. Maintain file inventories for record series titles as needed.
- m. Use charge-out cards when removing material from files.
- n. Do not use filing cabinets for office supplies storage.
- o. Do not file papers with metal paper clips or rubber bands. Use plastic coated clips or staples only.



## **FILING PROCEDURES FOR ELECTRONIC RECORDS**

Just as paper records are filed by a pre-determined system (alphabetic, numeric, by subject, etc.), electronic records (including e-mail) also require a pre-determined filing structure if they are to be efficiently accessed and retrieved.

The filing structure is basically the same as that for paper records (*see* above), it is only the format and storage media that differ – electronic file folders instead of paper ones and hard drive, server or other digital storage instead of file cabinets.

Electronic file and folder titles should be accurate, brief and concise. They should correspond to the record series titles, and sub-headings used for hard copy records as much as possible. Contact the Archivist/Records Manager for assistance in determining your file and folder titles.

Once your filing structure is in place, you can address the issue of electronic records storage. Electronic records may be stored:

- In a folder on your computer's hard drive:  
Once you have established standard folder titles, it is a simple matter to move your electronic documents into the appropriate electronic folder on your computer.  
If your electronic files are not voluminous, your internal hard drive will probably accommodate your immediate storage needs. However, your computer hard drive should always be backed up.
- On a server and/or on an external hard drive - on or off-site:  
As part of the Diocesan House network your computer is connected to a server which is a device that manages network resources – and is automatically backed-up.  
You may also want to have an external hard drive for additional storage & back-up. An external hard drive is a great backup solution because it can store an exact copy of your computer hard drive and can be stored in a safe location.
- In the **digital archives**. Send permanent electronic records to the Archivist for storage in the digital archives.
- In off-site digital storage or other storage medium: Contact the Archivist/Records Manager for additional information.

## **ELECTRONIC RECORDS**

As more and more records are created in electronic format, it becomes imperative that they be included in the records management program and that established retention periods be applied as scrupulously to electronic records as to all other formats. *See* Records Retention Schedule - Instructions for Use.

Electronic records present a unique set of challenges. The attributes which make the creation and use of electronic records so attractive and popular also make them extremely difficult to maintain and control effectively.

The ease with which electronic records can be created, manipulated, altered, disseminated and deleted and the rapidity with which new electronic technologies are introduced, produce a fluid environment which makes the management of electronic records rather complicated.

### **2. MEDIA**

Electronic records may be stored on servers (in-house or off site), hard drives, disks or other electronic media. A large percentage of all original data put into a computer or other electronic device is maintained only in electronic format and is not transferred to hard copy.

Special handling is needed to maintain the data integrity of electronic media:

- Disks: Do not bend disks; store disks vertically in a dust- free storage container avoiding temperature & humidity fluctuations; keep food and liquids away from any electronic storage devices; don't use paper clips and avoid leaving fingerprints, dust or smudges on the disks; label disks with felt-tipped pen or a CD marker, rather than a ball point pen.
- Be similarly careful when using and storing other media such as flash drives, etc.

The present life expectancy of electronic media is approximately 15-30 years. Some archival gold CDs and DVDs are purported to have a 100-300-year shelf life – but this claim has not yet been sufficiently tested. Consequently, electronic records with retention periods longer than 15 years should be copied to new disks – or to newer formats - at least once every fifteen years until their retention period is up and those electronic records with permanent, archival value should be transferred to hard copy, to the Digital Archives, or to another proven, permanent electronic format if one is available.

## **ELECTRONIC RECORDS (CONT.)**

### **3. HARDWARE AND SOFTWARE**

Conventional hardware and software - file cabinets, storage boxes and paper procedural manuals and forms - have not changed much over the years.

However, electronic systems using computers, off-site digital storage, disks, laser printers and various operating systems and software application packages etc. change frequently.

The question becomes not only the life expectancy of the electronic media but rather the length of time that the operating system needed to retrieve the information and the hardware to run it will be in service and available. Therefore, it is extremely important to transfer electronic records to new media on the new systems as they are employed or to keep the documentation, operating systems and hardware required to retrieve the information if the old formats are saved. Otherwise, the rapid evolution of software and hardware will make the old files unreadable.

### **4. BACK-UP PROCEDURES**

Computer systems can and do fail. Regular back-ups protect system data. Total system back-ups should be performed on a weekly basis with partial back-ups performed as often as necessary to protect the data. Regularly scheduled back-up procedures take very little time compared to the amount of time it would take to reconstruct the data in the event of a computer system failure, a fire, flood, earthquake, theft or other disaster.

### **5. LEGAL CONSIDERATIONS**

There is no longer much doubt as to the legal status of electronic records. Electronic records are now being defined in laws and regulations as being equal to traditional paper and other hard copy records. To be legally acceptable it is imperative that electronic records are authentic and can be demonstrated to be reliable, trustworthy and accurate and that they have not been subject to alteration in any way.

If there is any doubt that this level of acceptability can be maintained, electronic documents with obvious legal implications should be transferred to hard copy. However, as the percentage of information stored only in electronic format increases, safeguards should be employed to assure their authenticity.

**ELECTRONIC RECORDS (CONT.)****6. DESTRUCTION OF ELECTRONIC RECORDS**

Even if electronic records are deleted, they can often be recovered. Destruction procedures vary and depend upon the type of hardware and software being used. *See* Records Retention Schedule - Instructions for Use (6).

**NOTE: IF THE DIOCESE RECEIVES NOTICE OF PENDING OR ACTUAL LITIGATION OR IT APPEARS LIKELY THAT SUCH LITIGATION WILL TAKE PLACE, THE DESTRUCTION OF RECORDS MUST CEASE IMMEDIATELY.**

## References:

E-Mail Rules. Nancy Flynn and Randolph Kahn, Esq. American Management Association. C. 2003. New York, etc.

Haunted by the Ghosts of Records Past? Effective Management of Electronically Stored Files. Joan E. Feldman. c. 1995. Computer Forensics™ Inc., Seattle, WA.

Managing Electronic Records. 4th ed. William Saffady. c. 2009. ARMA International, Prairie Village, KS.

Managing Electronic Records. Robert F. Smallwood. c. 2013. Wiley, Hoboken, NJ.

## ELECTRONIC COMMUNICATIONS

Electronic communications enhance the exchange of information but also raise questions concerning responsibility and privacy. Access to diocesan electronic communications systems is provided in conjunction with the diocese's business and staff job responsibilities. Staff use of these systems, including but not limited to E-mail and the Internet is subject to these policies and procedures. Diocesan communications systems may also be made available to individuals who are not diocesan staff (e.g. consultants, vendors, committee members, volunteers, etc.) Use of these systems by such persons is also subject to these policies and procedures.

### E-MAIL POLICIES AND PROCEDURES

The Diocese of Olympia is pleased to make e-mail available to authorized employees. E-mail is fast and convenient and, when properly used, supports the business and pastoral activities of the diocese. Misuse of e-mail, however, can have serious legal consequences potentially putting the diocese and/or its staff at risk. Misuse, intended or not, creates liabilities that are an area of genuine concern to those responsible for the maintenance of the diocese's legal integrity. It is, therefore, the intent of the Diocese of Olympia to minimize such liabilities by providing staff with policies and recommended procedures for the use and retention of e-mail.

