

# **Records Retention and Disposition Schedule**



## **Division of Administrative Services Accounts Unit**

**Division of Professional and Court Services  
Office of Records Management**

**Revised September 2021**

## Procedures for Requesting Disposition Authorization

You must submit a Records Disposition Request Form and receive approval from our office before disposing of **any** records.

You can access a copy of the Records Disposition Request Forms at the following link:

<http://ww2.nycourts.gov/sites/default/files/document/files/2020-12/RDR-fillable20201208.pdf>

Return all completed forms, by mail, fax, or email to one of the following:

NYS Office of Court Administration  
Division of Professional and Court Services  
Office of Records Management  
25 Beaver Street, 7th Floor  
New York, NY 10004

Fax: 212-428-2880

E-mail: [DISPOREQ@nycourts.gov](mailto:DISPOREQ@nycourts.gov)

You can reach us by phone at 212-428-2875.

**The retention for fiscal records is based on fiscal years and not calendar years.**

This retention schedule is printed with color to help you identify whether a series or sub-series of records is or will be eligible for destruction. The guide below explains the color-coding.

**Red: Permanent Records**

A records series title and number in red indicate records must be retained permanently.

**Green: Non-Permanent Records**

A records series title and number in green indicate records are eligible for destruction.

**Orange: Both Permanent and Non-Permanent Records**

A records series title and number in orange indicate the records series includes permanent and non-permanent records. Be especially careful when reviewing records in this category.

## Table of Contents

<b><i>Credit Card Records</i></b> .....	<b>5</b>
Corporate Business Travel Account File (also known as BTA File) .....	5
Corporate Business Travel Account Billing Statements File (also known as BTA Billing Statements File) .....	5
Corporate Purchasing Card Billing Statements File.....	5
Corporate Purchasing Card Start-Up File .....	5
Corporate Purchasing Cardmember Reports and Procurement Log of Transactions File .....	5
Corporate Travel Credit Card Billing Statements File.....	6
Corporate Travel Credit Card Start-Up File .....	6
<b><i>General Accounting Records</i></b> .....	<b>7</b>
Allocation Expenditure Reports .....	7
Batch Number Logbook .....	7
Car/Van Wash Coupon Distribution List .....	7
Car/Van Wash Request File .....	8
Contract File.....	8
Criminal History Register (also known as Criminal History Log) .....	8
Criminal History Search Bank Reconciliation File .....	8
Criminal Jury Instructions Log .....	8
Data Processing Revenue Log .....	8
Expenditure and Allocation Reports Distribution List.....	8
Expenditure Journal Reports.....	9
Food Service File .....	9
Journal Vouchers Document Number Register .....	9
Journal Vouchers File .....	9
Lodging Request Reports .....	9
Miscellaneous Checks Log.....	9
Mobile Phone Usage File .....	10
New York City Family Court Electronic Recording Report File .....	10
New York City Surrogate’s Court Comparative Summary Report File .....	10
New York City Surrogate’s Court Electronic Recording Report File.....	10
New York City Surrogate’s Court Electronic Recording Report Worksheets File.....	10

