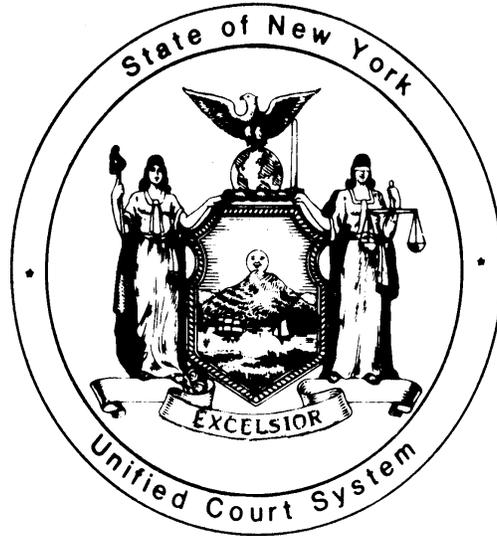


RECORDS RETENTION AND DISPOSITION SCHEDULE



DEPUTY CHIEF ADMINISTRATIVE JUDGES OFFICE

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

APRIL 2010

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

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

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

Color Codes for Record Series Numbers and Titles:

Red = Permanent Records

Green = Purgable Records

Orange = Both Permanent and Purgable Records

TABLE OF CONTENTS

Administrative Order (A.O.) Records	1
Case Management Studies	2
Continuation of Funds for Temporary Position Records	2
Court Officer Processing Records	2
Deputy Chief Administrative Judge's Speech Records	3
District Office Records	4
Dual Employment Attorney Request Records	4
Employee Grievance Records	5
Employment Discrimination Complaint Records	5
Facilities for Questioning Children Log	5
Financial Disclosure Records	6
Firearms Reinstatement Request Records	6
Fund for Modern Courts Response Records	6
Judges Outside of New York City Database	7
Judges' Vacancy Inquiry Records	7
Judicial Hearing Officers (J.H.O.) Records	7
Medical and Psychological Evaluation Records	8
New York City Judges List	8
Reinstatement Records	9
Special Grand Jury Order Records	9
Standards & Goals File	9
Transfer Reports	10
Index	11

RECORDS RETENTION AND DISPOSITION SCHEDULE

DEPUTY CHIEF ADMINISTRATIVE JUDGES OFFICE

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 010.	ADMINISTRATIVE ORDER (A.O.) RECORDS Documents issued by the Chief Administrative Judge and Deputy Chief Administrative Judge for administering and/or managing District Offices and Courts of the NYS Unified Court System.	
	(a) ADMINISTRATIVE ORDER FILES Includes issued Administrative Orders and supporting material.	(a) Retain permanently for research purposes.
	(b) ADMINISTRATIVE ORDERS LOG Listing of issued Administrative Orders. Information includes Administrative Order number(s), name(s) of judges, date(s) issued and subject matter(s).	(b) Retain permanently for research purposes.

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 020.	CASE MANAGEMENT STUDIES Statistical reports describing daily general activities of judges. Information includes but is not limited to: dates for when cases were calendared, trials started, juries were selected, and status of cases.	Retain until updated or until no longer needed, whichever is sooner, then destroy.
DCA - 030.	CONTINUATION OF FUNDS FOR TEMPORARY POSITION RECORDS Memos sent to each District Executive and Chief Clerk of the Court of Claims asking whether continuation of temporary funds for temporary positions is still needed.	Retain for one fiscal year, then destroy.
DCA - 040.	COURT OFFICER PROCESSING RECORDS Duplicates of Evaluation Board Meeting records used for obtaining approval to hire Court Officers.	Retain until no longer needed, then destroy.

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 050.	DEPUTY CHIEF ADMINISTRATIVE JUDGE'S SPEECH RECORDS <p>Records containing speeches presented by the Deputy Chief Administrative Judge on matters regarding the N.Y.S. Unified Court System.</p>	
	(a) PRESENTED SPEECHES	(a) Retain permanently for research purposes.
	(b) S U P P O R T I N G DOCUMENTS, DRAFTS AND BACKGROUND MATERIALS	(b) Retain until SPEECH is presented or until no longer needed, whichever is later, then destroy.