### E-MAIL POLICY

- E-mail is a service provided to diocesan staff to assist them in the performance of their duties. Communications should be job-related, to the point and professional in tone. Exercise sound judgment and common sense when distributing e-mail messages. Use extreme caution to ensure that the correct e-mail address is used for the intended recipient(s). Personal use is discouraged but is allowed on an occasional and limited basis. *See Personal Use, page 22.*
- All communications and information transmitted, received, or stored in diocesan computer systems belong to the Diocese of Olympia and may be monitored. Please be aware that staff should have no expectation of privacy. Do not treat e-mail as confidential or private.
- E-mail shall **NOT** be used for transmission of information that promotes or transacts any of the following:
  1. Unauthorized use of a user ID to send, receive or read e-mail.
  2. Unauthorized use of diocesan e-mail by non-diocesan personnel.
  3. Unauthorized alteration of e-mail.
  4. Discrimination based on race, creed, color, gender, religion, age, disability or sexual preference.
  5. Sexual harassment.
  6. Copyright infringement.
  7. Forwarding e-mail messages without the authorization of the sender – with the following one exception: Email may be forwarded to a more appropriate recipient (i.e. diocesan staff, corporate officer or member of a governing body) with an explanation both to the new recipient and to the sender.
  8. Unauthorized access to confidential or restricted information or breaching diocesan confidentiality.
  9. Participation or intervention in any political campaign on behalf of or in opposition to any candidate for public office.
  10. Personal positions or agenda not associated with one's position as an employee of the Diocese
  11. Any unlawful activity.

### **E-MAIL POLICIES AND PROCEDURES (CONT.)**

- The e-mail system is the property of the Diocese of Olympia. Employees using the diocesan e-mail system must adhere to this policy and follow its accompanying recommended procedures to the best of their ability. All users must be authorized to use the systems.  
**NOTE:** These policies and recommended procedures apply to all e-mail systems made available by the Diocese of Olympia including but not limited to desktop and laptop computers and all wireless mobile devices such as cell phones, iPads, etc.

#### **E-MAIL RETENTION**

- E-mails are records which may contain evidence of official diocesan actions, decisions, approvals, or transactions. E-mails do not have a single retention period. Like all records, retention periods are assigned based on business or pastoral functions. The content of the e-mail – both sent and received - determines how long a message should be retained. Some e-mails can, and should, be read & deleted immediately. Others must be kept for a designated amount of time (retention period). Please refer to the appropriate record category (record series) listed in the Records Retention Schedule for an e-mail's retention period.

#### **E-MAIL RECOMMENDED PROCEDURES**

- Do not leave e-mail in your in-box or sent items folder for more than 90 days. Within 90 days, please do one of the following:
  1. **DELETE\*** the e-mail record; **OR**
  2. **TRANSFER** the e-mail record to an electronic file folder for temporary retention and annual review; **OR**
  3. **TRANSFER** the e-mail record to the Archivist/Records Manager for deposit in the Digital Archives for long term or permanent retention.**NOTE:** If preferred, the email may also be printed for permanent retention.

Transitory records such as meeting notices, reminders, informal notes and messages should be read and deleted immediately. *See Appendix C.* Working documents or reference materials may be transferred to an electronic file folder for temporary retention but should be deleted as soon as administrative use ceases. Electronic file folder titles should correspond to titles used in the paper filing system.

**\*Remember to delete your delete box!**

Significant records used in connection with the transaction of diocesan business should be sent to the Archivist/Records Manager for deposit in the Digital Archives. Permanent records may also be printed out, filed and retained in the Archives. When printing an e-mail record, be sure to print all transmission information such as sender, recipient(s), date and routing data as provided in "Internet Headers."

### **E-MAIL POLICIES AND PROCEDURES (CONT.)**

- All users should practice e-mail etiquette as noted below:
  1. Check e-mail daily.
  2. Keep messages short and to the point.
  3. Be professional and careful regarding what you say about others.
  4. Use sarcasm and humor with care. Without face to face communications such remarks can be misinterpreted.
  5. Cite all quotations, references and sources.
  6. Observe chain of command when corresponding with superiors.
  7. Include signature footer at the bottom of the message with name, affiliation and e-mail address.
  8. Include disclaimer\* at bottom of e-mail message.
  9. Follow e-mail policy as stated above.
    - These recommended e-mail procedures apply to all e-mail messages transmitted or received from any diocesan e-mail system including the mobile systems outlined above.
- Remember, e-mail is not necessarily secure or private. Be careful in its use.

#### **PERSONAL USE:**

Though personal use of diocesan computer systems – including e-mail and the Internet – is discouraged, the diocese recognizes that an occasion might arise when it is necessary for an employee to use or access these systems for personal reasons. Therefore, such personal use will be allowed on an occasional and limited basis subject to the criteria listed below:

- Use is brief and occurs infrequently.
- Use does not interfere with the performance of the employee's official duties.
- Use does not interfere with or disrupt the work of other employees.
- Use does not compromise the security or integrity of diocesan computer systems.
- Use does not violate any of the other provisions of the diocesan email and Internet policy.
- Personal records should not be kept in the diocese's computers or file systems as all records kept in the diocese's record storage devices are subject to legal discovery.

#### **\*Disclaimer:**

This message is intended for the sole use of the individual and entity to which it is addressed and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If you are not the intended addressee, nor authorized to receive for the intended addressee, you are hereby notified that you may not use, copy, disclose or distribute to anyone the message or any information contained in the message. If you have received this message in error, please immediately advise the sender by reply email and delete the message. Thank you.

**INTERNET  
POLICIES AND PROCEDURES**

As with e-mail, the Diocese of Olympia is pleased to offer Internet access to its employees. Having access to the information and resources available on the Internet enhances our ability to do our jobs and provide services to our congregations and communicants. However, while most Internet use serves legitimate business and professional purposes, the potential for abuse exists. Such abuse infringes on staff productivity and may also create legal risks and liabilities. It is, therefore, the intent of the Diocese of Olympia to minimize such liabilities by providing staff with a policy governing Internet use.

**INTERNET USE POLICY**

Access to the Internet is a service provided to diocesan staff to assist them in the performance of their duties. Internet searches should be job-related and support business or professional activities. Staff shall not “browse the web” on diocesan time, create personal web pages, or otherwise use diocesan facilities to access the Internet for any inappropriate or illegal activity or for reasons unrelated to diocesan business and staff job responsibilities except as noted under *Personal Use*, page 22.

This Internet Use Policy applies to the use of social media web sites just as it does to all other Internet use. However, the proliferation of social media sites and their use by employees necessitates specific guidelines addressing social media use for the Diocese of Olympia. Please contact the Communications Office for these guidelines. Internet use may be monitored. Please be aware that staff should have no expectation of privacy. Do not treat Internet use as confidential or private.

If you have any questions about the E-Mail and Internet policies and procedures stated on pages 20-23, please address them to the Archivist/Records Manager before signing the following agreement:

**I have read the Diocese of Olympia’s E-Mail and Internet Policies and Procedures and agree to abide by them. I understand that violation of any of the above policies may result in disciplinary action, up to and including my termination.**

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**NOTE: For Social Media Guidelines, contact the Communications Office.**



## **VITAL RECORDS**

Vital records are those records that are essential to the continued functioning of the organization. Vital records may or may not be permanent. Generally, they are records that are necessary for establishing or defending the legal and financial position of the organization. This definition may be expanded to include those records that are essential to the functioning of a department or office - records which would be extremely difficult and/or time consuming to reconstruct and that cannot be obtained elsewhere. In general, vital records account for 3-5% of an organization's records.

