RECORDS RETENTION AND DISPOSITION SCHEDULE

DIVISION OF FINANCIAL MANAGEMENT

DIVISION OF COURT OPERATIONS
OFFICE OF RECORDS MANAGEMENT

November 1992

DIVISION OF FINANCIAL MANAGEMENT

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DIVISION OF FINANCIAL MANAGEMENT

R.S. #	RECORD SERIES	RETENTION*
00000.	**ABS TRAINING MATERIALS**	
	Materials used to conduct training sessions in the use of the Automated Budget System.	Retain until updated, then destroy.
00000.	**ACCRUED LIABILITIES REPORT**	
	Quarterly report from the Office of Financial Management and Audit Services to the State Comptroller estimating outstanding liabilities which have not been entered into the State Accounting System.	Retain for one year or until no longer needed, then destroy.
00000.	**ADMINISTRATIVE EXEMPTIONS**	
	Approvals and background materials of requests for exceptions to spend funds included in the budget management plan.	Retain for one year or until no longer needed, then destroy.
00000.	**ALLOCATION EXPENDITURE REPORT**	
	Report by cost center listing 3 years of past expenditures, current allocations, and year to date expenditures.	Retain until updated, then destroy.
00000.	**ALLOCATION INTERCHANGE/TRANSFER REPORT**	
	List of changes of allocations to the UCS 3003 (BREQ System) and the Accounting (ACCT) system.	Retain for one year or until no longer needed, then destroy.

