

# Records Retention and Disposition Schedule



## Division of Financial Management

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.

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# Records Retention and Disposition Schedule

## Division of Financial Management

### **FM-010 ABS Training Materials**

Materials used to conduct training sessions in the use of the Automated Budget System.

**Retain until updated, then destroy.**

### **FM-020 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.**

### **FM-030 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.**

### **FM-040 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.**

### **FM-050 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.**

### **FM-060 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.**

**FM-070 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.**

**FM-080 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.**

**FM-090 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.**

**FM-100 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.**

**FM-110 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.**

**FM-120 Bail/Trust Reconciliation Reports**

Reports from the courts on the status of their bail/trust accounts.

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

**FM-130 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.**

**FM-140 Banking Records**

All records documenting the transactions of the Office of Court Administration and court bank accounts.

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

**FM-150 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.**

**FM-160 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.**

**FM-170 Budget Document**

Printed bound document submitted to the Court of Appeals annually for approval. Sent to the State Legislature and Governor after certification.

**a) Master Copy**

**Retain original and all subsequent updates permanently for research purposes.**

**b) All Others**

**Retain until updated.**

**FM-180 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.**

**FM-190 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.**

**FM-200 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.**



- FM-210 Budgets**  
Office of Financial Management and Audit Services' copy of budgets submitted by Review Agencies and the courts.  
**Retain for three years, then destroy.**
- FM-220 Car Mileage Reports**  
Reports documenting the mileage paid for travel vouchers.  
**Retain for three years, then destroy.**
- FM-230 Caseload Activity Report (CARS)**  
Report listing case load activity of each court.  
**Retain until updated, then destroy.**
- FM-240 Cash Advance Confirmation**  
Report listing the cash available in court bank accounts.  
**Retain for three years, then destroy.**
- FM-250 Cash Management Report**  
Report listing monies received by wire transfer for each cost center.  
**Retain until updated, then destroy.**
- FM-260 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.**
- FM-270 Certified Judges File**  
Budgetary analysis of the implications of maintaining a certified judge for the district.  
**Retain for three years, then destroy.**
- FM-280 Civil Service Health Insurance Bills**  
Monthly statements from the Department of Civil Service regarding employee health insurance costs.  
**Retain for three years, then destroy.**
- FM-290 Continuing Professional Education Files**  
Files containing records of the audit seminars attended by the auditors. Includes sponsoring organization, course title, location of course, dates attended, CPE hours, and proof of attendance.  
**Retain for three years from last quality control review, then destroy.**

**FM-300 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.**

**FM-310 Cost Center Profiles**

Materials that officially establish or modify a cost center.

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

**FM-320 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.**

**FM-330 Earmark Notices**

List of scheduled positions for which the established grade has been changed.

**Retain until change is implemented, then destroy.**

**FM-340 Employee Suggestion Incentive Program**

Fiscal analysis of employee suggestions.

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

**FM-350 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.**

**FM-360 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**

**Retain until updated, then destroy.**

**b) Cumulative Report (PP #26)**

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

**FM-370 Facilities Maintenance Transfers**

Annual reconciliation transferring funds from general revenues to facilities maintenance accounts.

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

**FM-380 Financial Planning and Control Manual**

Procedures manual outlining actions related to financial controls. Includes budget bulletins and new accounting procedures bulletins.

**a) Master Copy**

**Retain original and all subsequent updates permanently for research purposes.**

**b) All Others**

**Retain until updated.**

**FM-390 Health Insurance Employee Deduction Information (PDL-2, 23-25)**

Bi-weekly report listing employees' health insurance deductions by agency.

**Retain until updated, then destroy.**

**FM-400 Index Number Refunds**

Report reconciling the balance between various state funds after refund of index number purchases.

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

**FM-410 Interest Reports**

Report from the Office of the State Comptroller documenting interest charges against the Unified Court System's accounts.

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

**FM-420 Internal Audit Manual**

Instruction manual for auditors. Includes audit standards, audit planning, workpaper preparations, and compliance with legal and regulatory requirements.