Diocesan records that are considered vital have been indicated as such on the Records Retention Schedule. These records should be treated with an extra amount of care. In general, originals should be filed in fireproof files. It may be appropriate to keep some of these documents in a safe or a safety deposit box. In some instances, duplicate copies should be made and kept off-site. Electronic records should be backed-up regularly and the back-ups kept in a secure, off-site location. The Archivist/Records Manager will work with each office to evaluate the security requirements for each vital records series. Contact the Archivist/Records Manager if you have any questions or immediate concerns about your vital records.

## **CONFIDENTIAL RECORDS POLICIES AND PROCEDURES**

### **INTRODUCTION**

The following policies and procedures relate to records that are confidential, private or privileged.\* These records are created while conducting business for the Diocese of Olympia. The offices of record for these records include (but are not limited to) the Bishop's Office, the Canon to the Ordinary, Faith Formation, Huston Camp & Conference Center, Human Resources, Refugee Resettlement Ministry, Stewardship and Development and Treasurer/Finance. These records are created with the presumption of privacy and to foster and support confidential relationships and communications. Therefore, access to these records is limited to specific, authorized users. In general, the Bishop or his delegate has the right to access any record created during corporation business or on behalf of the diocese.

Further, the Chancellor and/or the diocesan insurance carrier may be granted access or have a legal right to access if warranted by the circumstances. The Archivist/Records Manager has access in so far as is necessary to carry out the duties of the position. In certain situations, a release form or waiver may be required.

Access can mean many things and is determined by circumstances. In most cases, access means the reporting of data or information contained in the file. In other cases, access indicates the need for copies of documents contained in the file and in still other instances, access indicates permission to review the contents of the file. Signed release forms are used when necessary. The Bishop or his delegate (generally the Chancellor or the head of the Office of Record concerned) determines the need for access and the type of access to be granted.

The fact that the diocese has a fiduciary\* responsibility to protect confidential records created with a presumption of privacy is substantiated by canon and civil law. Title III, Canon 4 of the Canons for the Government of the Protestant Episcopal Church (2000) requires "proper regard for confidentiality" in relation to medical, psychological and psychiatric reports on postulants; Title III, Canon 9, Section 15(g) of the Canons of the General Convention (2018) says that "Statements made during the course of proceedings under this Canon (Of the Dissolution of the Pastoral Relation) are not discoverable nor admissible in any proceedings under Title IV provided that this does not require the exclusion of evidence in any proceeding under the Canons which is otherwise discoverable and admissible." Title IV (Ecclesiastical Discipline) Canon 4 (Of Standards of Conduct) Section 1 (2018) "In exercising his or her ministry, a Member of the Clergy shall: (a) respect and preserve confidences of others except that pastoral, legal or moral obligations of ministry may require disclosure of those confidences other than Privileged Communication." Title IV (Ecclesiastical Discipline) Canon 19 (Of General Provisions) Section 26 (2018) states that "Whenever in this Title it is provided that any communication, deliberation, investigation or proceeding shall be confidential, no person having knowledge or possession of confidential information derived from any such communication, deliberation, investigation or proceeding shall disclose the same except as provided in this Title, in any Accord or Order, or as required by any applicable law." Title IV (Ecclesiastical Discipline) Canon 19 (Of General Provisions) Section 27 (2018) "Privileged Communication shall not be disclosed, nor shall any negative inference be drawn respecting the claim of the privilege, unless the privilege is waived by the person to who the

**CONFIDENTIAL RECORDS (CONT.)**

privilege belongs....Notwithstanding any provision of this section to the contrary, no waiver by a penitent of the privilege which attaches to communications or disclosures made within the Reconciliation of a Penitent shall work to require any confessor to divulge anything pertaining to any such communications or disclosures, the secrecy of the confession being morally absolute as provided in the Book of Common Prayer.

Title IV, Canon 2 (Of Terminology used in this Title), Section 1 (2018). "Privileged Communications" shall mean any communication or disclosure made in confidence and with an expectation of privacy (a) within the Rite of Reconciliation of a Penitent; (b) between a client and the client's attorney (c) between a Respondent and an Advisor or a Complainant and an Advisor; (d) between persons in a relationship in which communications are protected by secular law or Diocesan Canons; or between and among a Conciliator and participants in a conciliation under Canon IV.10."

Civil statutes such as Revised Code of Washington (RCW) 18.83.110 indicate that records such as psychological assessments are privileged from disclosure; RCW 70.02 outlines access and disclosure procedures for health care records; RCW 5.60.060 governs the records with attorney/client privilege and RCW 5.60.070 provides confidentiality to products of mediation. In addition to the Washington codes, records created and maintained by diocesan employees may enjoy the work product privilege. Federal Rules of Civil Procedure (FRCP) Rule 26(b)(3) establishes the work product doctrine and defines the records protected by this doctrine as documents and tangible things prepared in anticipation of litigation or for trial. Under (FRCP) Rule 26(b)(3) these documents can be obtained only if the parties seeking access can prove "undue hardship and substantial need." Pappas v Holloway and Hickman v Taylor have been used in broadening the work product doctrine to protect materials prepared in anticipation of litigation or for trial by or for another party even after litigation has terminated. This agrees with canonical principles and with the following internal policies and procedures relating to confidential records.

Confidential records are not to leave the Office of Record. Even though diocesan employees develop or compile these records, the employee does not own the records. The contents or topic of the records are not to be discussed outside established parameters. Disposition of confidential records may not be determined without a retention schedule or without consultation with the Archivist/Records Manager.

If civil litigation or canonical investigation begins, any retention attached to the records is to be suspended; that is, records may not be destroyed. When a record relating to a case is requested by the Chancellor or other appropriate authority, all offices or individuals involved with the creation or maintenance of records relating to the case will be contacted and all pertinent records provided. If records are subpoenaed, the Chancellor and the Archivist/Records Manager will be contacted prior to any action.

**CONFIDENTIAL RECORDS (CONT.)**

These policies and procedures seek to ensure the integrity and content security of the record, whatever its format. Content security refers to the principle of protection against destruction, disclosure, modification or breach of confidentiality of information contained in a record. Limited access protects the confidentiality and/or privileged elements intrinsic to the record. In addition, these policies and procedures attempt to bridge canon and civil laws to protect and limit access to confidential records and to protect the principle of religious freedom.

\*Definitions from the Random House Unabridged Dictionary, 2nd ed., 1987.

**CONFIDENTIAL:** Spoken, written, acted on, etc. in strict privacy or secrecy; secret.

**CONFIDENTIAL COMMUNICATION (LAW):** A confidential statement made to a lawyer, doctor or pastor or to one's husband or wife, privileged against disclosure in court if the privilege is claimed by the client, patient, penitent or spouse. Also called **PRIVILEGED COMMUNICATION**.

**PRIVATE:** 1. Belonging to some person. 2. Pertaining to or affecting a person or a small group of persons. 3. Confined to or intended only for the persons immediately concerned; confidential. 4. Personal and not publicly expressed. 7. Removed from or out of public view or knowledge; secret. 8. Not open or accessible to the general public.

**PRIVILEGED:** ...3. Restricted to a select group or individual. 4. (Law) (of utterances or communications) a. not rendering the person making them liable to prosecution for libel or slander, in view of attendant circumstances. b. not requiring any testimony concerning them to be presented in court.