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 060.	<p>DISTRICT OFFICE RECORDS</p> <p>Records used by the Deputy Chief Administrative Judge to provide District Offices with instructions, guidance, direction and/or general information regarding matters and/or issues concerning administration of the N.Y.S. Unified Court System.</p> <p>(a) RECORDS THAT DOCUMENT OFFICIAL U.C.S. POLICIES, PROCEDURES OR STANDARDS</p> <p>(b) RECORDS THAT PROVIDE INFORMATION FOR GENERAL REFERENCE OR ROUTINE ACTIVITIES</p>	<p>(a) Retain one master copy (original and all subsequent updates) permanently for research purposes.</p> <p>(b) Retain until updated or no longer needed, then destroy.</p>
DCA - 070.	<p>DUAL EMPLOYMENT ATTORNEY REQUEST RECORDS (also known as PRO BONO APPROVAL RECORDS)</p> <p>Duplicate requests written by and responses sent to Court attorneys desiring to maintain additional work outside of their regular position with the N.Y.S. Unified Court System.</p>	<p>Retain until no longer needed, then destroy.</p>

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 080.	EMPLOYEE GRIEVANCE RECORDS Records used to document grievances made against the N.Y.S. Unified Court System by non-judicial employees.	Retain for ten years after final disposition of case, then destroy.
DCA - 090.	EMPLOYMENT DISCRIMINATION COMPLAINT RECORDS Records used to document discrimination claims filed against the N.Y.S. Unified Court System by non-judicial employees and non-UCS employee applicants seeking employment.	Retain for ten years after final disposition, then destroy.
DCA - 100.	FACILITIES FOR QUESTIONING CHILDREN LOG Listing of correctional facilities that are currently considered appropriate for questioning children. Information includes: facility name(s) and address(es), administrative order number(s), date(s), and date(s) of rescinded order(s).	Retain for one year, then destroy.

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 110.	FINANCIAL DISCLOSURE RECORDS Files containing duplicate letters of reminder or warning sent by the Ethics Commission to N.Y.S. Unified Court System employees. Files also contain list of delinquent employees that have failed to submit Financial Disclosure Statements and supporting documents.	Retain for one year, then destroy.
DCA - 120.	FIREARMS REINSTATEMENT REQUEST RECORDS Records used to document requests made by and responses sent to Peace Officers regarding requests for reinstatement of firearms by the N.Y.S. Unified Court System.	Retain until no longer needed, then destroy.
DCA - 130.	FUND FOR MODERN COURTS RESPONSE RECORDS Records used to document response(s) of the Deputy Chief Administrative Judge for Courts Outside of New York City to report(s) sent by the Fund for Modern Courts.	Retain permanently for research purposes.

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 140.	JUDGES OUTSIDE OF NEW YORK CITY DATABASE Annual compilation of judges assigned by the Deputy Chief Administrative Judge to serve in Courts outside of New York City. Information includes name(s) of judge(s), year(s) of service, general background(s) and their assignment(s).	Retain until updated or until no longer needed, then destroy.
DCA - 150.	JUDGES' VACANCY INQUIRY RECORDS Deputy Chief Administrative Judge's Records used to document responses sent to inquiries from the Board of Elections and N.Y.C. Mayor's Office regarding seat vacancies of judges for next year, when particular judge's term expires and judge's attendance history.	Retain until no longer needed, then destroy.
DCA - 160.	JUDICIAL HEARING OFFICERS (J.H.O.) RECORDS Duplicate records used to track the hiring of Judicial Hearing Officers. Information includes J.H.O.'s name(s) and address(es), date(s) of appointment(s) and location(s) of assignment(s).	Retain until no longer needed, then destroy.

