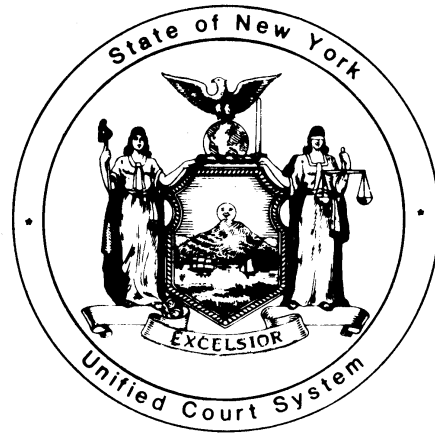


Records Retention and Disposition Schedule



Division of Professional and Court Services Continuing Legal Education Unit

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

May 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

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

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.

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General Records

CLE-010 Attorney Audit Files

Files used to determine whether an attorney complied with New York State's Continuing Legal Education mandatory requirement. Includes, but is not limited to, Internal Audit Services' correspondence with attorneys regarding CLE compliance, reports, supporting materials, and correspondence with Appellate Divisions. The files contain both CLE Unit and Internal Audit Services generated documents.

Retain until names of attorneys, who fail to comply with the continuing legal education requirement, are submitted to the Appellate Divisions, then destroy.

CLE-020 Attorney Applications for Publication Credit Continuing Legal Education Files

Files containing documents submitted by New York State licensed attorneys to request Continuing Legal Education credit for legal research-based writing that is either published or accepted for publication. Includes, but is not limited to

a) Applications for Publication Credit and Determinations

Retain completed application form and determination for four years after decision is rendered, then destroy.

b) Supporting Materials, such as attorney request letters, proofs of publication or acceptance for publication, copies of publications, and copies of cover and table of contents of publications or description of publication content (when of great length).

Retain supporting materials until decision is rendered, then destroy.

CLE-030 Extension, Waiver and Modification Files

Files containing documents submitted by New York State licensed attorneys to request an extension, waiver and/or modification of their Continuing Legal Education requirement. Includes, but is not limited to applications, determinations, and supporting materials.

Retain for four years after decision is rendered, then destroy.

Continuing Legal Education Board Records

CLE-040 Continuing Legal Education Board Members List

Listing of names of members of the New York State Continuing Legal Education Board.

Retain permanently for research purposes.

CLE-050 Continuing Legal Education Board Meeting Minutes Files

Files containing documents used to facilitate creating minutes of the Continuing Legal Education Board's Meetings.

a) Development Files

Includes, but is not limited to, notes, and drafts of Continuing Legal Education Board Meeting Minutes.

Retain until Official Continuing Legal Education Board Meeting Minutes are adopted by the Board, then destroy.

b) Meeting Minutes and Board Meeting Materials

Official Minutes of the Continuing Legal Education Board Meetings and Board Meeting Materials. Includes, but is not limited to, CLE staff memoranda, correspondence from attorneys and providers, reports, and other information provided to CLE Board members in preparation for their discussion at meetings.

Retain permanently for research purposes.

CLE-060 Continuing Legal Education Board News and Notices

Announcements published on the CLE website informing New York State licensed attorneys and Continuing Legal Education Providers of upcoming meetings, events, and changes to existing Continuing Legal Education rules, regulations and/or procedures.

Retain until updated, or no longer needed, whichever is sooner, then destroy.

CLE-070 **NYS CLE Program Rules and NYS CLE Board Regulations and Guidelines**
Publications instructing New York State licensed attorneys and providers on the Continuing Legal Education program's official policies, rules, regulations, and procedures.

a) Master Copy

Retain original and all subsequent updates permanently for research purposes.

b) All Others

Retain until updated, then destroy.

CLE-080 **Continuing Legal Education Board Frequently Asked Questions (also known as CLE FAQs)**

Published on the CLE website are answers to commonly asked questions of Pro Bono Providers, Continuing Legal Education Providers, newly admitted and experienced attorneys regarding New York State Continuing Legal Education program requirements, policies and/or procedures.

