

# **RECORDS RETENTION AND DISPOSITION SCHEDULE**



## **DIVISION OF HUMAN RESOURCES WORKFORCE DIVERSITY OFFICE**

**DIVISION OF COURT OPERATIONS  
OFFICE OF RECORDS MANAGEMENT**

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**DIVISION OF HUMAN RESOURCES  
WORKFORCE DIVERSITY OFFICE**

## TABLE OF CONTENTS

Automated Information System Job Request File .....	1
Career/Job Fair File .....	1
Career/Job Fair Invitation Response File .....	2
Data Collection Forms (UCS-19X) .....	2
Discrimination Claims Case File .....	3
Discrimination Claims Case File Log .....	3
Discrimination Claims File Summary .....	4
Ethnicity/Gender Data Examination List .....	4
Federal EEO-4 Reports File .....	4
Handicap Set Aside Program (HSAP) Case File .....	4
Information And Resource Assistance File .....	5
Interview Summary Sheets (UCS-24) .....	5
Interview Summary Status Reports .....	6
Judges File .....	6
Judicial District Files .....	6
Manuals/Booklets .....	7
New Hires And Promotional Appointees Log (Hired) .....	9
New Hires And Promotional Appointees Log (Not Hired) .....	10
Outreach Organization File .....	10
Race-Related Complaints File Summary .....	11
Resume Referral File .....	11
Special Accommodations File .....	11
Summary Of Interview Forms (UCS-24A) .....	12
Workforce Diversity Program Reports .....	12
"Working Together" Newsletter .....	12
INDEX .....	13

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00000.	<b>AUTOMATED INFORMATION SYSTEM JOB REQUEST FILE*</b>  File containing computer job requests for mailing labels. Information may include: Unified Court System Employment Announcement number, date announcement received from personnel, department closing date, indication whether job announcement was reviewed/compared with title standards, and codes for distribution labels.	Destroy immediately.
00000.	<b>CAREER/JOB FAIR FILE</b>  File containing requests for OCA/Court participation in job fairs. Includes: invitations, name of school, contact name, number of students, date of fair and correspondence.	Retain until no longer needed, then destroy.

**\*No longer created.**

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00000.	<b>CAREER/JOB FAIR INVITATION RESPONSE FILE</b>	Retain until no longer needed, then destroy.
00000.	<b>DATA COLLECTION FORMS (UCS-19X) (also known as INTERVIEW DATA SHEET)</b>	Retain until data has been entered and quality control has been conducted, then destroy.

<b><u>R.S. #</u></b>	<b><u>RECORD SERIES</u></b>	<b><u>RETENTION</u></b>
00000.	<b>DISCRIMINATION CLAIMS CASE FILE</b>	Retain for 10 years after final disposition of case, then destroy.
	File documenting discrimination claims filed by non-judicial employees and applicants seeking employment with the Unified Court System. Contents of file includes: name of complainant, title, work location, home address, home/business phone numbers, check list of discriminatory practices, statement as to why individual feels treatment was discriminatory, name of individual(s) accused, date of act, witnesses' names/locations/phone numbers, and signature of complainant and date, handwritten notes, investigation report, report sent to the Administrative Judge, Administrative Judge's recommendation and determination, copies of standard form letters and appeal papers if applicable.	
00000.	<b>DISCRIMINATION CLAIMS CASE FILE LOG</b>	Retain for 10 years after final disposition of case, then destroy.
	Log used by EEO staff to track assigned DISCRIMINATION CLAIMS CASE FILES. Information includes: control number (file number), name of person filing claim, nature of discrimination, official filing date, and status of claim (pending or withdrawn).	

<b><u>R.S. #</u></b>	<b><u>RECORD SERIES</u></b>	<b><u>RETENTION</u></b>
00000.	<p><b>DISCRIMINATION CLAIMS FILE SUMMARY</b></p> <p>File containing disposition information for all EEO Discrimination Claims. Information includes: name and address of claimant, name and address of Court/Office of Court Administration department, date filed, type of claim, claim number, number of days taken to process, disposition and date.</p>	Retain for 10 years after final disposition of case, then destroy.
00000.	<p><b>ETHNICITY/GENDER DATA EXAMINATION LIST</b></p> <p>List containing ethnicity and/or gender information on applicants who have taken an examination for employment with the Unified Court System. Information is obtained from the DATA COLLECTION FORM (UCS-19X).</p>	Retain for 5 years, then destroy.
00000.	<p><b>FEDERAL EEO-4 REPORTS FILE</b></p> <p>File containing annual EEO reports on all non-judicial employees of the Unified Court System as mandated by the federal government. Information may include: date filed, department code, job categories, gender and racial profile, and totals.</p>	Retain permanently for research purposes
00000.	<p><b>HANDICAP SET ASIDE PROGRAM (HSAP) CASE FILE</b></p> <p>File containing request(s)/recommendation(s) made by court managers to have a particular competitive position reclassified as non-competitive for an individual with a disability. Information may include but is not limited to: medical review and vocational assessment of an individual and form letter of final assessment on reclassification.</p>	To be determined at a later date pending appraisal of personnel records.