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 170.	<p>M E D I C A L A N D PSYCHOLOGICAL EVALUATION RECORDS (also known as MEDICAL EXAMINATION REQUEST RECORDS)</p> <p>Duplicate Records used to document the Deputy Chief Administrative Judge's recommendations toward requests for medical and/or psychological evaluation of an individual U.C.S. employee.</p>	<p>Retain until no longer needed, then destroy.</p>
DCA - 180.	<p>NEW YORK CITY JUDGES LIST (also known as OMNIBUS ORDERS LIST)</p> <p>Records listing currently assigned New York City Court Judges of the N.Y.S. Unified Court System. Information includes names of judges, their personal background and official assignments.</p>	<p>Retain until updated or until no longer needed, then destroy.</p>

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 190.	REINSTATEMENT RECORDS Duplicates used to document the approvals of the Deputy Chief Administrative Judge to reinstate an individual employee to their former N.Y.S. Unified Court System job title. Includes but is not limited to: Reinstatement Application Forms (UCS-6), correspondence and background materials for reinstatement.	Retain until no longer needed, then destroy.
DCA - 200.	SPECIAL GRAND JURY ORDER RECORDS Records sent by New York City Courts to document where grand jurors will be sitting for a special hearing.	Retain for one year from date of hearing, then destroy.
DCA - 210.	STANDARDS & GOALS FILE (also known as QUARTERLY REPORTS FILE and REPORTS OF PENDING MATTERS FILE) Records containing summary reports pursuant to Rule §4.1 of the Chief Administrator of the Court on pending cases and transcripts within a Judicial District that are beyond required standards and goals of the N.Y.S. Unified Court System.	Retain for one year or until no longer needed, whichever is later, then destroy.

<u>SERIES #</u>	<u>RECORD SERIES TITLE</u>	<u>RETENTION</u>
DCA - 220.	TRANSFER REPORTS (also known as SECTION 325D TERM REPORTS) <p data-bbox="418 422 906 1050"> Listing completed by County Clerk Offices and Supreme Court - Civil Term indicating specific cases that were transferred to New York City Civil Court and status of each transfer. Information includes but is not limited to: Supreme Court's Index number; title of case; status of case (note or pre-note); age of case on date of transfer order; dates for transfer order, receipt of transfer order, transfer to Civil Court, received by Civil Court and first scheduled to appear on New York City Civil Court calendar. </p>	Retain for one year or until no longer needed, whichever is later, then destroy.

INDEX

Administrative Order (A.O.) Records 1

Case Management Studies 2

Continuation of Funds for Temporary Position Records 2

Court Officer Processing Records 2

**Deputy Chief Administrative Judge’s Administrative Order (A.O.) Files
and/or Log: see Administrative Order (A.O.) Records** 1

Deputy Chief Administrative Judge’s Speech Records 3

District Office Records 4

Dual Employment Attorney Request Records 4

Employee Grievance Records 5

Employment Discrimination Complaint Records 5

Facilities for Questioning Children Log 5

Financial Disclosure Records 6

Firearms Reinstatement Request Records 6

Fund for Modern Courts Response Records 6

Goals File: see Standards & Goals File 9

J.H.O. RECORDS: see Judicial Hearing Officers (J.H.O.) Records 7

Judges Outside of New York City Database 7

Judges’ Vacancy Inquiry Records 7

Judicial Hearing Officers (J.H.O.) Records 7

Medical and Psychological Evaluation Records 8

**Medical Examination Request Records: see
Medical and Psychological Evaluation Records** 8

New York City Judges List 8

Omnibus Orders List: see New York City Judges List 8

Pro Bono Approval Records: see Dual Employment Attorney Request Records 4

**Psychological Evaluation Records: see
Medical and Psychological Evaluation Records** 8

Quarterly Reports File: see Standards & Goals File 9

Reinstatement Records 9

Reports of Pending Matters File: see Standards & Goals File 9

Section 325D Term Reports: see Transfer Reports 10

Special Grand Jury Order Records 9

Standards & Goals File 9

Transfer Reports 10

UCS-6: see Reinstatement Records 9