

Records Retention and Disposition Schedule



Division of Human Resources Workforce Diversity Office

**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

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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Division of Human Resources

Workforce Diversity Office

WD-010 Automated Information System Job Request File

File containing computer job requests for mailing labels. Information may include Unified Court System Employment Announcement number, date announcement received from personnel, department closing date, indication whether job announcement was reviewed/compared with title standards, and codes for distribution labels.

Destroy immediately.

WD-020 Career/Job Fair File

File containing requests for OCA/Court participation in job fairs. Includes invitations, name of school, contact name, number of students, date of fair, and correspondence.

Retain until no longer needed, then destroy.

WD-030 Career/Job Fair Invitation Response File

File containing correspondence from court personnel re: career/job fairs. Information may include date request was mailed, date of event, EEO analyst initials, organization's name/contact person/phone number, date of response, and participating local manager's name and location code.

Retain until no longer needed, then destroy.

WD-040 Data Collection Forms (UCS-19X) (also known as Interview Data Sheet)

Data entry worksheets containing race and gender information for all non-judicial applicants and employees. Information may include the stage of recruitment, title of position, announcement number, social security number of applicants, year of birth, gender, education level, race/ethnicity, physical or mental disability, New York State residency, and county of residency.

Retain until data has been entered and quality control has been conducted, then destroy.

- WD-050 Discrimination Claims Case File**
File documenting discrimination claims filed by non-judicial employees and applicants seeking employment with the Unified Court System. Contents of file includes name of complainant, title, work location, home address, home/business phone numbers, check list of discriminatory practices, statement as to why individual feels treatment was discriminatory, name of individual accused, date of act, witnesses' names/locations/phone numbers, signature of complainant and date, handwritten notes, investigation report, report sent to the Administrative Judge, Administrative Judge's recommendation and determination, copies of standard form letters, and appeal papers if applicable.
Retain for ten years after final disposition of case, then destroy.
- WD-060 Discrimination Claims Case File Log**
Log used by EEO staff to track assigned Discrimination Claims Case Files. Information includes control number (file number), name of person filing claim, nature of discrimination, official filing date, and status of claim (pending or withdrawn).
Retain for ten years after final disposition of case, then destroy.
- WD-070 Discrimination Claims File Summary**
File containing disposition information for all EEO Discrimination Claims. Information includes name and address of claimant, name and address of Court/OCA department, date filed, type of claim, claim number, number of days taken to process, disposition, and date.
Retain for ten years after final disposition of case, then destroy.
- WD-080 Ethnicity/Gender Data Examination List**
List containing ethnicity and/or gender information on applicants who have taken an examination for employment with the Unified Court System. Information is obtained from the Data Collection Form (UCS-19X).
Retain for five years, then destroy.
- WD-090 Federal EEO-4 Reports File**
File containing annual EEO reports on all non-judicial employees of the Unified Court System as mandated by the federal government. Information may include date filed, department code, job categories, gender and racial profile, and totals.
Retain permanently for research purposes.

WD-100 Handicap Set Aside Program (HSAP) Case File

File containing requests/recommendations made by court managers to have a particular competitive position reclassified as non-competitive for an individual with a disability. Information may include but is not limited to medical review and vocational assessment of an individual, and form letter of final assessment on reclassification.

To be determined at a later date pending appraisal of personnel records.

WD-110 Information and Resource Assistance File

File containing information required by the Americans with Disabilities Act.

a) Requests for Special/Reasonable Accommodations for Disabled Non-Judicial Employees or Applicants Seeking Employment.

To be determined at a later date pending appraisal of personnel records.

b) Memorandums, Articles Researched, and List of Available Handicapped Individuals with Special Skills.

To be determined at a later date pending appraisal of personnel records.

WD-120 Interview Summary Sheets (UCS-24)

Data collection forms summarizing interview data for applicants seeking employment with the Unified Court System. Information may include title of position, judicial grade level, exam or announcement number, candidate's name/ethnicity/sex/veteran status, interviewer's name, location, date, social security number, handicap status, title, disposition (hire, hold for 2nd interview, no interest), education level, skills and ability grading, work experience, summary of applicant's strengths and weaknesses, general overall rating, and signature of interviewer.

Retain for three years after data has been entered and quality control conducted on the EEO's Automated Office Data System, then destroy.

WD-130 Interview Summary Status Reports (also known as Delinquent Reports)

Summary reports of job interviews for the Unified Court System. Information may include statewide reporting period, judicial district number, certification number, examination number, certification date, title of position, location/agency, hiring authority's name, status code, and comments.

Retain permanently for research purposes.

WD-140 Judges File

File containing gender and ethnicity information about judges in the Unified Court System.