**FIDUCIARY:** A "person" to whom property or power is entrusted for the benefit of another...2.adj. (Law) of or pertaining to the relation between a fiduciary and his or her principal. 3. of, based on, or in the nature of trust and confidence, as in public affairs a fiduciary obligation of government employees.

## CONFIDENTIAL RECORDS (CONT.)

### PERSONNEL RECORDS

**APPLICANT FILES:** Records of individuals who have applied for Holy Orders but have not yet been admitted. **Note:** If an individual is ordained, this file is transferred to the Clergy Files in the Bishop's Office. Inactive files are transferred to Archives. Content of Applicant Files may include applications for postulancy, candidacy, ordination, statements to the Bishop and accompanying correspondence; canonical certificates; physical and psychological examinations (in a separate file); academic transcripts; BACAM reports; background checks; other evaluations, reports, interview results and correspondence; recommendations to the Bishop and the action of the Bishop. The Bishop's Office is the Office of Record. However, during the discernment process, duplicates may be necessary for members of the Commission on Ministry, BACAM (Bishop's Advisory Committee on Admission to the Ministry) and/or the Standing Committee. These duplicates will be numbered, collected and destroyed after use. Access to the Applicant Files is restricted to the Bishop, his delegates (including but not limited to the Bishop's Executive Assistant, the Canon to the Ordinary, the Archivist/Records Manager, members of the above-mentioned committees) and, with the necessary permission, the individual applicant.

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**CLERGY FILES-ACTIVE:** Records of ordained clergy including active clergy canonically resident, retired clergy canonically resident and licensed clergy. These records are generally kept in the Bishop's Office but may be transferred to Archives if the files become too large.

**CLERGY FILES-INACTIVE:** Records of ordained clergy not canonically resident, deceased clergy and clergy who have renounced their vows. These records are kept in Archives. Content of Clergy Files (Active & In-Active) may include: Clergy information sheet; ordination documents such as certificates, programs, announcements; appointment documents; routine correspondence such as vacation notifications; routine interoffice and action-item memoranda; non-routine correspondence and interoffice memoranda; evaluations, assessments, reviews and psychological reports such as those required for candidacy; background checks-final report; misconduct sign-off documents (Washington State Patrol-Request for Criminal History Information; Diocese of Olympia Policies and Procedures in Cases of Sexual Misconduct; Church Insurance Co., New Warranty for Sexual Misconduct certification of training form, etc.); search and deployment-final determination and selection documents ...When an ordained individual is an employee of the Diocese of Olympia, that person's Clergy File may also include: Employment application; resume; letters of reference; appointment letter; performance evaluations; and salary and benefit letter. **Note:** payroll/insurance related documents such as W-4s, I-9s and insurance applications may be found in the Personnel Files located in the Treasurer's Office.

### CONFIDENTIAL RECORDS (CONT.)

The files may not contain duplicates, drafts, hand-written notes or telephone logs. These types of records should be destroyed when their purpose has been fulfilled. However, with the above exceptions, contents of the files including correspondence and other materials directed to the Bishop's Office relating to or created by an individual clergy person may not be destroyed regardless of content, format or style while the file is active or if there are any on-going or pending judicial or canonical proceedings related to the records.

The Bishop's Office is the Office of Record. However, working papers regarding background checks, search and deployment documents and a copy of the misconduct sign-off documents are kept in the Canon to the Ordinary's office. Access to the Clergy Files is restricted to the Bishop and his delegates (including but not limited to the Bishop's Executive Assistant, the Canon to the Ordinary; the Archivist/Records Manager). Access to payroll/insurance records is restricted to the Bishop, and his delegates (including the Canon for Finance, the Insurance Administrator, the Accountant and Archivist/Records Manager).

An individual clergy person may have access to information in his clergy file upon permission from the Bishop. Once access has been authorized, the Bishop or his delegate will review the file and determine what documents are appropriate and/or legal for the clergy person to view. These documents may include clergy information sheets, routine correspondence and appointment documents. Records such as psychological profiles, assessments and evaluations are protected by civil law, are privileged against compulsory disclosure (RCW 18.83.110) and are permanently closed to public access.

Other restricted records may include non-routine correspondence and inter-office memoranda, as well as correspondence that has not been officially released by the author (third-person correspondence). Such correspondence is closed to public access for a period of 30 years after the death of the author, the recipient and any individuals referred to in the correspondence. 30 years after death, limited access for research purposes may be granted at the Archivist/Records Manager's discretion if no additional restrictions on the correspondence exist.

Clergy files are closed to public access for a period of 30 years after the death of the clergy person. 30 years after death limited access for research purposes may be granted at the Archivist's discretion. However, a reference file containing general, publicly disseminated biographical information on clergy is also maintained in the Archives and this file is immediately available for research.

**LAY EMPLOYEE FILES:** Records of non-clergy individuals who have been or who are currently employed by the Diocese of Olympia. Content of Lay Employee Files may include: Employment application; resumes; job description; letters of reference; appointment letters; performance evaluations; attendance and leave forms; medical reports; training and employment history; and salary and benefit letters. **Note:** Payroll/insurance related documents such as W-4s, I-9s and insurance

### **CONFIDENTIAL RECORDS (CONT.)**

applications, Washington State Patrol forms; and diocesan misconduct sign-off documents may be found in the Personnel Files located in the Treasurer's Office.

The Canon for Governance and Human Resources' Office is the Office of Record except for Huston Camp and Conference Center, St. Andrew's House and Refugee Resettlement employees. The Treasurer's Office is Office of Record for payroll/insurance documentation as noted above. Access to the Lay Employee Files is restricted for a period of 30 years after the employee's death to the Bishop, his delegates (including but not limited to the Chancellor, the Canon for Operations, the Archivist/Records Manager) and, upon request to the Canon for Governance and Human Resources, the individual lay employee. Access to payroll/insurance records is restricted to the Bishop, his delegates (including the Canon for Finance, the Insurance Administrator, the Accountant, and the Archivist/Records Manager) and, upon request to the Canon for Governance and Human Resources, the individual lay employee. 30 years after the death of the employee, limited access for research purposes may be granted at the Archivist/Records Manager's discretion.

### **SACRAMENTAL RECORDS (See also Diocese of Olympia Archives - Sacramental Records Access Policy)**

**CONFIRMATION RECORDS:** Records of individuals who have been confirmed by the Bishop of Olympia. Content of the record may include name of confirmed individual, date of confirmation, church where confirmed, church attending, bishop officiating, clergy attending, where baptized, when baptized, and names of sponsors. The Bishop's Office is the Office of Record. The confirmation is recorded both electronically and in paper form. However, confirmations are also recorded in the parish registers of individual congregations and these policies and procedures apply to them as well.

Access to Confirmation Records is restricted for a period of 80 years from date of creation to the Bishop, his delegates (including but not limited to the Bishop's Executive Assistant, the Chancellor, the Episcopal clergy involved in the confirmation, and the Archivist/Records Manager), the individual named in the record as having received the sacrament; the parents of the subject if the subject is a minor; and government agencies (such as Social Security) that present a signed release from the individual whose record is requested. An exception may be made – at the discretion of the Archivist/Records Manager with the advice of the Bishop and/or the Chancellor - for the immediate family of an individual named in the record if that individual is deceased or unable to personally make the request.

