RECORDS RETENTION AND DISPOSITION SCHEDULE

DIVISION OF COURT OPERATIONS OFFICE OF LEGAL INFORMATION & OFFICE OF RECORDS MANAGEMENT

DIVISION OF COURT OPERATIONS
OFFICE OF RECORDS MANAGEMENT

July 1995

DIVISION OF COURT OPERATIONS
OFFICE OF LEGAL INFORMATION & OFFICE OF RECORDS MANAGEMENT

TABLE OF CONTENTS

Allocation Survey Forms 1
Appellate Division Records and Briefs Index 1
Assignment Report Forms 1
Book Publishers File 1
Certificates of Findings File 2
Chief Law Librarian Advisory Committee File 2
Contract Files 2
Core Collection File 2
Court/OCA Photographic File 2
Court/OCA Photographic File Index 3
Court Records Inventories Data Collection Forms File 3
Destruction Authorization: Appellate Division Records and Briefs 3
Education and Training Seminars File 3
Employee Identification Cards File 3
Employee Identification List 4
Employee Identification Statistical Reports 4
Expenditure Tracking File 4
Field Visits File 4
Historical Development Files for the Unified Court System 4
Hygrothermograph Charts 5
Judicial Archives and Records Management System (JARMS) Data File 5
Law Libraries Trustees File 5
Legal Reference Surplus File 5
"Libraries & Records Management" Newsletter 6
Maintenance and Supply Contract Files 6
Manuals/Handbooks/Reports 7
Methylene Blue Test Results Log 8
Microfilm Equipment Production Reports 8
Microfilm Retrieval Forms: Court Reporter Tapes 9
Microfilm Utilization Forms 9
New York State Reporter File 9
Operations Survey Files 9
Operations Survey Questionnaire 9
Pre-Schedule Mail Inventories File 10
Processed Microfilm File 10
Processor Charts 10
Quality Control Forms 10
Records Appraisal Files 11
Records Disposition Request Forms: Court/Office of Court Administration 11
Records Disposition Request Log: Court/Office of Court Administration 11
Records Retention and Disposition Schedules 12
Reference Log 12
Reference Service Charges File 12
Security Forms 12
Sensitometery Control Forms 12
Serial/Subscription Price List 12
Specifications File 13
Staffing Development File 13

INDEX 14

RECORDS RETENTION AND DISPOSITION SCHEDULE

DIVISION OF COURT OPERATIONS

OFFICE OF LEGAL INFORMATION AND OFFICE OF RECORDS MANAGEMENT

R.S. #	RECORD SERIES	RETENTION
00000.	**ALLOCATION SURVEY FORMS**	
	Forms developed to collect demographic information on law libraries. Information includes: library district, county population, number of attorneys registered, number of judges, library allocations (legal reference material or non-personal services) and library deficiency.	Retain until updated, then destroy.
00000.	**APPELLATE DIVISION RECORDS AND BRIEFS INDEX**	
	Index to APPELLATE DIVISION RECORDS AND BRIEFS. Index includes: citations, plaintiff's name, defendant's name and fiche identification number.	Retain permanently for research purposes.
00000.	**ASSIGNMENT REPORT FORMS**	
	Forms used for monitoring microfilm unit's production. Forms list the daily assignments for each staff member. Information may include: date, name of person filming, document filmed, number of fiche duplicated, fiche identification number, number of fiche collated, work assignments and outside lab activities.	Retain for two years, then destroy.
00000.	**BOOK PUBLISHERS FILE**	
	File containing information and lists of publishers' titles and prices.	Retain until updated, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**CERTIFICATES OF FINDINGS FILE**	
	File containing certificates prepared by outside vendors indicating the results of quality control testing performed on processed microfilm. Certificate indicates: type of test conducted (methylene blue or silver densitometric) and the amount of residual thiosulfate or measured equivalent. Certificates also provide identification information such as: document microfilmed, series name, roll number, date processed, date certified and signature of person certifying results of findings.	Retain for one year after lapse of contract, then destroy.
00000.	**CHIEF LAW LIBRARIAN ADVISORY COMMITTEE FILE**	
	File containing information regarding policies, guidelines and concerns for Court Law Library operations. File contains: correspondence, agenda of meetings, minutes of meetings and memorandums.	Retain permanently for research purposes.
00000.	**CONTRACT FILES**	
	Files containing copies of contracts with microfilm vendors for microfilming APPELLATE DIVISION RECORDS AND BRIEFS. Files may include: background, job specifications and correspondence.	Retain for six years after lapse of contract, then destroy.
00000.	**CORE COLLECTION FILE***	
	File containing complete lists of holdings within Court Law Libraries.	Retain permanently for research purposes.
00000.	**COURT/OCA PHOTOGRAPHIC FILE**	
	File containing photographic negatives of special Court/OCA events and personnel.	Retain permanently for research purposes.