Destroy immediately.

WD-150 Judicial District Files

Files containing information collected quarterly from each Judicial District to develop the Work Force Diversity Program Reports. Information may include number of employees hired in each district, race, gender, notes, letters, and timetables.

Retain permanently for research purposes.

WD-160 Manuals/Booklets

a) Procedures or Policies and Standards

Manuals/booklets containing policy and standards related to EEO matters, distributed to court personnel. May include but are not limited to Discrimination Claims Policy and Procedures Booklet, Equal Employment Staff Liaison Handbook, Sexual Harassment in The Workplace Booklet, UCS Grievance Procedure for Claims of Discrimination Based on Disability Booklet, and UCS Anti-Discrimination Panel Manual.

a.1) Master Copy

Retain original and all subsequent updates permanently for research purposes.

a.2) All Others

Retain until updated, then destroy.

b) Special Reports

Manuals/booklets containing Special Reports related to EEO matters and distributed to court personnel and/or the public. May include but are not limited to Hispanic Members of The New York State Legislature and Judiciary-Hispanic Heritage Booklet.

Retain permanently for research purposes.

c) General Instructions

Manuals/booklets containing general instructions for completing forms related to EEO and distributed to EEO personnel. May include but are not limited to Revised Forms Instructional Manual.

Retain until no longer needed, then destroy.

**WD-170 New Hires and Promotional Appointees Log (Hired)
(also known as LOG 1 or OCA-32)**

Quarterly log containing information on all new hires and promotional appointees. Information includes name of court unit, county/district, promotional unit, name of applicant, social security number, date of birth, position title, previous title, starting salary, ethnicity, physical impairments if any, gender, employment status (reinstatements, promotions, reassignments, etc.), date of interview, reason for selection, effective date of appointment, number of applicants (civil service list number and number of eligible applicants canvassed), number interviewed, recruitment methods used, and answer key of codes for completion of log.
Destroy immediately.

**WD-180 New Hires and Promotional Appointees Log (Not Hired)
(also known as LOG 2 or OCA-33)**

Quarterly log containing information on all interviewed applicants not selected in the new hires and promotional category and all other personnel actions (reassignment, change of assignment, training, demotion, termination, and disciplinary actions). Information includes name of court unit, county/district, promotional unit, name of applicant, social security number, date of birth, position title, previous title, starting salary, ethnicity, physical impairments if any, gender, employment status (reinstatements, promotions, reassignments, etc.), date of interview action or training, reason for action or non-selection, disciplinary charges, date of service, disposition/description effective date, name and title of person preparing log, and answer key of codes for completion of log.
Destroy immediately.

WD-190 Outreach Organization File

File containing referrals and resumes obtained from organizations. File also contains EEO's Outreach Survey Form which includes name of organization, type of organization, address, contact person's name, services provided by the organization, type of contacts with the Unified Court System/Office of Court Administration Departments, occupational categories serviced by the organization, New York State counties serviced by organization, racial and sexual percentages of organizations' constituents, and suggestions for better service from EEO.
Retain for five years, then destroy.

WD-200 Race-Related Complaints File Summary

File containing disposition information for race-related complaints filed with EEO. Information includes name and address of claimant, court and county, date filed, disposition, and claim number.

Retain until updated, then destroy.

WD-210 Resume Referral File (also known as Resume Reform File)

File containing correspondence related to receipt of resumes. Information includes Resume Referral Forms, resumes, eligibility letters for 55B Civil Service Program, check-off list of courts of interest to applicant, signature of EEO representative, and date of referral.

Retain for five years, then destroy.

WD-220 Special Accommodations File

File containing requests made by disabled/handicapped candidates for special accommodations for taking civil service examinations. Information includes memorandums, phone messages, handwritten notes, copies of medical examination records of the disabled individual, and their job application.

To be determined at a later date pending appraisal of personnel records.

WD-230 Summary of Interview Forms (UCS-24A)

Copies of forms documenting the summary of recruitment efforts for available positions with the Unified Court System. Information may include date, name of court/OCA department, exam or announcement number, county/district, statement of attachments (applications, resumes, nomination for appointment, Interview Summaries [UCS-24], etc.), interviewer's name/title/judicial grade, number of applicants, number interviewed, and name of nominated candidate and effective date of appointment.

Destroy immediately.

WD-240 Workforce Diversity Program Reports

Reports document the hiring practices for each Judicial District of the Unified Court System. Information includes total number of employees hired, by race and gender categories.

Retain permanently for research purposes.

WD-250 "Working Together" Newsletter

Newsletter containing articles on the latest developments and issues concerning EEO within the Unified Court System.

Retain permanently for research purposes.