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00000.	<b>INFORMATION AND RESOURCE ASSISTANCE FILE</b>  File containing information required by the Americans with Disabilities Act.	a) To be determined at a later date pending appraisal of personnel records.  b) To be determined at a later date pending appraisal of personnel records.
00000.	<b>INTERVIEW SUMMARY SHEETS (UCS-24)</b>  Data collection forms summarizing interview data for applicants seeking employment with the Unified Court System. Information may include: title of position, judicial grade level, exam or announcement number, candidate's name/ethnicity/sex/veteran status, interviewer(s) name(s), location, date, social security number, handicap status, title(s), disposition (hire, hold for 2nd interview, no interest), education level, skills and ability grading, work experience, summary of applicant's strength and weaknesses, general overall rating, and signature(s) of interviewer(s).	Retain for 3 years after data has been entered and quality control conducted on the EEO's Automated Office Data System, then destroy.

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00000.	<b>INTERVIEW SUMMARY STATUS REPORTS (also known as DELINQUENT REPORTS)</b>  Summary reports of job interviews for the Unified Court System. Information may include: statewide reporting period, judicial district number, certification number, examination number, certification date, title of position, location/agency, hiring authority's name, status code and comments.	Retain permanently for research purposes.
00000.	<b>JUDGES FILE*</b>  File containing gender and ethnicity information about judges in the Unified Court System.	Destroy immediately.
00000.	<b>JUDICIAL DISTRICT FILES</b>  Files containing information collected quarterly from each Judicial District to develop the WORK FORCE DIVERSITY PROGRAM REPORTS. Information may include: number of employees hired in each district, race, gender, notes, letters, and timetables.	Retain permanently for research purposes.

**\*No longer created.**

<b><u>R.S. #</u></b>	<b><u>RECORD SERIES</u></b>	<b><u>RETENTION</u></b>
00000.	<b>MANUALS/BOOKLETS</b>  a) <b>PROCEDURES or POLICIES AND STANDARDS (may include but are not limited to): DISCRIMINATION CLAIMS POLICY AND PROCEDURES BOOKLET, EQUAL EMPLOYMENT STAFF LIAISON HANDBOOK, SEXUAL HARASSMENT IN THE WORKPLACE BOOKLET, UCS GRIEVANCE PROCEDURE FOR CLAIMS OF DISCRIMINATION BASED ON DISABILITY BOOKLET and UCS ANTI- DISCRIMINATION PANEL MANUAL</b>  Manuals/booklets containing policy and standards related to EEO matters, distributed to court personnel.  b) <b>SPECIAL REPORTS</b> (continued on following page)  c) <b>GENERAL INSTRUCTIONS</b> (continued on following page)	a) Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.

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	<b>MANUALS/BOOKLETS</b> (continued)	
	<p><b>b) SPECIAL REPORTS, (may include but is not limited to): HISPANIC MEMBERS OF THE NEW YORK STATE LEGISLATURE AND JUDICIARY - HISPANIC HERITAGE BOOKLET</b></p> <p>Manuals/booklets containing Special Reports, related to EEO matters, and distributed to court personnel and/or the public.</p>	<p>b) Retain permanently for research purposes.</p>
	<p><b>c) GENERAL INSTRUCTIONS may include but is not limited to: REVISED FORMS INSTRUCTIONAL MANUAL</b></p> <p>Manuals/booklets containing general instructions for completing forms related to EEO, distributed to EEO personnel.</p>	<p>c) Retain until no longer needed, then destroy.</p>

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00000.	<b>NEW HIRES AND PROMOTIONAL APPOINTEES LOG (HIRED)* (also known as LOG 1 or OCA-32)</b> <p>Quarterly log containing information on all new hires and promotional appointees. Information includes: name of court unit, county/district, promotional unit, name of applicant, social security number, date of birth, position title, previous title, starting salary, ethnicity, physical impairments if any, gender, employment status (reinstatements, promotions, reassignments, etc.), date of interview, reason for selection, effective date of appointment, number of applicants (civil service list number and number of eligible applicants canvassed), number interviewed, recruitment methods used, and answer key of codes for completion of log.</p>	Destroy immediately.