If a person representing a civil authority (law enforcement, court official, lawyer, etc.) requests a record for civil or legal purposes, that person will be referred to the Chancellor who will handle the request.

**PARISH REGISTERS:** The Parish Registers record all Baptisms, Confirmations (including the canonical equivalents in Canon I.17.1 [d]), Marriages and Burials taking place within a

## **CONFIDENTIAL RECORDS (CONT.)**

### **PARISH REGISTERS (CONT.):**

congregation. *See* Canon III.9.6. Constitution and Canons ...for the Government of the Protestant Episcopal Church... 2018.

Content of the Parish Registers may include names and addresses of individuals receiving the sacraments, date and church where received, sponsors attending, parents' names, clergy attending and communicant status. A brief history of the congregation may be included. The Bishop's Office is Office of Record for Parish Registers belonging to closed congregations. Active congregations are the Offices of Record for their own Parish Registers. These policies and procedures apply to all having responsibility for the maintenance and care of Parish Registers.

Access to Parish Registers is restricted for 80 years from date of creation to the Bishop, his delegates (including but not limited to the Bishop's Executive Assistant, Chancellor, the Episcopal clergy involved in the canonical procedures and the Archivist/Records Manager), the individual or individuals named in the record as having received the sacrament, the parents of the subject if the subject is a minor and government agencies (such as Social Security) that present a signed release from the individual whose record is requested. An exception may be made – at the discretion of the Archivist with the advice of the Bishop and/or the Chancellor - for the immediate family of an individual named in the record if that individual is deceased or unable to personally make the request.

If a person representing a civil authority (law enforcement, court official, lawyer, etc.) requests a record for civil or legal purposes, that person will be referred to the Chancellor who will handle the request.

**RE-MARRIAGE FILES:** (formerly Marital Judgment Files): Records of church members who have applied to the Bishop for a marital judgment and/or consent to be re-married. *See* Canon I.19 .3 Constitution and Canons ...for the Governance of the Protestant Episcopal Church... 2018. Content of working Re-Marriage Files may include the application of a church member to the Bishop for a judgment as to his or her marital status in the eyes of the Church along with associated correspondence and appropriate evidence such as divorce decrees. Once a judgment is rendered, the judgment ONLY is kept in the permanent Re-Marriage File and all other documents destroyed or returned. *See* Retention Schedule – Canonical Services. The Bishop's Office is the Office of Record.

Access to the Re-Marriage Files is restricted to the Bishop, his delegates (including but not limited to the Chancellor, the Bishop's Executive Assistant, the Archivist/Records Manager) and, upon request to the Bishop, the individual named in the record as having received the judgment. **PERMANENTLY CLOSED TO PUBLIC ACCESS.**

### **PARISH AND MISSION FILES**

Parish and mission files document the history, growth and development of individual congregations. Content of parish and mission files may include parish and mission history, documentation of granting



## **CONFIDENTIAL RECORDS (CONT.)**

### **PARISH AND MISSION FILES (CONT.)**

mission or parish status, financial reports, record of clergy, property files, building plans and surveys, congregational statistics, contracts and legal documents, conflict and transition files (including diocesan Canon 25 files), ERT (Early Response Team) documentation, parish and mission profiles and surveys, correspondence, minutes, etc. The Canon to the Ordinary's Office is the Office of Record.

Access to Parish and Mission Files, with the exception of Canon 25 files, is restricted for a period of 50 years from date of creation to the Bishop, his delegates (including but not limited to the Chancellor, the Canon to the Ordinary, and the Archivist/Records Manager), rector or vicar of the parish or mission concerned and with written permission, his delegates.

Access to Canon 25 files is restricted for a period of 50 years after the resolution of the case to the Bishop and his delegates only. 50 years after resolution of the case, limited access for research purposes may be granted at the Archivist's discretion.

### **HEALTH & SAFETY AND YOUTH MINISTRY FILES**

**CHILD PROTECTIVE SERVICES REPORTS:** Reports made to or obtained from Child Protective Services regarding any minor child who has or is participating in any diocesan sponsored program or event. Content of Child Protective Services Reports may include correspondence and/or other documentation relating to possible misconduct directed towards a minor child who has or is participating in any diocesan sponsored program or event.

Faith Formation or Huston Camp and Conference Center would be the Office of Record depending upon the specific program or event involved.

Access to Child Protective Service Reports is restricted to the Bishop and his delegates (including but not limited to the Chancellor, the Canon for Youth & Young Adults, the Project Coordinator for Youth & Young Adults, the Director of Huston Camp & Conference Center, and the Archivist/Records Manager). Anyone else, including representatives of civil authorities, will be referred to the Chancellor.

**COVENANT CORRESPONDENCE:** Correspondence with a program or event participant whose behavior has been questionable. Content of Covenant Correspondence may include a description of the behavior in question and an indication of what action shall be taken in response to the problem behavior.

Faith Formation or Huston Camp and Conference Center would be the Office of Record depending upon the specific program or event involved.

Access to Covenant Correspondence is restricted to the Bishop and his delegates (including but not limited to the Chancellor, the Canon for Youth & Young Adults, the Project Coordinator for Youth &

## **CONFIDENTIAL RECORDS (CONT.)**

### **HEALTH & SAETY AND YOUTH MINISTRY FILES (CONT.)**

Young Adults, the Director of Huston Camp and Conference Center and the Archivist/Records Manager). Anyone else, including representatives of civil authorities, will be referred to the Chancellor.

**HEALTH FORMS AND HEALTH LOGS:** Health records of individuals who have participated in diocesan sponsored programs or events. Content of Health Forms and Health Logs may include the names, addresses, ages, and parents' names of individuals who have or are participating in diocesan sponsored programs or events, their health conditions and any medications and/or medical treatments they may require or have received as well as signed parental waivers.

Faith Formation or Huston Camp and Conference Center would be the Office of Record depending upon the specific program or event involved.

Access to Health Forms and Health Logs is restricted to the Bishop, his delegates (including but not limited to the Chancellor, the Canon for Youth & Young Adults, the Director of Huston Camp and Conference Center, the Archivist/Records Manager), medical personnel directly involved in treatment of the individual named in the record, and, with the necessary permission, parents of a minor child named in the record or if an adult, the individual named in the record. Anyone else, including representatives of civil authorities, will be referred to the Chancellor.

## **CURRICULUM DEVELOPMENT & TRAINING**

### **STUDENT FILES:**

Records of individuals who have applied to, attended and/or graduated from the Iona Olympia School or the previous Diocesan School of Ministry and Theology (DSOMAT). Content of Student Files may include application form, transcripts from high school and/or college, test scores, grade sheets, scholarship requests, transcripts, evaluations of the student and correspondence.

The Iona Olympia School or the previously Diocesan School of Ministry and Theology (DSOMAT) is the Office of Record. Access to Student Files is restricted for a period of 30 years after the student's death to the Bishop, his delegates (including but not limited to the Chancellor, the Dean, the Project Manager for Faith Formation, the Archivist/Records Manager) and, with the necessary permission, faculty members. Students may have access to their individual files upon request to the Dean. Anyone else, including representatives of civil authorities, will be referred to the Chancellor. Thirty (30) years after the death of the student, limited access for research purposes may be granted at the Archivist's discretion.