*** The retention period for fiscal records commences on the last day of the fiscal year.**

R.S. #	RECORD SERIES	RETENTION*
00000.	**APPROVAL MEMORANDUM FOR COMMUNITY DISPUTE RESOLUTION PROGRAM BUDGET REVIEW**	
	Memorandum approving proposals upon review of budgets submitted by the 62 counties to the Office of Community Dispute Resolution Center Program.	Retain for six years after expiration of contract or final payment, whichever is later, then destroy.
00000.	**ATTRITION REPORT**	
	Report by cost center, listing line transfers, leaves, terminations, joins and any other movement that affects the status of employees.	Retain until updated, then destroy.
00000.	**AUDIT AND REVIEW UNIT LOG**	
	Log which tracks the audit process. Contains information on audit number assigned, name of agency and auditor, dates that field work began and ended, date of exit conference, date the report was sent to the Director of Financial Management and Audit Services, date the report was sent to the Chief Administrator for signature, date the report sent was to the District Administrative Judge and date the response was received from the District Administrative Judge.	Retain permanently.
00000.	**AUDIT INFORMATION FILE**	
	Requests from municipal or union auditors for verification of payments to welfare funds.	Retain for one year or until no longer needed, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**AUDITING RECORDS**	
	Case files documenting audits of the courts and Office of Court Administration departments.	Retain for ten years, provided a subsequent audit of the same program has been conducted, then destroy.
00000.	**AVERAGE SALARY REPORT**	
	Report listing the average salary for each title in the courts. Report includes the number of positions within the title, the average salary and any change from the previous pay period.	Retain until updated, then destroy.
00000.	**BAIL/TRUST RECONCILIATION REPORTS**	
	Reports from the courts on the status of their bail/trust accounts.	Retain for three years, then destroy.
00000.	**BANK ACCOUNTS**	
	List of bank accounts held by the courts. Includes approvals by the Office of Court Administration and the Office of the State Comptroller.	Retain until updated, then destroy.
00000.	**BANKING RECORDS**	
	All records documenting the transactions of the Office of Court Administration and court bank accounts.	Retain for three years, then destroy.
00000.	**BDGT QUARTERLY REPORTS**	
	Quarterly payroll-based listings of all employees, alphabetically by negotiating unit and by health insurance code, used to identify welfare-fund eligible employees and employees enrolled in local health plans.	Retain for three years, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**BUDGET CALL LETTER**	
	Office of Financial Management and Audit Services' policy and procedural instructions for Budget Preparation. Sent to Review Agencies and the courts.	Retain for three years, then destroy.
00000.	**BUDGET DOCUMENT**	
	Printed bound document submitted to the Court of Appeals annually for approval. Sent to the State Legislature and Governor after certification.	Retain one master copy permanently.
00000.	**BUDGET MANAGEMENT PLANS**	
	Plans prepared by Budget Review Agencies and reviewed by the Office of Financial Management and Audit Services. Used to compare actual court expenditures against Review Agency plans.	Retain for three years, then destroy.
00000.	**BUDGET PREPARATION MATERIALS (also known as BUDGET WORKING FILES)**	
	Background and reference materials used to access and review the proposed budgets of the courts.	Retain for one year or until no longer needed, then destroy.
00000.	**BUDGET PREPARATION WORKSHEETS**	
	Worksheets documenting approved changes in the budget, including changes to the 3003 Budget Preparation System.	Retain for one year or until no longer needed, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**BUDGETS**	
	Office of Financial Management and Audit Services' copy of budgets submitted by Review Agencies and the courts.	Retain for three years, then destroy.
00000.	**CAR MILEAGE REPORTS**	
	Reports documenting the mileage paid for travel vouchers.	Retain for three years, then destroy.
00000.	**CASELOAD ACTIVITY REPORT (CARS)**	
	Report listing case load activity of each court.	Retain until updated, then destroy.
00000.	**CASH ADVANCE CONFIRMATION**	
	Report listing the cash available in court bank accounts.	Retain for three years, then destroy.
00000.	**CASH MANAGEMENT REPORT**	
	Report listing monies received by wire transfer for each cost center.	Retain until updated, then destroy.
00000.	**CERTIFICATES OF SEGREGATION - CURRENT INTERCHANGES AND AMENDMENTS**	
	Certificates issued by the Judiciary to the State Comptroller authorizing allocations at program/district levels; reflects subsequent interchange requests and amendments by Review Agencies.	Retain for two years, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**CERTIFIED JUDGES FILE**	
	Budgetary analysis of the implications of maintaining a certified judge for the district.	Retain for three years, then destroy.
00000.	**CIVIL SERVICE HEALTH INSURANCE BILLS**	
	Monthly statements from the Department of Civil Service regarding employee health insurance costs.	Retain for three years, then destroy.
00000.	**CONTINUING PROFESSIONAL EDUCATION FILES**	
	Files containing records of the audit seminars attended by the auditors. Includes sponsoring organization, course title, location of course, date(s) attended, CPE hours and proof of attendance.	Retain for 3 years from last quality control review, then destroy.
00000.	**CONTRACT FILES**	
	All materials documenting the management of agency contracts. These include contracts with the Legal Aid Societies, Community Dispute Resolution Centers, CASA, One-Write Accounting and all other contracts. Also includes leases.	Retain for six years after expiration of contract or final payment, whichever is later, then destroy.
00000.	**COST CENTER PROFILES**	
	Materials that officially establish or modify a cost center.	Retain for three years, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**COURT MERGER**	
	Report and background materials assessing the fiscal implications of merging county level courts into the Supreme Court.	Retain for ten years, then destroy.
00000.	**EARMARK NOTICES**	
	List of scheduled positions for which the established grade has been changed.	Retain until change is implemented, then destroy.
00000.	**EMPLOYEE SUGGESTION INCENTIVE PROGRAM**	
	Fiscal analysis of employee suggestions.	Retain for two years, then destroy.
00000.	**EMPLOYMENT ANALYSIS**	
	A listing produced bi-weekly, reflecting scheduled positions in Major Purpose 905, identified as vacant or filled, for the current pay period.	Retain for one year or until no longer needed, then destroy.