R.S. #	RECORD SERIES	RETENTION
00000.	**COURT/OCA PHOTOGRAPHIC FILE INDEX**	
	Index to photographic negatives of special Court/OCA events and personnel. Index includes: names of people captured on negatives and dates of events.	Retain permanently for research purposes.
00000.	**COURT RECORDS INVENTORIES DATA COLLECTION FORMS FILE**	
	File containing data collection inventory forms prepared by the courts. Information includes: name of record series, years, format, volume, condition of records, condition of storage area and location of records.	Retain until information is entered into JUDICIAL ARCHIVES AND RECORDS MANAGEMENT SYSTEM (JARMS) DATA FILE and quality control has been conducted, then destroy.
00000.	**DESTRUCTION AUTHORIZATION: APPELLATE DIVISION RECORDS AND BRIEFS**	
	Destruction order from the Appellate Division authorizing the destruction of the RECORDS AND BRIEFS hard copy after microfilming.	Retain permanently for research purposes.
00000.	**EDUCATION AND TRAINING SEMINARS FILE**	
	File maintained on education and training seminars provided annually for Court Law Librarians. Information may include: name of speaker and the topic of the seminar, planning committee notes, correspondence, memoranda, presentation handouts, invitations and directions to the seminars.	Retain for five years, then destroy.
00000.	**EMPLOYEE IDENTIFICATION CARDS FILE**	
	File containing identification cards issued to New York State Unified Court System employees. Consists of identification cards and data cards which include: employee's name, title, social security number, employee's signature and the Chief Administrative Judge's signature.	Retain pending the development and approval of policy.

R.S. #	RECORD SERIES	RETENTION
00000.	**EMPLOYEE IDENTIFICATION LIST**	
	Lists sent from courts/offices authorizing the issuance of EMPLOYEE IDENTIFICATION CARD(S) for Unified Court System employee(s). List contains name(s) of employee(s) and respective title(s).	Retain until EMPLOYEE IDENTIFICATION CARDS have been issued, then destroy.
00000.	**EMPLOYEE IDENTIFICATION STATISTICAL REPORTS**	
	Biweekly statistical report documenting the amount of time used for making EMPLOYEE IDENTIFICATION CARDS. Information may include: week identification photograph was taken, name of agency/court, name of employee and reason for identification card and total number of identification cards issued per agency/court.	Retain for one year, then destroy.
00000.	**EXPENDITURE TRACKING FILE**	
	File on expenditures accrued monthly by Court Law Libraries. File includes: costs of legal reference material purchased monthly from vendors, shipping dates and copies of Unified Court System expenditure reports.	Retain for three years, then destroy.
00000.	**FIELD VISITS FILE**	
	File containing notes of site visits by Chief Law Librarian to various libraries. File includes but is not limited to: assessment of shelving, condition of books, accessibility of material and type of equipment utilized.	Retain for ten years, then destroy.
00000.	**HISTORICAL DEVELOPMENT FILES FOR THE UNIFIED COURT SYSTEM**	
	Files documenting the historical evolution and development of the Unified Court System. Information includes but is not limited to: offices/courts, dates, description/purpose or function of court/office, records research information, hierarchy charts, office/court location and phone numbers, bibliography, statutes, glossary, fact sheets and forms.	Retain permanently for research purposes.