**a) Master Copy**

**Retain original and all subsequent updates permanently for research purposes.**

**b) All Others**

**Retain until updated.**

- FM-430 IV-D Report**  
Materials documenting reimbursements under the IV-D Program.  
**Retain for six years, then destroy.**
- FM-440 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 master copy (original and all subsequent updates) permanently for research purposes.**
- FM-450 Legislative Authorizations**  
Report summarizing cost of authorized positions personal service, non-personal service, and maintenance undistributed amounts (PS, NPS, and MU).  
**Retain master copy (original and all subsequent updates) permanently for research purposes.**
- FM-460 List of Represented Employees (PDL-38)**  
List of employees and their health benefit funds.  
**Retain until reconciled, then destroy.**
- FM-470 New Judgeship Report**  
Report detailing cost of newly created judicial positions.  
**Retain for one year, then destroy.**
- FM-480 New Positions Report**  
Report listing new positions requested by Unified Court System agencies for the fiscal year.  
**Retain until updated, then destroy.**
- FM-490 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.**
- FM-500 Office of Court Administration Examination Fees**  
Materials documenting the collection of examination fees.  
**Retain for three years, then destroy.**
- FM-510 Payee List (VOU-065)**  
Daily summary of all paid vouchers.  
**Retain for one year or until no longer needed, then destroy.**

**FM-520 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.**

**FM-530 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.**

**FM-540 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.**

**FM-550 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.**

**FM-560 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.**

**FM-570 Resource Comparison Report (RCR)**

Report and analysis of court staffing standards, workloads, and fiscal resources.

**a) RCR**

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

**b) Background Materials**

**Retain for one year or until no longer needed, then destroy.**

**FM-580 Retirement List**

Non-cumulative list of retirees by pay period.

**Retain until updated, then destroy.**

- FM-590 Retro-Payments**  
Report detailing payments for back pay resulting from incorrect salary payments.  
**Retain for three years, then destroy.**
- FM-600 Revenue Reports**  
Series of reports documenting the receipt, transfer, and refund of revenues.  
**Retain for three years, then destroy.**
- FM-610 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.**
- FM-620 Schedule of Positions**  
Report listing the official roster of positions within the Unified Court System.  
**Retain until updated, then destroy.**
- FM-630 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.**
- FM-640 Schedule of Positions Exception Report**  
Report listing exceptions from officially approved positions.  
**Retain until updated, then destroy.**
- FM-650 Schedule of Positions Tracking System**  
Report documenting changes to the Schedule of Positions.  
**Destroy immediately.**
- FM-660 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.**
- FM-670 Sole Custody Report**  
Annual report reconciling the funds collected and disbursed by a court's bank account.  
**Retain for three years, then destroy.**
- FM-680 Staffing Guidelines Revision File**  
Annual update and application of staffing guidelines.  
**Retain for three years, then destroy.**

- FM-690 Summary of Deposits (Rev. 170)**  
Summary from the Office of the State Comptroller acknowledging receipts deposited.  
**Retain for three years, then destroy.**
- FM-700 Target Report**  
Report projecting Schedule of Positions at the end of the fiscal year.  
**Retain until updated, then destroy.**
- FM-710 Temporary Service Report**  
Bi-weekly report listing all temporary positions on the payroll.  
**Retain for current year, then destroy.**
- FM-720 Temporary Service Requests**  
Budgetary analysis of requests to hire temporary staff.  
**Retain for one year, then destroy.**
- FM-730 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.**
- FM-740 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.**
- FM-750 UCS 3001 Report**  
**a) Detail Reports**  
Lists each title in each cost center in the Unified Court System. Includes line number, title, salary, staffing category, filled, earmarked, and vacant items.
- a.1) Detail Reports for Pay Periods 1 and 13**  
**Retain permanently for research purposes.**
- a.2) All Others**  
**Retain for six months, then destroy.**
- b) Summary Report (recap) by district and program.**  
**Retain for two years, then destroy.**

**FM-760 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.**

**FM-770 UCS-4 Logbook**

Logbook used to monitor reclassification requests.

**Retain for one year or until no longer needed, then destroy.**

**FM-780 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 later, then destroy.**

**FM-790 Vouchers**

All vouchers and support materials documenting the disbursement of funds.

**a) Contract Vouchers**

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

**b) Non-Contract Vouchers**

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