

§2600 DIOCESAN RECORDS

§2601 OWNERSHIP OF RECORDS

2601.1. Policy All records¹ created, received, used, maintained or preserved by a Diocesan Entity² or employee of the Diocese of Springfield in Illinois during the course of employment or in the transaction of Diocesan business are solely the property of the Diocese. No records shall be removed, destroyed, transferred, stored, transferred into another media type or otherwise disposed of except in compliance with Diocesan policies governing properly established Retention Schedules and the procedures developed by the Archives and Records Department.

§ 2602 RECORDS RETENTION SCHEDULES

2602.1. Policy Records retention scheduling for the disposition of all Diocesan Records shall be approved by the Records Conservation Board³ and administered by the Archives and Records Center.

Procedures

A records retention schedule is created by the Archives and Records Department Staff for each agency of the Diocese and includes a record's series title, description, retention period and legal citation. This schedule mandates the minimum retention period of records of the agency and is

¹"Records" as used herein shall include, but shall not be limited to, all recorded information, documents, letters, maps, books, photographs, films, sound recordings, tapes (magnetic and otherwise), born digital (ODMA) records, and any other documentary material regardless of media type or characteristics that have been created, received, used, maintained, or preserved by an agency of the Diocese of Springfield in Illinois or its employees in the course or transaction of its business or pursuant to its legal obligations.

Examples of materials that are not records within the meaning of these policies and procedures include library and museum material made or acquired and preserved solely for reference or exhibition purposes; extra copies of documents that have been preserved for convenience of reference; stocks of publications or blank forms; and similar material not normally included within the definition of record.

²A "Diocesan Entity" as used herein shall include "...all diocesan, parish and catholic school(s)..." (cf. Diocese of Springfield in Illinois' 2017 Synodal Statue, Part I General Norms #9), the Pastoral Center departments, or any other department, institution, office, or any subdivision thereof governed by the authority of the Roman Catholic Bishop of Springfield in Illinois.

³The Records Conservation Board is the governing authority for approval of records retention schedules for the Diocese of Springfield in Illinois. The Board consists of the Diocesan Finance Officer, Legal Counsel, the Vice Chancellor for Archives and Records and/or their designates.

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approved by the agency head, the Department Director and the Records Conservation Board. As the disposition of all records is to be in compliance with these schedules, all employees should consult the retention schedule for his or her respective agency. Any questions in this regard should be directed to the Diocesan Archives and Records Department.

§ 2603 LITIGATION HOLD NOTICES⁴

2603.1. Policy When any Diocesan entity receives written or verbal notification of anticipated litigation, said person in charge of said entity should document their notification to the Director, Office for Legal Services and Policy Development (or, if unreachable the Chancellor or Vicar General), preserve all records relevant to the anticipated litigation and shall suspend the routine destruction of relevant records until further notice.

Procedures

1. If a Diocesan entity receives written or verbal notification of anticipated litigation, the Director, Office for Legal Services and Policy Development, in consultation with the Vicar General and Chancellor, will prepare a Litigation Hold Notice for all records relevant to the identified or anticipated litigation.
2. The Director, Office for Legal Services and Policy Development will determine the initial scope of the anticipated litigation and issue a Litigation Hold Notice to the Chancellor and the Director, Office for Archives and Records Management. The Director, Office for Archives and Records Management should acknowledge receipt of the Litigation Hold Notice in writing to the Director, Office for Legal Services and Policy Development.
3. The Director, Office for Archives and Records Management will identify possible records custodians and the location of relevant records, and, in cooperation with the Department of Information Technology, will suspend the routine destruction of records and take appropriate measures to ensure the preservation of such records for the duration of the Litigation Hold. The Director of Archives and Records will communicate the nature of the preservation efforts to the Director, Office for Legal Services and Policy Development and Chancellor.
4. The Director, Office for Legal Services and Policy Development may revise and re-issue a Litigation Hold Notice as needed during the course of an investigation or litigation. The scope of a Litigation Hold may be refined in response to discovery requests or orders, or changes to the scope of the real or anticipated

⁴ A litigation hold is a suspension of document retention/destruction policies for those documents that may be relevant to a legal issue and/or lawsuit that has been actually filed or one that is reasonably anticipated. It ensures that relevant data is not destroyed and that key employees are notified of document preservation requirements.

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litigation. Any revised Litigation Hold Notices will modify the scope of the initial Litigation Hold.

5. The Director, Office for Legal Services and Policy Development and Chancellor will notify the Director, Officer for Archives and Records Management in writing when a Litigation Hold may be lifted. When a Litigation Hold is lifted, the destruction of records shall proceed in accordance with applicable Diocesan record retention schedules.