<b>New York State Forms Order File .....</b>	<b>10</b>
<b>New York State OGS Monthly Usage Phone Bill File.....</b>	<b>11</b>
<b>New York State Travel Voucher Batch Document Register .....</b>	<b>11</b>
<b>New York State Travel Vouchers .....</b>	<b>11</b>
<b>Payment Warrant Books.....</b>	<b>11</b>
<b>Personal Phone Usage - Payment Checks Received Log (also known as Personal Phone Usage - Payment Log) .....</b>	<b>11</b>
<b>Petty Cash Reconciliation File .....</b>	<b>12</b>
<b>Petty Cash Register .....</b>	<b>12</b>
<b>Postage Stamps Log.....</b>	<b>12</b>
<b>Postmaster/Miscellaneous Cash File .....</b>	<b>12</b>
<b>Purchase Order Logs (also known as Purchase Order Registers) .....</b>	<b>12</b>
<b>Purchase Orders.....</b>	<b>13</b>
<b>Quick Pay List.....</b>	<b>13</b>
<b>Quick Pay Vouchers File.....</b>	<b>13</b>
<b>Quick Pay Vouchers Log (also known as Quick Pay Vouchers Register) .....</b>	<b>13</b>
<b>Report of Moneys Received and Refund of Appropriation Expenditures File (also known as 1286 and 909 File) .....</b>	<b>13</b>
<b>Report of Moneys Received and Refund of Appropriation Expenditures Logbook (also known as 1286 and 909 Logbook).....</b>	<b>14</b>
<b>Revenue/Refund Document Register .....</b>	<b>14</b>
<b>Sole Custody File .....</b>	<b>14</b>
<b>Standard Vouchers File.....</b>	<b>14</b>
<b>Standard Vouchers Log .....</b>	<b>14</b>
<b>Tax File .....</b>	<b>15</b>
<b>Token Distribution Log .....</b>	<b>15</b>
<b>Travel Intake Log.....</b>	<b>15</b>
<b>Travel Reimbursement Checks Received from OSC Log .....</b>	<b>15</b>
<b>Travel Request and Lodging Request File (also known as TR/LR Request File).....</b>	<b>15</b>
<b>Travel Request and Lodging Request Log (also known as TR and LR Log) .....</b>	<b>15</b>
<b>Travel Request and Lodging Request Memo File (also known as TR/LR Memo File) .....</b>	<b>15</b>
<b>Travel Request Reports .....</b>	<b>16</b>
<b>Travel Vendor Document Register .....</b>	<b>16</b>
<b>Travel Voucher Receipts File (also known as Proof of Delivery Receipts File) .....</b>	<b>16</b>

# Division of Administrative Services

## Accounts Unit

### Credit Card Records

- AU-010 Corporate Business Travel Account File (also known as BTA File)**  
File containing rules and regulations for using the corporate business travel account for OCA employees who do not have an individual credit card.  
**Retain until expiration of BTA credit card, then destroy.**
- AU-020 Corporate Business Travel Account Billing Statements File (also known as BTA Billing Statements File)**  
File containing billing statements received for the corporate business travel account.  
**Retain for three years after payment or return of overpayment, whichever is later, then destroy.**
- AU-030 Corporate Purchasing Card Billing Statements File**  
File containing billing statements received for purchases made with the corporate purchasing card.
- a) Contract Related Purchases**  
**Retain for six years, then destroy.**
- b) Non-Contract Related Purchases**  
**Retain for three years, then destroy.**
- AU-040 Corporate Purchasing Card Start-Up File**  
File containing rules and regulations for use of corporate purchasing cards.  
**Retain until expiration of credit card, then destroy.**
- AU-050 Corporate Purchasing Cardmember Reports and Procurement Log of Transactions File**  
File containing corporate purchasing cardmember reports and procurement log of transactions reflecting detailed list of charges.  
**Retain for three years, then destroy.**

**AU-060 Corporate Travel Credit Card Billing Statements File**

File containing billing statements received for purchases made with the corporate travel credit card.

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

**AU-070 Corporate Travel Credit Card Start-Up File**

File containing applications by OCA employees for corporate credit cards. File also contains signed acknowledgments, rules, and regulations for use of credit cards.

**Retain until expiration of credit card, then destroy.**

# Division of Administrative Services

## Accounts Unit

### General Accounting Records

#### **AU-080 Allocation Expenditure Reports**

Reports received from the Office of the State Comptroller verifying expenditures and allocations by cost center. Includes cost center number, OCA Unit, categories of expenses, description of objects purchased, expenditures, allocations, encumbrances to date, unexpended balance, unexpended unencumbered balance, amount of unexpended balance as percentage of allocation, encumbrances to date, unencumbered balance, and unencumbered amount as percentage of allocation.