R.S. #	RECORD SERIES	RETENTION
00000.	**HYGROTHERMOGRAPH CHARTS**	
	Charts sent weekly from an outside microfilm storage facility indicating the humidity and temperature of the microfilm storage environment.	Retain for six years after lapse of contract, then destroy.
00000.	**JUDICIAL ARCHIVES AND RECORDS MANAGEMENT SYSTEM (JARMS) DATA FILE**	
	File containing records management related data. Includes but is not limited to: data compiled from COURT INVENTORIES DATA COLLECTION FORMS, RECORDS RETENTION AND DISPOSITION SCHEDULES, Court\OCA Coordinators lists and Records Officers lists.	Retain until updated, then destroy.
00000.	**LAW LIBRARIES TRUSTEES FILE**	
	File containing information on the appointment of Trustees for the Law Libraries. File contains copies of correspondence, background information on the appointees and memorandums.	Retain for six years, then destroy.
00000.	**LEGAL REFERENCE SURPLUS FILE**	
	File of surplus legal reference material that is no longer needed by the Unified Court System. File may include: quarterly list of surplus material, papers submitted from Law Libraries on their surplus material, memoranda and related correspondence.	
	a) Quarterly list of surplus material.	a) Retain permanently for research purposes.
	b) Papers submitted from Law Libraries and other offices of the Unified Court System on surplus material, memoranda and other related correspondence	b) Retain papers and other related material for one year or after quarterly list has been issued, whichever is shorter, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**"LIBRARIES & RECORDS MANAGEMENT" NEWSLETTER**	
	Newsletters developed and distributed by the Office of Reference Services for the Unified Court System. Newsletters contain articles on current records management and law libraries developments and issues.	Retain permanently for research purposes.
00000.	**MAINTENANCE AND SUPPLY CONTRACT FILES**	
	Files containing copies of contracts for maintaining microfilm equipment and for purchasing microfilm supplies.	Retain for one year after lapse of contract, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**MANUALS/HANDBOOKS/REPORTS**	
	a) POLICIES AND STANDARDS (may include but are not limited to): **RECORDS MANAGEMENT DISASTER RECOVERY HANDBOOK, RECORDS MANAGEMENT GUIDELINES, OCA RECORDS CENTER MANUAL, and LAW LIBRARIES HANDBOOK** Manuals/handbooks containing policy, procedures and standards related to records management, law libraries and microfilming which are developed and distributed by the Office of Legal Information and Office of Records Management to court/OCA personnel.	a) Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.
	b) SPECIAL REPORTS (may include but are not limited to)**: FINAL REPORT OF THE NEW YORK STATE JUDICIAL RECORDS DISPOSITION COMMITTEE, SEMI-ANNUAL REPORTS OF THE NEW YORK STATE JUDICIAL RECORDS DISPOSITION AND ARCHIVES DEVELOPMENT PROJECT, and JUDICIAL RECORDS DISPOSITION AND ARCHIVES DEVELOPMENT PROJECT - PROPOSED COURT RECORDS RETENTION & DISPOSITION SCHEDULES**	b) Retain permanently for research purposes.
	c) (See following page.)	