## **FINANCIAL MANAGEMENT**

### **BEQUESTS, WILLS, TRUSTS & GIFTS:**

Records of bequests, wills, trusts and gifts benefiting the Diocese, its parishes, missions, institutions, etc. Contents include terms and any related documentation. The Treasurer's Office is the Office of Record.

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**CONFIDENTIAL RECORDS (CONT.)****FINANCIAL MANAGEMENT (CONT.)**

Access to Bequests, Wills, Trusts & Gifts is restricted for a period of 30 years after the death of the individual who made the bequest, will, trust or gift to the Bishop, his delegates (including but not

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restricted to the Chancellor, the Director of Stewardship & Development; the Administrative Assistant for Stewardship & Development, the Treasurer, the Canon for Finance and the Archivist/Records Manager.) The individuals who made the bequest, will, trust or gift may have access to their individual files upon request to the Treasurer. Anyone else, including representatives of civil authorities will be referred to the Chancellor. Thirty (30) years after death, limited access for research purposes may be granted at the Archivist's discretion if not otherwise restricted by the terms of the bequest, will, trust or gift.

**DONOR FILES:**

Records of individuals who have donated funds to any diocesan program or campaign including, but not limited to, the Capital Campaign, the Episcopal Community Action (Episcopal Charities Appeal), and Planned Giving.

Content of Donor Files may include personal information on donors, amount of donations and pledges. Any restrictions placed on donations by donors (such as the wish to remain anonymous) will be respected.

Access to Donor Files is restricted for a period of 30 years after death of the donor to the Bishop, his delegates (including but not limited to the Chancellor, the Canon for Stewardship & Development, the Administrative Assistant for Stewardship & Development, the Treasurer, the Canon for Finance and the Archivist/Records Manager). Donors may have access to their individual files upon request to the Canon for Stewardship & Development or the Administrative Assistant for Stewardship & Development. Anyone else, including representatives of civil authorities, will be referred to the Chancellor. Thirty (30) years after death of the donor, limited access for research purposes may be granted at the Archivist's discretion if not otherwise restricted by the terms of the donation.

**PAYROLL/INSURANCE FILES** *See* PERSONNEL FILES.

**DONATION FILES** *See* DONOR FILES

**CONFIDENTIAL RECORDS (CONT.)****MINISTRIES AND INSTITUTIONS****REFUGEE RESETTLEMENT MINISTRY - IMMIGRANT FILES:**

Records of immigrants who have applied to the Refugee Resettlement Ministry for assistance. Content of Immigrant Files may include general information on immigrants who have approached the Refugee Resettlement Ministry for assistance. Access to Immigrant Files is restricted to the Bishop, his delegates (including but not limited to the Chancellor, the Director of the Refugee Resettlement Ministry, his staff and the Archivist/Records Manager). Representatives of legitimate social service organizations may be allowed access with the permission of the Director of the Refugee Resettlement Ministry and immigrants may have access to their individual files upon request to the Director of the Refugee Resettlement Ministry. Anyone else, including representatives of civil authorities, will be referred to the Chancellor.

**REFUGEE RESETTLEMENT MINISTRY - REFUGEE FILES:** Records of refugees processed through the Domestic & Foreign Missionary Society of the Episcopal Church and assisted by the Refugee Resettlement Ministry. There is one file per family.

Content of Refugee Files may include Affidavit of Relationship, Evaluation of Anchor Relative or Friend Sponsor, and the Reception and Placement Program Assurance forms from the U.S. Department of State; copies of disbursement vouchers; Episcopal Migration Ministry 30 Day Cash and Donated Support Record, Core Services Checklist, and Arrival Form; Volunteer Agency-Verification of Refugee Financial Status; Diocese of Olympia-Refugee Case Record; 90-Day Employment Assessment and Resettlement Evaluation; health care and general case notes; sponsorship commitment and health screening forms; copies of Social Security and I-94 cards and promissory notes for travel loan; King County Department of Public Health-Summary Information for Sponsor and correspondence. Closed files contain a notice indicating the file has been officially closed.

Access to Refugee Files is restricted to the Bishop, his delegates (including but not limited to the Chancellor, the Director of the Refugee Resettlement Ministry, his staff and the Archivist/Records Manager). Representatives of other legitimate social service organizations may be allowed access with the permission of the Director of the Refugee Resettlement Ministry and refugees may have access to their individual files upon request to the Director of the Refugee Resettlement Ministry. Anyone else, including representatives of civil authorities, will be referred to the Chancellor.

**THESE POLICIES AND PROCEDURES ARE WRITTEN IN ORDER TO RESPECT THE PRIVACY OF THE INDIVIDUAL IN ACCORDANCE WITH TITLE III, CANON 4 OF THE CANONS FOR THE GOVERNMENT OF THE PROTESTANT EPISCOPAL CHURCH (2000), OTHER RELEVANT CANONS AND CIVIL LAW AS OUTLINED IN THE INTRODUCTORY STATEMENT.**

## **RECORDS RETENTION SCHEDULE INSTRUCTIONS FOR USE**

A records retention schedule has been developed for the use of diocesan offices. The retention schedule presented in this edition of the *Records Management Program – Policies and Procedures Manual* is known as a functional records retention schedule and replaces all previous retention schedules which have been based on a departmental structure. A functional records retention schedule is organized by business or pastoral function or activity rather than by office or department. This method more accurately reflects the functions and mission of the diocese 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 of the diocese remain relatively stable over time despite changing departmental names, configurations, and responsibilities.

Another benefit of the functional approach to scheduling records series is that all diocesan records series are centralized in one document and it is no longer necessary to consult individual department schedules as well as a general schedule.

The records retention schedule will be reviewed annually and updated as required. If, after reading the following instructions, you have any questions regarding the content of this schedule or questions regarding instructions for its use, please contact the Archivist/Records Manager.

### **1. ADMINISTRATIVE CONTACT**

Whether officially designated as an administrative contact – or not – there should be one person in each office who is primarily responsible for administering the records retention schedule.

### **2. ANNUAL REVIEW**

Records (paper & electronic) should be reviewed annually. The file cut-off date should be December 31st of each year. Complete your review by March 1st of the following year.

### **3. RECORDS RETENTION/TRANSFER**

Compare the dates of the records you have in your office to the recommended retention periods appearing on the schedule. IF the retention period for a record category is complete and the schedule indicates that the records are to be destroyed, fill out a Records Retention Form according to instructions found on the form (*See Appendix D*), box up the records (*See 6. below*) and send them to Archives along with the form so the records may be properly destroyed. **DO NOT DESTROY THE RECORDS YOURSELF.**

If you want to transfer **ELECTRONIC** records to the Digital Archives for permanent retention, send the records electronically to the Archivist/Records Manager with an explanatory email.

IF the records due for destruction are **ELECTRONIC** in format, fill out a Records Retention

## **RECORDS RETENTION SCHEDULE INSTRUCTIONS FOR USE (CONT.)**

Form and send to the Records Manager. The Records Manager will then contact you and arrange for their destruction. It is extremely important that all copies of the record are destroyed, regardless of format or location - disks, back-ups, etc. **DO NOT DESTROY THE RECORDS YOURSELF UNTIL YOU BEEN CONTACTED BY THE RECORDS MANAGER.** Exceptions are E-Mail and Working Files. *See Glossary of Terms and section on Electronic Records for more information.*

IF the retention period is complete and the schedule indicates that the records are to be reviewed for archival value, fill out a Records Retention Form, box up the records and send them to Archives along with the form so they may be reviewed, archival items kept and the remainder properly destroyed. For ELECTRONIC records, contact the Archivist/Records Manager for review.