**Retain until no longer needed, then destroy.**

#### **AU-090 Batch Number Logbook**

Logbook used to track batch numbers assigned to Journal Transfer/Revenue Transfers, Standard Vouchers, Reports of Checks Returned for Refund or Exchange, Contract Encumbrance Requests, Purchase Order Change Notices, Reports of Moneys Received, Encumbrance Continuations, Encumbrance Abstracts, Refunds of Appropriation Expenditures, Invoice Continuations, Batch Transmittals, and Document Registers.

##### **a) Contract Related**

**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**

##### **b) Non-Contract Related**

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

#### **AU-100 Car/Van Wash Coupon Distribution List**

List used to monitor the issuance of car wash coupons to OCA personnel for State owned vehicles. Information includes coupon book number, coupon ticket number, license plate number, date issued, and signature of recipient.

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

- AU-110 Car/Van Wash Request File**  
File used to track and monitor “car wash services.” File also used to track Purchase Orders sent to vendor for car/van wash coupon books. File contains copies of purchase orders and log of requests.  
**Retain for three years, then destroy.**
- AU-120 Contract File**  
File containing all materials documenting the management of agency contracts.  
**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**
- AU-130 Criminal History Register (also known as Criminal History Log)**  
Register used to record all deposits, check numbers, and names of persons issuing bad checks for Criminal History Searches.  
**Retain for three years, then destroy.**
- AU-140 Criminal History Search Bank Reconciliation File**  
Documents used to reconcile the Criminal History Search account. File contains deposit slips with supporting documentation and canceled checks made to the Commissioner of Taxation and Finance for transfer of funds.  
**Retain for three years, then destroy.**
- AU-150 Criminal Jury Instructions Log**  
Log of funds received from the public for the purchase of Criminal Jury Instruction Manuals.  
**Retain for three years, then destroy.**
- AU-160 Data Processing Revenue Log**  
Log used to record payments received for data sold to outside entities by the Division of Technology.  
**Retain for three years, then destroy.**
- AU-170 Expenditure and Allocation Reports Distribution List**  
List used for the distribution of Expenditure Journal Reports and Allocation Reports.  
**Retain until updated, then destroy.**



- AU-180 Expenditure Journal Reports**  
Reports received from the Office of the State Comptroller verifying expenditures. Reports indicate cost center number, OCA Unit, object category, date payment processed, originating agency number, batch number, voucher number, payee identification, name of payee, charge amount, object subtotals, and cost center totals for a monthly period.  
**Retain until updated, then destroy.**
- AU-190 Food Service File**  
File used to track the purchase of meals for working meetings. File contains requests, approvals, and menus.  
**Retain for three years, then destroy.**
- AU-200 Journal Vouchers Document Number Register**  
Log used to record payments received for data sold to outside entities by the Division of Technology.  
**Retain for three years, then destroy.**
- AU-210 Journal Vouchers File**  
File used to track transfer of funds from one cost center to another, reimbursement of funds, corrections made to incorrect charges to cost centers, and payments made to other New York State agencies. Contains Journal Transfers/Revenue Transfers.  
**Retain for three years, then destroy.**
- AU-220 Lodging Request Reports**  
Perpetual list of submitted Lodging Requests. Report indicates Lodging Request Number, name of traveler, name of establishment providing services, and amount of Lodging Request.  
**Retain for three years, then destroy.**
- AU-230 Miscellaneous Checks Log**  
Log used to record receipt of payments for miscellaneous items including overpayments, claim settlements, and subpoena fees.  
**Retain for three years, then destroy.**

**AU-240 Mobile Phone Usage File**

File containing certification memos and monthly billing statements for mobile phones assigned to OCA employees.

**a) Contract Related**

**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**

**b) Non-Contract Related**

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

**AU-250 New York City Family Court Electronic Recording Report File**

File containing copies of monthly Electronic Recording Reports submitted by New York City Family Court. Report includes but is not limit to total number of days electronic recording took place and number of proceedings in which a court reporter was utilized for the official record.

**Retain for one year, then destroy.**

**AU-260 New York City Surrogate's Court Comparative Summary Report File**

File containing copies of biannual summaries of New York City Surrogate's Court Electronic Recording Reports. Reports provide comparative figures for three consecutive years.