R.S. #	RECORD SERIES	RETENTION
	MANUALS/HANDBOOKS/REPORTS (continued)	
	Reports related to records management, law libraries and microfilming which are developed and distributed by the Office of Reference Services (ORS) to court personnel and/or the public.	
	c) GENERAL INSTRUCTIONS (may include but are not limited to)**: RECORDS MANAGEMENT OFFICE - NETWORK GENERAL INSTRUCTIONS MANUAL, MICROFILM INSTRUCTIONS MANUAL, and JARMS GENERAL INSTRUCTIONS MANUAL**	c) Retain until no longer needed, then destroy.
	Manuals/handbooks containing general instructions on operating computers or equipment of the Office of Reference Services and distributed to office personnel.	
00000.	**METHYLENE BLUE TEST RESULTS LOG**	
	Log used to track results of the methylene blue test obtained from CERTIFICATES OF FINDINGS. Information includes: date sample was taken, roll identification number, date mailed and returned and number of rolls returned by outside vendor.	Retain for six years after lapse of contract, then destroy.
00000.	**MICROFILM EQUIPMENT PRODUCTION REPORTS**	
	Daily production reports for the amount of time spent on use and maintenance of the microfilm unit's equipment. Information may include: time spent on production, idle time, down time and time spent on maintenance.	Retain for one year, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**MICROFILM RETRIEVAL FORMS: COURT REPORTER TAPES**	
	Forms used to monitor the retrieval and return of microfilmed tapes by court reporters from the Microfilm Unit. Information may include: date roll was retrieved, Court Reporter's name, date microfilmed, roll number, time and date microfilm roll was returned.	Retain until borrowed Court Reporter tape has been returned or retention period for tape has been met, whichever is shorter, then destroy.
00000.	**MICROFILM UTILIZATION FORMS**	
	Forms listing the records filmed on each roll. Information includes: date and document.	Retain for one year, then destroy.
00000.	**NEW YORK STATE REPORTER FILE**	
	File containing articles and correspondence sent to the New York State Reporter.	Retain for five years, then destroy.
00000.	**OPERATIONS SURVEY FILES**	
	Files containing information used to assess law libraries workloads and for developing staffing guidelines. Files consist of databases or spreadsheets, reports, memoranda, handwritten notes and copies of OPERATIONS SURVEY QUESTIONNAIRES.	
	a) Databases or spreadsheets and reports.	a) Retain permanently for research purposes.
	b) Memoranda, handwritten notes and copies of OPERATIONS SURVEY QUESTIONNAIRES.	b) Retain for four years, then destroy.
00000.	**OPERATIONS SURVEY QUESTIONNAIRE**	
	Questionnaire used to determine staffing requirements for Law Libraries. Questionnaire includes: demographics, databases used, number of titles and collections, types of titles (e.g. microfilm, serials, non-print) and workload factors.	Retain permanently for research purposes.

R.S. #	RECORD SERIES	RETENTION
00000.	**PRE-SCHEDULE MAIL INVENTORIES FILE**	
	File containing inventories prepared by the Courts on their record holdings, used to create the Court RECORDS RETENTION AND DISPOSITION SCHEDULES. Information includes: accessibility to researchers, records destruction procedures, microfilm status, storage facilities and years available.	Retain for ten years, then destroy.
00000.	**PROCESSED MICROFILM FILE**	
	File listing the number of microfilm rolls processed daily. Information includes: date processor was used, roll number of film processed and total number of rolls processed.	Retain for two years, then destroy.
00000.	**PROCESSOR CHARTS**	
	Charts created to monitor the use and operations of the microfilm unit's processing machines. Information may include: date microfilmed, roll number, whether work is test or actual work, date processed, density, D-Min (clarity of blank film), resolution, footage of roll, running total of footage and time processed, temperature of chemicals and number of masters created.	Retain for two years, then destroy.
00000.	**QUALITY CONTROL FORMS**	
	Forms used to log quality control findings of microfilm processed in-house. Information includes: document filmed, camera number, date filmed, roll number, date processed, application reduction ratio, resolution, five point density averages and camera operator.	Retain for one year, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**RECORDS APPRAISAL FILES**	
	Files containing appraisal information for records used to develop the Court and OCA RECORDS RETENTION AND DISPOSITION SCHEDULES. Consists of: appraisal forms, inventory forms, memorandums from and to Counsel's Office, handwritten notes, draft RECORDS RETENTION AND DISPOSITION SCHEDULES and samples of the records inventoried.	Retain permanently for research purposes.
00000.	**RECORDS DISPOSITION REQUEST FORMS: COURTS/OFFICE OF COURT ADMINISTRATION**	
	Records Disposition Request Forms submitted by Courts and Office of Court Administration Departments requesting approval for destruction of records. Disposition forms include: Court/Office name, address, contact person, title, phone number, record series title and number, dates, volume and equipment used to store records, storage location and conditions, whether microfilmed, action taken, explanation, signature of the Office of Court Administration representative and date.	Retain permanently for research purposes.
00000.	**RECORDS DISPOSITION REQUEST LOG: COURT/OFFICE OF COURT ADMINISTRATION**	
	Log used for tracking RECORDS DISPOSITION REQUEST FORMS sent from Courts and Office Court Administration Departments asking for approval to destroy records. Information may include: date received, name of court/office, item number, record series name and number, years, volume, unique identification number for each request and disposition of request.	Retain permanently for research purposes.