00000.	**EMPLOYMENT HISTORY REPORT**	
	A cumulative report updated bi-weekly. Lists all scheduled positions in the Unified Court System identified as vacant or filled for each pay period of the fiscal year.	
	a) Current Pay Period	a) Retain until updated, then destroy.
	b) Cumulative Report (PP #26)	b) Retain for six years, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**FACILITIES MAINTENANCE TRANSFERS**	
	Annual reconciliation, transferring funds from general revenues to facilities maintenance accounts.	Retain for three years, then destroy.
00000.	**FINANCIAL PLANNING AND CONTROL MANUAL**	
	Procedures manual outlining actions related to financial controls. Includes budget bulletins and new accounting procedures bulletins.	Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.
00000.	**HEALTH INSURANCE EMPLOYEE DEDUCTION INFORMATION (PDL-2, 23-25)**	
	Bi-weekly report listing employees' health insurance deductions by agency.	Retain until updated, then destroy.
00000.	**INDEX NUMBER REFUNDS**	
	Report reconciling the balance between various state funds after refund of index number purchases.	Retain for three years, then destroy.
00000.	**INTEREST REPORTS**	
	Report from the Office of the State Comptroller documenting interest charges against the Unified Court System's accounts.	Retain for 2 years, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**INTERNAL AUDIT MANUAL**	
	Instruction manual for auditors. Includes audit standards, audit planning, workpaper preparations and compliance with legal and regulatory requirements.	Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.
00000.	**IV-D REPORT**	
	Materials documenting reimbursements under the IV-D Program.	Retain for six years, then destroy.
00000.	**LAPSE REPORT**	
	Lists the unexpended funds available at the end of the fiscal year that revert to the State General Fund from the Judiciary's appropriations.	Retain one master copy permanently for research purposes.
00000.	**LEGISLATIVE AUTHORIZATIONS**	
	Report summarizing cost of authorized positions: personal service, non-personal service, and maintenance undistributed amounts (PS, NPS, and MU).	Retain one master copy permanently for research purposes.
00000.	**LIST OF REPRESENTED EMPLOYEES (PDL-38)**	
	List of employees and their health benefit funds.	Retain until reconciled, then destroy.
00000.	**NEW JUDGESHIP REPORT**	
	Report detailing cost of newly created judicial positions.	Retain for one year, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**NEW POSITIONS REPORT**	
	Report listing new positions requested by Unified Court System agencies for the fiscal year.	Retain until updated, then destroy.
00000.	**NON-PERSONAL SERVICE RESOURCE UTILIZATION PLAN**	
	Comparison of non-personal service expenditures for the current year with expenditures during the same time in the prior fiscal year.	Retain for two years, then destroy.
00000.	**OFFICE OF COURT ADMINISTRATION EXAMINATION FEES**	
	Materials documenting the collection of examination fees.	Retain for three years, then destroy.
00000.	**PAYEE LIST (VOU-065)**	
	Daily summary of all paid vouchers.	Retain for one year or until no longer needed, then destroy.
00000.	**PAYROLL DEDUCTION (PDL-16)**	
	Report listing health plan payroll deductions and the assignment of monies to the appropriate fund. A check from the Office of State Comptroller accompanies the report.	Retain for three years, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**PAYROLL EXPENDITURE ANALYSIS (PRG-3)**	
	Report received from the Office of the State Comptroller (Payroll Unit) summarizing payroll expenditures by district and program. Used to verify background reports. Includes, but is not limited to: Additional Salary Report, J-6 Payroll Expenditure Journal, Payroll Projection Report, R-6 Error List, R-6 Expenditure Analysis Report, and Payroll Report.	Retain for six pay periods, then destroy.
00000.	**PAYROLL HEADER FILE CHANGE NOTICE**	
	Notice establishing new lines or change of existing lines at a cost center.	Retain for one year or until no longer needed, then destroy.
00000.	**PETTY CASH RECONCILIATION REPORT**	
	Monthly reconciliation of Office of Financial Management and Audit Service's petty cash bank account.	Retain for three years, then destroy.
00000.	**RECLASSIFICATION REQUEST**	
	Budgetary analysis of request by a cost center to reclassify a position. Materials include the analysis, position change control form, job evaluation review form and recommendation of the Office of Financial Management and Audit Services.	Retain for one year from determination of the request, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**RESOURCE COMPARISON REPORT (RCR)**	
	Report and analysis of court staffing standards, workloads and fiscal resources.	
	a) RCR	a) Retain for three years, then destroy.
	b) Background Materials	b) Retain for one year or until no longer needed, then destroy.
00000.	**RETIREMENT LIST**	
	Non-cumulative list of retirees by pay period.	Retain until superseded, then destroy.
00000.	**RETRO-PAYMENTS**	
	Report detailing payments for back pay resulting from incorrect salary payments.	Retain for three years, then destroy.
00000.	**REVENUE REPORTS**	
	Series of reports documenting the receipt, transfer and refund of revenues.	Retain for three years, then destroy.
00000.	**ROLLOVERS (AC 2414)**	
	Materials documenting the rolling over of cash advance accounts from one fiscal year to the next.	Retain for three years, then destroy.
00000.	**SCHEDULE OF POSITIONS**	
	Report listing the official roster of positions within the Unified Court System.	Retain until updated, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**SCHEDULE OF POSITIONS AMENDMENT**	
	Official notification to the Office of the State Comptroller of approved changes in Schedule of Positions.	Retain for one year or until no longer needed, then destroy.
00000.	**SCHEDULE OF POSITIONS EXCEPTION REPORT**	
	Report listing exceptions from officially approved positions.	Retain until updated, then destroy.
00000.	**SCHEDULE OF POSITIONS TRACKING SYSTEM****	
	Report documenting changes to the Schedule of Positions.	Destroy immediately.
00000.	**SCHEDULE OF POSITIONS TRANSACTION APPROVAL FORM (UCS-4)**	
	Forms requesting changes to the Schedule of Positions.	Retain for one year or until no longer needed, then destroy.
00000.	**SOLE CUSTODY REPORT**	
	Annual report reconciling the funds collected and disbursed by a court's bank account.	Retain for three years, then destroy.
00000.	**STAFFING GUIDELINES REVISION FILE**	
	Annual update and application of staffing guidelines.	Retain for three years, then destroy.