**Retain for one year, then destroy.**

**AU-270 New York City Surrogate's Court Electronic Recording Report File**

File containing copies of monthly Electronic Recording Reports submitted by New York City Surrogate's Courts. Report includes but is not limited to Name of Surrogate, total number of days electronic recording took place, and number of proceedings in which a court reporter was utilized for the official record.

**Retain for one year, then destroy.**

**AU-280 New York City Surrogate's Court Electronic Recording Report Worksheets File**

File containing information gathered for the monthly Electronic Recording Reports submitted by New York City Surrogate's Court. Worksheets contain monthly breakdown of the statistical data.

**Retain for one year, then destroy.**

**AU-290 New York State Forms Order File**

File containing requests sent to the Office of the State Comptroller's Stock Control Unit for New York State Forms.

**Retain until requested items are received, then destroy.**

- AU-300 New York State OGS Monthly Usage Phone Bill File**  
File containing New York State OGS Monthly Usage Phone Bills for phones assigned to OCA employees. Information may include telephone number, name of employee, number dialed, and Certification Statement.
- a) Contract Related**  
Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.
- b) Non-Contract Related**  
Retain for three years, then destroy.
- AU-310 New York State Travel Voucher Batch Document Register**  
Log used to track payments for travel expenses.  
Retain for three years, then destroy.
- AU-320 New York State Travel Vouchers**  
Travel vouchers submitted by OCA employees for reimbursement of travel expenses. Vouchers also contain supporting documentation.  
Retain for three years, then destroy.
- AU-330 Payment Warrant Books**  
Books used to verify payments for goods and services. Contains duplicate copies of the State Of New York Office of The State Comptroller's Payee List by Agency and Voucher.
- a) Contract Related**  
Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.
- b) Non-Contract Related**  
Retain for three years, then destroy.
- AU-340 Personal Phone Usage - Payment Checks Received Log (also known as Personal Phone Usage - Payment Log)**  
Log used to record payments received from OCA employees for personal phone calls.  
Retain for three years, then destroy.

**AU-350 Petty Cash Reconciliation File**

File used to reconcile the petty cash account. File contains canceled checks, bank statements, and deposit slips from the Office of the State Comptroller.

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

**AU-360 Petty Cash Register**

Register used to record petty cash payments. Contains Petty Cash Recapulation Sheets that indicate check number issued, date issued, name of vendor, description of item purchased, and amount paid.

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

**AU-370 Postage Stamps Log**

Log used to record the issuance of postage stamps to OCA Divisions/Offices. Also includes memos requesting stamps.

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

**AU-380 Postmaster/Miscellaneous Cash File**

File containing pre-dated checks to be issued to the New York Postmaster for postage meter fees. File also contains miscellaneous checks and cash received for accounts receivable.

**a) Pre-dated Checks for Postmaster**

**Retain until checks are utilized.**

**b) Funds Received for Accounts Receivable**

**Retain documentation for disbursement of funds for three years, then destroy.**

**AU-390 Purchase Order Logs (also known as Purchase Order Registers)**

Log used to track the assignment of purchase order numbers to Purchase Orders.

**a) Contract Related**

**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**

**b) Non-Contract Related**

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

- AU-400 Purchase Orders**  
Purchasing documents submitted to vendors to obtain goods and services.
- a) Contract Related**  
**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**
- b) Non-Contract Related**  
**Retain for three years, then destroy.**
- AU-410 Quick Pay List**  
List of all OCA agencies and their cost centers. List also indicates span of pre-assigned quick pay voucher numbers by fiscal year.  
**Retain until updated, then destroy.**
- AU-420 Quick Pay Vouchers File**  
File used to track payments of Quick Pay Vouchers submitted by New York City Courts and OCA Divisions/Offices. File contains Quick Pay Vouchers, Invoices, Packing Slips, and Invoice Continuations, when applicable.
- a) Contract Related**  
**Retain for six years after expiration of the contract or final payment, whichever later, then destroy.**
- b) Non-Contract Related**  
**Retain for three years, then destroy.**
- AU-430 Quick Pay Vouchers Log (also known as Quick Pay Vouchers Register)**  
Log used to assign Quick Pay Voucher Numbers and batch numbers to Quick Pay Vouchers.
- a) Contract Related**  
**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**
- b) Non-Contract Related**  
**Retain for three years, then destroy.**
- AU-440 Report of Moneys Received and Refund of Appropriation Expenditures File (also known as 1286 and 909 File)**  
File used to reconcile payments received from the public (individuals and law firms).  
**Retain for three years, then destroy.**