Retain until updated or no longer needed, whichever is sooner, then destroy.

Continuing Legal Education Provider and Sponsoring Organization Records

CLE-090 Continuing Legal Education Accredited Provider Announcements

Published on the CLE website are announcements informing Continuing Legal Education Accredited Providers of upcoming meetings, events, and/or changes to existing Continuing Legal Education rules, regulations and/or procedures.

Retain until updated or no longer needed, whichever is sooner, then destroy.

CLE-100 Continuing Legal Education Accredited Provider Records

Records used to evaluate and/or review requests received for Continuing Legal Education Accredited Provider status, renewal of CLE Accredited Provider status, and approval of nontraditional format applications.

a) Accreditation Processing Files

Files containing, Applications for accredited provider status, applications for renewal of such status, and applications for nontraditional format approval, along with supporting materials. These applications and supporting materials include, but are not limited to, descriptions of programs, programming history, proposed attendance verification procedures, and providers' contact information. The files also include correspondence, CLE staff worksheets, and determination letters from the Continuing Legal Education Board regarding the above applications.

Retain for four years after accreditation is terminated (expired, revoked, withdrawn, etc.), or application is denied, then destroy.

b) New York State CLE Accredited Provider List

List of names and contact information of currently approved Accredited Providers.

Retain until updated or no longer needed, whichever is sooner, then destroy.

CLE-110 Continuing Legal Education Accredited Provider Year-End Reports

Annual reports submitted to the CLE Board by Accredited Providers describing courses and programs offered to attorneys for New York State Continuing Legal Education credit.

Retain for four years, then destroy.

CLE-120 Out-of-State Continuing Legal Education Course—Approved Jurisdiction Determination Records

Records pertaining to out-of-state CLE course applications. The documents in these files include, but are not limited to

a) Individual course applications and supporting materials submitted by applicants for accreditation of an out-of-state course, which falls under New York’s Approved Jurisdiction policy and, therefore, precludes CLE staff review
Retain until determination letter is transmitted to applicant, then destroy.

b) Determination letter notifying applicant that, based on the information provided by the applicant, New York’s Approved Jurisdiction policy applies to their out-of-state course.
Retain determination letter for four years, then destroy.

CLE-130 Course Files

Files containing documents received from sponsoring organizations and/or individual attorney participants seeking accreditation of, or credit for, courses by the Continuing Legal Education Board.

Retain for four years after accreditation expires or is revoked, application is denied, or individual course is withdrawn, then destroy.

CLE-140 Course Summaries

Documents submitted by sponsoring organizations to summarize accredited courses offered for Continuing Legal Education credit.

Retain for four years after accreditation expires or is revoked, then destroy.

CLE-150 Pro Bono Continuing Legal Education Provider Records

Records used to evaluate and/or review requests received from bar associations or legal service organizations for Pro Bono Continuing Legal Education Provider status.

a) Pro Bono Continuing Legal Education Provider Files

Includes, but is not limited to letters requesting approval, descriptions of pro bono programs, providers' contact information, and determination letters from the Continuing Legal Education Board.

Retain for six years after accreditation is terminated (expired, revoked, withdrawn, etc.), or application is denied, then destroy.

b) Pro Bono Continuing Legal Education Providers List

List of names and contact information of currently approved Pro Bono Continuing Legal Education Providers.

Retain until updated or no longer needed, whichever is sooner, then destroy.

CLE-160 Pro Bono Continuing Legal Education Provider Reports

Statistical reports submitted by approved Pro Bono Continuing Legal Education Providers to describe, among other things, pro bono programs in which attorneys participated for Continuing Legal Education credit and the number of pro bono CLE credits issued to attorneys.

Retain for six years, then destroy.

CLE-170 Pro Bono Table for Calculating Continuing Legal Education Credit

Table developed to assist New York State licensed attorneys to convert Pro Bono worked hours into Pro Bono Continuing Legal Education credits.

Retain until updated or no longer needed, whichever is sooner, then destroy.