IF the retention period is not yet complete but you no longer have room to store the records in your office, fill out a Records Retention Form, box up the records and send them to Archives along with the form so they may be properly stored until their retention period is up.

### **4. ORIGINALS AND COPIES**

IF the records you have are COPIES and you know the originals exist in the Office of Record, keep your copies while administratively useful but NO longer than the retention period listed for the Office of Record, then fill out a Records Retention Form, box up the records (copies) and send them to Archives along with the form so they may be properly destroyed. For ELECTRONIC copies, contact the Archivist/Records Manager.

It is important that all copies of records – regardless of format or location – that are due for destruction per the retention schedule are destroyed.

If your office is not the Office of Record and the retention schedule indicates a retention period for OTHER offices, follow that retention period.

### **5. DISPOSITION OF RECORDS**

Once received, the Records Manager will either store or destroy the records as indicated by the records retention schedule, will complete the Records Retention Form indicating location or destruction information and, if requested, return a copy of the form to you for reference.

### **6. DESTRUCTION OF RECORDS**

As stated above, when the retention period for a record series is complete, **DO NOT DESTROY THE RECORDS** yourself but transfer them to Archives or, in the case of electronic records, notify the

## **RECORDS RETENTION SCHEDULE INSTRUCTIONS FOR USE (CONT.)**

Records Manager, so that proper destruction procedures may be followed. This applies to ALL scheduled records.

**NOTE:** There is a category of unscheduled, transitory material that YOU may dispose of as soon as it has served its purpose. This applies to electronic records as well. *See* Appendix C.

**NOTE: IF THE DIOCESE RECEIVES NOTICE OF PENDING OR ACTUAL LITIGATION OR IT APPEARS LIKELY THAT SUCH LITIGATION WILL TAKE PLACE, THE DESTRUCTION OF RECORDS MUST CEASE IMMEDIATELY.**

### **7. BOXES**

Records storage boxes may be obtained from the supply room or from the Archivist/Records Manager. Do NOT label or mark the outside of the boxes before transferring to Archives. Do NOT over fill or under fill the boxes. Do NOT place binders or hanging files in boxes. Make sure lids fit firmly.

### **8. RECORDS RETENTION FORM**

A master Records Retention Form is included in your Records Management Manual. Use this master to make copies or contact the Archivist/Records Manager about receiving an electronic form. DO fill out a form for each box of records being transferred to Archives and DO place the form inside the corresponding box. *See* Appendix D.

## **Records Retention Schedule**

**See Page 52**



**APPENDICES**

**AND**

**BIBLIOGRAPHY**

## APPENDIX A

### **Definition of records as found in the Canons of the Episcopal Church, 2000, Title I; Canon 5:2.**

For the purposes of this Canon, records are defined as all fixed evidential information regardless of method, media, format or characteristics of the recording process, which have been created, received or gathered by the Church, its officers, agents or employees in pursuance of the legal, business and administrative function and the programmatic mission of the Church. Records include all original materials used to capture information, notwithstanding the place or conditions of creation, or the formality or informality of the characteristics of the record. The records and archives of the Church are not limited by the medium in which they are kept and include such formats as paper records, electronic records, printed records and publications, photo-reproduced images, and machine-readable tapes, film and disks.

## APPENDIX B

### **\*ALPHABETIC FILING RULES: Summary.**

a. Alphabetize by arranging files in unit-by-unit order and letter-by-letter within each unit. (A filing unit may be a number, a letter, a word or any combination of these).

b. Each filing unit in a filing segment is to be considered. This includes prepositions, conjunctions and articles. The only exception is when the word "the" is the first filing unit in a filing segment. In this case, "the" is the last filing unit. File all symbols (&, \$, #, etc.) as if they were spelled out. (A filing segment is the total name, subject or number which is being used for filing purposes).

c. File "nothing before something." File single unit filing segments before multiple unit filing segments.

d. Ignore all punctuation when alphabetizing. This includes periods, commas, dashes, hyphens, apostrophes, etc. Hyphenated words are considered one unit.

e. Arabic and Roman numbers are filed sequentially before alphabetic characters. All Arabic numerals precede all Roman numerals.

f. Acronyms, abbreviations and radio and television station call letters are filed as one unit.

g. File under the most used name or title. Cross reference under other names or titles which might be used in an information request.

\* For complete filing guidelines *see* the following publication which is available in the Archives/Records Management Office:

Alphabetic Filing Rules: ARMA International Standards Task Force, 1986.

## APPENDIX C

### TRANSITORY RECORDS/NON-RECORD MATERIAL

Often a large quantity of transitory material can be found in correspondence and general subject files which can be eliminated to reduce the volume of records. The following types of material may be eliminated from correspondence and subject files without altering the substantive value of the files:

1. Letters and memoranda of transmittal that do nothing more than forward an enclosure and add nothing to the content of the item transmitted.
2. Acknowledgements.
3. Requests for information and publications (after the information has been received or sent).
4. Reservations or confirmations.
5. Itineraries.
6. Requests to be added to mailing lists (after the addition has been made).
7. Invitations and announcements of meetings.
8. Copies of inter- or intra-agency memoranda, bulletins and directives of a general and non-continuing nature.

The following types of materials are designated as "non-record material" and may be disposed of as soon as they have served their purpose:

1. Catalogs, trade journals and other printed or published materials received from other offices, commercial firms or private institutions which require no action and are not needed for documentary purposes.
2. Electrostatic, photocopy or other copy-device copies of correspondence, completed forms, bulletins, etc. prepared for reference and informational distribution.
3. Letters of transmittal which do not add any information to the transmitted material.
4. Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency, e.g., notices of community affairs, employee meetings, holidays, etc.
5. Preliminary drafts of letters, memoranda, reports, worksheets and informal notes which do not represent significant basic steps in the preparation of record documents.
6. Reproduction material such as stencils, hectograph masters and offset plates.
7. Routing slips used to direct the distribution of documents.
8. Shorthand notes, stenotype tapes and mechanical recordings which have been transcribed into typewritten or printed form.
9. Stocks of agency publications, forms and printed documents, preserved for supply purposes, which are superseded, outdated or otherwise valueless.
10. Telephone messages, "While You Were Away" slips, check slips or similar forms used to convey non-policy informational messages.

Source: Washington State Archives, "General Records Retention Schedules."