**AU-450 Report of Moneys Received and Refund of Appropriation Expenditures Logbook (also known as 1286 and 909 Logbook)**

Logbook used to track and assign document numbers to Report of Moneys Received (1286's) and Refund of Appropriation Expenditures (909's).

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

**AU-460 Revenue/Refund Document Register**

Book used to record all revenue received by OCA Divisions and Offices.

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

**AU-470 Sole Custody File**

File used to show total reconciliations for each fiscal year for the Attorney Registration Account and Criminal History Search Account. Contains Sole Custody Account Reports, Sole Custody Worksheets, and Sole Custody Reconciliation Reports.

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

**AU-480 Standard Vouchers File**

File used to track payments of Standard Vouchers submitted by New York City Courts and OCA Divisions/Offices. File contains Standard Vouchers, Invoices, Packing Slips, and Invoice Continuations, when applicable.

**a) Contract Related**

**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**

**b) Non-Contract Related**

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

**AU-490 Standard Vouchers Log**

Log used to track and assign Standard Voucher Numbers and batch numbers to Standard Vouchers.

**a) Contract Related**

**Retain for six years after expiration of the contract or final payment, whichever is later, then destroy.**

**b) Non-Contract Related**

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

- AU-500 Tax File**  
File containing requests from vendors for New York State OCA Tax Exempt Number and Tax-Exempt Certificates.  
**Retain until no longer needed, then destroy.**
- AU-510 Token Distribution Log**  
Log used to monitor the distribution of tokens to OCA employees for reimbursement of work-related travel expenses.  
**Retain for three years, then destroy.**
- AU-520 Travel Intake Log**  
Log used to track the in-house auditing of Travel Vouchers. Log indicates name of payee, cost center, place of travel, date of travel, purpose of travel, amount charged to credit card, amount billed by credit card company, and total amount of Travel Voucher.  
**Retain for three years, then destroy.**
- AU-530 Travel Reimbursement Checks Received from OSC Log**  
Log of checks received from the Office of the State Comptroller for reimbursement of travel expenses. Log includes date the check was received from Office of the State Comptroller, payee name, check date, and amount.  
**Retain for three years, then destroy.**
- AU-540 Travel Request and Lodging Request File (also known as TR/LR Request File)**  
File containing requests made by OCA Offices for Travel Request Books and Lodging Request Books.  
**Retain for three years, then destroy.**
- AU-550 Travel Request and Lodging Request Log (also known as TR and LR Log)**  
Log used to record the issuance of Travel Request and Lodging Request Books to OCA employees.  
**Retain for three years, then destroy.**
- AU-560 Travel Request and Lodging Request Memo File (also known as TR/LR Memo File)**  
File containing memoranda sent from the Accounts Unit to OCA Divisions/Offices in response to requests for Travel Request and Lodging Request Books.  
**Retain for three years, then destroy.**

**AU-570 Travel Request Reports**

Perpetual list of Travel Requests used. Report indicates Travel Request Number, name of traveler, name of establishment providing services, and amount of Travel Request.

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

**AU-580 Travel Vendor Document Register**

Log of invoices submitted by vendors for travel expenses incurred by Unified Court System employees.

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

**AU-590 Travel Voucher Receipts File (also known as Proof of Delivery Receipts File)**

File containing duplicate copies of receipts for travel reimbursement envelopes which are received from the Office of The State Comptroller.

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