**No longer created.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**SUMMARY OF DEPOSITS (Rev. 170)**	
	Summary from the Office of the State Comptroller acknowledging receipts deposited.	Retain for three years, then destroy.
00000.	**TARGET REPORT**	
	Report projecting Schedule of Positions at the end of the fiscal year.	Retain until updated, then destroy.
00000.	**TEMPORARY SERVICE REPORT**	
	Bi-weekly report listing all temporary positions on the payroll.	Retain for current year, then destroy.
00000.	**TEMPORARY SERVICE REQUESTS**	
	Budgetary analysis of requests to hire temporary staff.	Retain for one year, then destroy.
00000.	**THREE YEAR PLAN RESOURCE SUMMARY**	
	Report summarizing the resource changes included in the three year plans submitted by programs (courts) for each district.	Retain for one year or until no longer needed, then destroy.
00000.	**TITLE CODE NUMBER TRANSACTIONS FORM**	
	Form used to establish new titles or to change grade levels of existing titles.	Retain for one year, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**UCS 3001 REPORT**	
	a) Detail Report listing each title in each cost center in the Unified Court System. Includes line number, title, salary, staffing category, filled, earmarked and vacant items.	a) Retain Detail Reports for Pay Periods 1 and 13 permanently for research purposes. Retain all others for six months, then destroy.
	b) Summary Report (recap) by district and program.	b) Retain for two years, then destroy.
00000.	**UCS 3003 BUDGET REQUESTS AND ALLOCATIONS**	
	Report listing budget requests for all cost centers. Includes the Office of Court Administration's recommendation to the State Legislature and legislative authorization. (This becomes the current year's allocations.)	Retain for ten years, then destroy.
00000.	**UCS-4 LOG BOOK**	
	Log book used to monitor reclassification requests.	Retain for one year or until no longer needed, then destroy.
00000.	**VACANCY REPORTS**	
	Report listing vacancies by district, by court, and by pay period. Also includes job titles, grades, salaries and number of full time equivalents.	Retain for six pay periods or until updated, whichever is longer, then destroy.

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R.S. #	RECORD SERIES	RETENTION*
00000.	**VOUCHERS**	
	All vouchers and support materials documenting the disbursement of funds.	
	a) Contract Vouchers	a) Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.
	b) Non-Contract Vouchers	b) Retain for three years after payment, then destroy.

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