**\*No longer created.**

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00000.	<b>NEW HIRES AND PROMOTIONAL APPOINTEES LOG (NOT HIRED)*</b> <b>(also known as LOG 2 or OCA-33)</b>	Destroy immediately.
	<p>Quarterly log containing information on all interviewed applicants not selected in the new hires &amp; promotional category and all other personnel actions (reassignment, change of assignment, training, demotion, termination, and disciplinary actions). Information includes: name of court unit, county/district, promotional unit, name of applicant, social security number, date of birth, position title, previous title, starting salary, ethnicity, physical impairments if any, gender, employment status (reinstatements, promotions, reassignments, etc.), date of interview action or training, reason for action or non-selection, disciplinary charges, date of service, disposition/description effective date, name and title of person preparing log, and answer key of codes for completion of log.</p>	
00000.	<b>OUTREACH ORGANIZATION FILE</b>	Retain for 5 years, then destroy.
	<p>File containing referrals and resumes obtained from organizations. File also contains EEO's Outreach Survey Form which includes: name of organization, type of organization, address, contact person's name, services provided by the organization, type of contacts with the Unified Court System/Office of Court Administration Departments, occupational categories serviced by the organization, New York State counties serviced by organization, racial and sexual percentages of organizations' constituents, and suggestions for better service from EEO.</p>	

**\*No longer created.**

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00000.	<p><b>RACE-RELATED COMPLAINTS FILE SUMMARY</b></p> <p>File containing disposition information for race-related complaints filed with EEO. Information includes: name and address of claimant, court and county, date filed, disposition, and claim number.</p>	Retain until updated, then destroy.
00000.	<p><b>RESUME REFERRAL FILE (also known as RESUME REFORM FILE)</b></p> <p>File containing correspondence related to receipt of resumes. Information includes: Resume Referral Forms, resumes, eligibility letters for 55B Civil Service Program, check-off list of courts of interest to applicant, signature of EEO representative and date of referral.</p>	Retain for 5 years, then destroy.
00000.	<p><b>SPECIAL ACCOMMODATIONS FILE</b></p> <p>File containing requests made by disabled/handicapped candidates for special accommodations for taking civil service examinations. Information includes: memorandums, phone messages, handwritten notes, copies of medical examination records of the disabled individual and their job application.</p>	To be determined at a later date pending appraisal of personnel records.

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00000.	<p><b>SUMMARY OF INTERVIEW FORMS (UCS-24A)</b></p> <p>Copies of forms documenting the summary of recruitment efforts for available positions with the Unified Court System. Information may include: date, name of court/OCA department, exam or announcement number, county/district, statement of attachments (applications, resumes, nomination for appointment, INTERVIEW SUMMARIES (UCS-24), etc.), interviewer(s) name(s)/title(s)/judicial grade(s), number of applicants, number interviewed, and name of nominated candidate(s) and effective date(s) of appointment.</p>	Destroy immediately.
00000.	<p><b>WORKFORCE DIVERSITY PROGRAM REPORTS</b></p> <p>Reports document the hiring practices for each Judicial District of the Unified Court System. Information includes total number of employees hired, by race and gender categories.</p>	Retain permanently for research purposes.
00000.	<p><b>"WORKING TOGETHER" NEWSLETTER</b></p> <p>Newsletter containing articles on the latest developments and issues concerning EEO within the Unified Court System.</p>	Retain permanently for research purposes.

## INDEX

Automated Information System Job Request File .....	1
Career/Job Fair File .....	1
Career/Job Fair Invitation Response File .....	2
Data Collection Forms (UCS-19X) .....	2
Delinquent Reports: see Interview Summary Status Reports .....	6
Discrimination Claims Case File .....	3
Discrimination Claims Case File Log .....	3
Discrimination Claims File Summary .....	4
Ethnicity/Gender Data Examination List .....	4
Federal EEO-4 Reports File .....	4
Handicap Set Aside Program (HSAP) Case File .....	4
Information And Resource Assistance File .....	5
Interview Data Sheet: see Data Collection Forms .....	2
Interview Summary Sheets (UCS-24) .....	5
Interview Summary Status Reports .....	6
Judges File .....	6
Judicial District Files .....	6
Log 1: see New Hires And Promotional Appointees Log (Hired) .....	9
Log 2: see New Hires And Promotional Appointees Log (Not Hired) .....	10
Manuals/Booklets .....	7
New Hires And Promotional Appointees Log (Hired) .....	9
New Hires And Promotional Appointees Log (Not Hired) .....	10
OCA-32: see New Hires and Promotional Appointees Log (Hired) .....	9
OCA-33: see New Hires and Promotional Appointees Log (Not Hired) .....	10
Outreach Organization File .....	10
Race-Related Complaints File Summary .....	11
Resume Referral File .....	11
Resume Reform File: see Resume Referral File .....	11
Special Accommodations File .....	11
Summary Of Interview Forms (UCS-24A) .....	12
UCS-19X: see Data Collection Forms .....	2
UCS-24: see Interview Summary Sheets .....	5
UCS-24A: see Summary of Interview Forms .....	12
Workforce Diversity Program Reports .....	12
"Working Together" Newsletter .....	12