Title

Date

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**APPENDIX D**

**DIOCESE OF OLYMPIA  
RECORDS RETENTION FORM**

**OFFICE** \_\_\_\_\_ **IDCODE** \_\_\_\_\_ **DATE** \_\_\_\_\_

**NAME OF PERSON ASSIGNING RECORDS TO STORAGE** \_\_\_\_\_

**NAME OF PERSON ACCEPTING RECORDS** \_\_\_\_\_

**RECORD GROUP\*** \_\_\_\_\_

**SERIES\*** \_\_\_\_\_

**DATE TO BE DESTROYED\*** \_\_\_\_\_

**DATE TO BE PLACED IN ARCHIVES\*** \_\_\_\_\_

**BOX NUMBER\*** \_\_\_\_\_ **LOCATION INSTORAGE\*** \_\_\_\_\_

**PLEASE LIST CONTENTS OF BOX BELOW OR ATTACH A TYPEWRITTEN LIST TO THIS FORM. MAKE ONE ENTRY FOR EACH FILE FOLDER:**

**Put this form in the box with the records you are sending for storage. The Records Manager will return a copy of this form for your records.**

**\*To be filled out by the Records Manager.**

**Storage process**  
**Complete:** \_\_\_\_\_  
**Forms Filed:** \_\_\_\_\_  
**Date:** \_\_\_\_\_  
**Signed:** \_\_\_\_\_

**APPENDIX E**

**DIOCESE OF OLYMPIA  
AUTHORIZATION FOR THE DESTRUCTION OF RECORDS**

To: \_\_\_\_\_ Date: \_\_\_\_\_

Dept: \_\_\_\_\_

- 1. The records listed below are eligible for destruction as approved by the records retention policy of the Diocese of Olympia.
- 2. If there is significant cause for retention beyond the scheduled period—check 'keep' and explain—otherwise check 'destroy.' Sign, date and return this form to the Records Manager. Thank you.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Title: \_\_\_\_\_

Box #	Record Title and Description	Dates	Retention	Destroy	Keep	Comment

**Destruction Authorization**

In conformity with the authority conferred unto me by the Diocese of Olympia, I hereby authorize and direct \_\_\_\_\_ to destroy the records of this diocese described above and marked 'destroy.'

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**Authorized Officer**

**Certificate of Destruction**

I hereby certify that I have this day destroyed the records marked 'destroy' on this sheet.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Notes:

Title

Date

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**APPENDIX F**

**DIOCESE OF OLYMPIA  
DEED OF GIFT**

**FULL NAME** \_\_\_\_\_

(PLEASE PRINT)

**ADDRESS** \_\_\_\_\_ **PHONE** \_\_\_\_\_

\_\_\_\_\_

**CONVEYS TO THE DIOCESE OF OLYMPIA THE FOLLOWING:**

**AS AN UNRESTRICTED GIFT, AND TRANSFERS TO THE DIOCESE OF OLYMPIA  
LEGAL TITLE, COPYRIGHT AND LITERARY PROPERTY RIGHT IN THE RECORDS,  
ARTIFACTS, OR OTHER MATERIAL (REGARDLESS OF FORMAT) IN AS FAR AS I/WE  
HOLD THEM EXCEPT AS NOTED BELOW. RESTRICTIONS AND EXCEPTIONS:**

**SIGNATURE** \_\_\_\_\_ **DATE** \_\_\_\_\_

(DONOR)

**SIGNATURE** \_\_\_\_\_ **DATE** \_\_\_\_\_

(ARCHIVIST)

## APPENDIX G

### DIOCESE OF OLYMPIA APPLICATION FOR USE OF THE ARCHIVES

Permission to use archival material will be granted to qualified researchers upon completion of this application form and agreement to abide by the following rules governing the use of the Diocese of Olympia Archives. Such permission is granted subject to whatever restrictions may have been placed on the materials by the donor or the Diocese of Olympia. Once permission has been granted, access to the Archives will be arranged by appointment with the Archivist.

**PROTECTION OF THE MATERIAL:** A researcher is responsible for safeguarding materials made available to him/her by the Archives. Materials may not be removed from the Archives. Original order of the materials must be maintained. The use of any kind of pen is prohibited. Papers may not be written on, folded or handled in any way that may cause damage. Cotton gloves will be worn while handling photographs. Eating, drinking and smoking are prohibited in the Archives.

**PERMISSION TO PUBLISH:** Permission to examine materials is not an authorization to publish them. Separate written application for permission to publish must be made to the Diocese of Olympia Archives. Researchers who plan eventual publication of their work should make inquiry concerning overall restrictions before beginning their research. In granting permission to publish, the Diocese of Olympia is not granting exclusive rights to the publication of the materials. One copy of all publications in which the Archives is cited as the source of material in the publication should be presented to the Archives upon publication. The Diocese of Olympia, its officers, employees and agents, does not assume any responsibility for the infringement of copyright or for any other liability incurred by the user of materials in the Diocese of Olympia archives.

**NOTE:** There are unpublished materials in the Archives for which the Diocese of Olympia does not own the copyright.

**PHOTODUPLICATION:** The Archives will consider requests for photo duplication of material when such duplication does not violate copyright restrictions. Single copies will be provided for the researcher's personal reference use. Researchers will be responsible for any expense incurred. Photocopies and other reproductions remain the property of the Diocese of Olympia Archives and the researcher may be required to return them. Permission is not granted to reproduce copies or to place these records on file in other repositories. Supplying a photocopy is not an authorization to publish. *See also* Photography Copying Agreement.

**EXCLUSIVE RIGHTS:** Exclusive rights to examine or publish will not be granted.



**APPENDIX G (CONT.)**

**APPLICATION FOR USE OF THE ARCHIVES**

**FULL NAME** \_\_\_\_\_

(PLEASE PRINT)

**ADDRESS** \_\_\_\_\_ **PHONE** \_\_\_\_\_

\_\_\_\_\_

**LOCAL ADDRESS** \_\_\_\_\_ **LOCAL PHONE** \_\_\_\_\_

(IF DIFFERENT FROM ABOVE)

**LENGTH OF TIME AT LOCAL ADDRESS** \_\_\_\_\_

**OCCUPATION** \_\_\_\_\_

**WORK/SCHOOL**

**ADDRESS** \_\_\_\_\_ **PHONE** \_\_\_\_\_

\_\_\_\_\_

**DESCRIPTION OF PROPOSED RESEARCH** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**ANTICIPATED FINAL RESULT FROM YOUR RESEARCH** \_\_\_\_\_

\_\_\_\_\_

**I AGREE TO ABIDE BY THE RULES SET FORTH IN THE ABOVE DOCUMENT. In consideration of my being granted permission to use the material in the Diocese of Olympia Archives, I agree to hold harmless the Diocese of Olympia, Inc., its officers, employees and agents from and against all claims and actions arising out of my use of the Archives. I also warrant that I have read the rules governing the use of the Archives' materials.**

\_\_\_\_\_  
**SIGNATURE OF RESEARCHER** **DATE**

Accepted by:

\_\_\_\_\_  
**SIGNATURE OF ARCHIVIST** **DATE**

**APPENDIX H**

**DIOCESE OF OLYMPIA  
PHOTOGRAPH COPYING AGREEMENT**

I, \_\_\_\_\_, agree that the photographs and/or negatives in my possession and described below are property of the Diocese of Olympia. I will not use them for commercial purposes or allow anyone to use them while in my possession for commercial purposes.

I will see that the ownership of these images is made clear to anyone in the future to protect the rights of the Diocese of Olympia.

I will see that the photographs are marked:

**Photograph courtesy of the Diocese of Olympia, Copyright \_\_\_\_\_  
For copies of this photograph, please contact the Archivist of the Diocese of Olympia.**

And will request permission to copy from the Diocese of Olympia.

**DESCRIPTION:**

**SIGNED:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**PRINT NAME:** \_\_\_\_\_

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Title

Date

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4/30/2020

**I have read the Diocese of Olympia's *Archives and Records Management: Policies and Procedures Manual* and agree to abide by the policies and procedures therein.**

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Name (Print)

---

Signature

---

Date

*Prepared by the Archives and Records Management Office  
Seattle, Washington  
April 30, 2020*

*this manual revises the manual dated June 20, 2013 & administrative revision dated May 10, 2017*