R.S. #	RECORD SERIES	RETENTION
00000.	**RECORDS RETENTION AND DISPOSITION SCHEDULES**	
	Records Retention and Disposition Schedules for all records of New York State's Unified Court System. Information may include: Court/Office unit, department names, record series number, record series title, purpose/description and retention period for each record series.	Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.
00000.	**REFERENCE LOG**	
	Log of patron requests for information for and about court/OCA records. Logs includes date of request, question, response, court or OCA department and patron's name and address.	Retain for six years, then destroy.
00000.	**REFERENCE SERVICE CHARGES FILE**	
	File containing charges paid by Law Libraries for the use of outside on-line reference services, for example Westlaw or Dialog.	Retain for three years, then destroy.
00000.	**SECURITY FORMS**	
	Forms used to acknowledge the delivery of microfilm from the Microfilm Unit to the office of record. Information includes: date, recipient's name, subject of series filmed, roll number for each office, total number of rolls taken and signature of recipient.	Retain for two years, then destroy.
00000.	**SENSITOMETRY CONTROL FORMS**	
	Forms documenting the quality control test results performed on microfilm chemicals and in-house processing racks. Information includes: chemical strength and results of AM and PM test of processors.	Retain for two years, then destroy.
00000.	**SERIAL/SUBSCRIPTION PRICE LIST**	
	List containing publishers' titles of serials/subscriptions and prices for Law Libraries.	Retain for three years, then destroy.

R.S. #	RECORD SERIES	RETENTION
00000.	**SPECIFICATIONS FILE**	
	Files identifying specifications developed for a microfilm project for a particular job site. Specifications include: microfilm size and/or type of microform to be used, density and resolution expected after processing, and microfilm equipment needed for the project. File contains: specifications, memorandums and correspondence.	Retain for ten years, then destroy.
00000.	**STAFFING DEVELOPMENT FILE**	
	File containing analytical and background information on the development of Law Libraries.	Retain permanently for research purposes.

INDEX

Allocation Survey Forms 1
Appellate Division Records and Briefs Index 1
Assignment Report Forms 1
Book Publishers File 1
Certificates of Findings File 2
Chief Law Librarian Advisory Committee File 2
Contract Files 2
Core Collection File 2
Court/OCA Photographic File 2
Court/OCA Photographic File Index 3
Court Records Inventories Data Collection Forms File 3
Destruction Authorization: Appellate Division Records and Briefs 3
Education and Training Seminars File 3
Employee Identification Cards File 3
Employee Identification List 4
Employee Identification Statistical Reports 4
Expenditure Tracking File 4
Field Visits File 4
Historical Development Files for the Unified Court System 4
Hygrothermograph Charts 5
Judicial Archives and Records Management System (JARMS) Data File 5
Law Libraries Trustees File 5
Legal Reference Surplus File 5
"Libraries & Records Management" Newsletter 6
Maintenance and Supply Contract Files 6
Manuals/Handbooks/Reports 7
Methylene Blue Test Results Log 8
Microfilm Equipment Production Reports 8
Microfilm Retrieval Forms: Court Reporter Tapes 9
Microfilm Utilization Forms 9
New York State Reporter File 9
Operations Survey Files 9
Operations Survey Questionnaire 9
Pre-Schedule Mail Inventories File 10
Processed Microfilm File 10
Processor Charts 10
Quality Control Forms 10
Records Appraisal Files 11
Records Disposition Request Forms: Court/Office of Court Administration 11
Records Disposition Request Log: Court/Office of Court Administration 11
Records Retention and Disposition Schedules 12
Reference Log 12
Reference Service Charges File 12
Security Forms 12
Sensitometery Control Forms 12
Serial/Subscription Price List 12
Specifications File 13
Staffing Development File 13