

# **RECORDS RETENTION AND DISPOSITION SCHEDULE**



## **DIVISION OF ADMINISTRATIVE SERVICES U.C.S. PART 36 APPOINTMENT PROCESSING UNIT**

**DIVISION OF PROFESSIONAL AND COURT SERVICES  
OFFICE OF RECORDS MANAGEMENT**

**FEBRUARY 2012**

# PLEASE NOTE

A RECORDS DISPOSITION REQUEST FORM must be submitted and approved prior to the disposal of **any** records in accordance with the Records Retention and Disposition Schedules.

Records Disposition Request Forms can be obtained at:  
[http://www.nycourts.gov/admin/recordsmanagement/too\\_forms.shtml](http://www.nycourts.gov/admin/recordsmanagement/too_forms.shtml)

Return all completed forms to:  
N.Y.S. Office of Court Administration  
Division of Court Operations  
Office of Records Management  
25 Beaver Street - Room 883  
New York, NY 10004  
TEL: 212-428-2875  
FAX: 212-428-2880  
E-Mail: [DISPOREQ@courts.state.ny.us](mailto:DISPOREQ@courts.state.ny.us)

Please Note: This retention schedule is printed in a color format to facilitate identification of purgable records.

Color Codes for Record Series Numbers and Title:  
**Red = Permanent Records**  
**Green = Purgable Records**  
**Orange = Both Permanent and Purgable Records**

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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## DIVISION OF ADMINISTRATIVE SERVICES U.C.S. PART 36 APPOINTMENT PROCESSING UNIT

SERIES #	<u>RECORD SERIES TITLE</u>	RETENTION
<b>FPU- 010.</b>	Records pertaining to the enrollment of individuals and/or entities onto the U.C.S. Part 36 Appointment Eligibility List.  <b>a) ENROLLMENT APPLICATION FILES</b>  Documents needed for enrolling individual and/or entity names on the U.C.S. Part 36 Appointment Eligibility List. Includes, but is not limited to: Applicant Summary Sheet, Applications of Appointment Pursuant to Part 36 (UCS-870 and UCS-852.1), resumes, personal background information, Acknowledgment Receipt Letters for changes to original application, Amendment Applications, Re-Registration Applications (UCS-870R), duplicates of Certificates of Participation in Training, New York State Continuing Legal Education Certificates of Attendance and supporting material.  <b>1. DISQUALIFIED APPLICANT RECORDS</b>	<b>1. Retain for six years, then destroy.</b>

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
FPU- 010.	<p><b>APPOINTMENT ENROLLMENT RECORDS</b> (continued)</p> <p>a) <b>ENROLLMENT APPLICATION FILES</b> (continued)</p> <p>2. <b>QUALIFIED APPLICANT RECORDS</b></p> <p>b) <b>U.C.S. PART 36 APPOINTMENT ELIGIBILITY LIST</b></p> <p>Database listing with names of eligible fiduciaries that are currently available for appointment. Information includes, but is not limited to: criteria for searching fiduciary's name, category of appointment, county where fiduciary is available to receive appointments, district, foreign language(s) spoken by fiduciary, professions other than attorney of the fiduciary, achieved academic degrees, areas of special interest, their appointment experience; results from searches for fiduciary's name, category of appointment, appointment county, fiduciary identification number, address, phone number and total approved fees for the calendar year.</p>	<p>2. Retain for three years, then destroy.</p> <p>Retain until updated, then destroy.</p>

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
FPU- 020.	<p data-bbox="418 268 906 451"><b>COMPENSATION APPROVAL REPORTS (also known as REPORT OF APPROVAL OF COMPENSATION FORMS and UCS-876)</b></p> <p data-bbox="418 483 906 1050"><b>Documents sent by law firms to the Unified Court System on fees that were approved for appointed cases. Information consists of: calendar year of report, name of law firm, law firm's tax identification number/address/phone/fax/e-mail, fiduciary names, fiduciary identification numbers, totals of approved compensation paid to each fiduciary, total paid to fiduciaries for calendar year, date signed, signature and title of managing attorney of the firm.</b></p>	<p data-bbox="980 483 1336 556"><b>Retain for seven years, then destroy.</b></p>

**SERIES #**

**RECORD SERIES TITLE**

**RETENTION**

**FPU- 030.**

**COMPENSATION APPROVAL STATEMENTS**

Documents filed by judges confirming an award of compensation in excess of five hundred dollars to fiduciaries. Includes but is not limited to: Statement of Approval of Compensation - Pursuant to Part 26 of the Rules of the Chief Judge (UCS-875), Statement of Approval of Compensation - Pursuant to Sec. 35-A of Judiciary Law (UCS 830), Report of Approval of Compensation Received by Counsel to the Public Administrator (UCS-877A and UCS-877B) Annual Statement of Approval of Compensation for Examiners of Accounts of Guardians (UCS-826) and supporting material. Information consists of: date of appointment, whether appointee has or is required to file a Notice of Appointment and Certification of Compensation Form with the Fiduciary Clerk, appointee's name and fiduciary identification number when applicable, fiduciary's address/phone/fax/e-mail address, category of appointment, index/file number, court name, county, title of action/proceeding, case type, name of both appointing and approving judges, name of person/entity/property to be served, whether action was contested or uncontested, gross value of the estate of the person/entity property, amount of hours and minutes served by appointee, amount of compensation awarded, date of approval and signature of approving judge.

**Retain for seven years, then destroy.**

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
<b>FPU-040.</b>	<p><b>NOTICE OF APPOINTMENT RECORDS</b></p> <p>Records used for corroborating fiduciary appointees that are and are not eligible to qualify and accept their appointments.</p> <p><b>a) NOTIFICATION FORMS AND ITS' SUPPORTING DOCUMENTS</b></p> <p>Includes completed Notice of Appointment and Certification of Compliance Forms (UCS-872 and UCS-830.1) , Statement of Reasons for Non - List Appointments (UCS - 872.5) and any substantiating material.</p>	<p><b>a) Retain for seven years, then destroy.</b></p>
	<p><b>b) FIDUCIARY APPOINTMENTS DATABASE</b></p> <p>Information includes, but is not limited to: date of appointment, appointee's name and fiduciary identification number, a p p o i n t e e ' s address/phone/fax/e-mail, type of fiduciary appointment, index/file number, court's name and county, title of action/proceeding, case type, name of appointing judge, total compensation awarded for the prior calendar year, date signed and signature of appointed fiduciary.</p>	<p><b>b) Retain permanently for research purposes.</b></p>

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