

Records Retention and Disposition Schedule



Fiscal Records

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

Revised April 2023

Administrative Order of the Chief Administrative Judge

Pursuant to the authority vested in me, I hereby promulgate, effective immediately, the attached schedule for the retention and disposition of Fiscal Records of the Unified Court System. Disposition of records pursuant to this schedule shall be consistent with Part 104 of the Rules of the Chief Administrator.


CHIEF ADMINISTRATIVE JUDGE

Dated: June 15, 1999

A/O: 275/99

Records Retention and Disposition Schedule

This schedule includes fiscal records created for and by the New York State Unified Court System. The retention of these records is based on the appraisal of their administrative, legal, fiscal, and/or historical value. Based on these values, the records were divided into two categories: “office of record” and “non-record copy.”

The “office of record” is the court or department that maintains the “record copy” for records listed in this schedule. The record copy is the official copy of the record. The “non-record copy” is the copy that is retained by the courts and offices other than the “office of record.”

Due to the requirements of the Office of the State Comptroller, County Clerks outside New York City and Town and Village Courts are required to retain some of their records for a different period of time than other courts/agencies. In addition, Town and Village Courts need the approval of the Office of the State Comptroller prior to destruction of their records.

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.

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 may be eligible for destruction, depending on the age of the records.

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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Accounting Records

Records created to record the acquisition of and payment for goods and services of the Unified Court System.

FS-1 Accounts Payable Records

a) Purchasing Records

Records created to document, verify, balance, and reconcile the purchase of goods and services rendered to the Unified Court System.

Records include but are not limited to Approved Purchase Plans, Contract Encumbrance Requests (AC 340), Invoice Requests, Legal Reference Purchase Requests, Receipts for Items Rendered, Maintenance Agreements, Merchandise Receipts, Purchase Orders (AC 130), Purchase Order Change Notices (AC 902), Purchase Requisitions (SC 321, M 1646), Security Reports, Vendor Contact Sheets, Vendor Files, Vendor History Reports, Vendor Invoices, Vendor Register Logs, Purchase Order Logs, Requisition Logs, Maintenance/Repair In-house Log Books, Encumbrance Reports, Miscellaneous Logs, Registers, and Listings.

a.1) Purchasing Records – Contract Related – Unified Court System Contracts

Offices of Record

County Clerks Outside NYC and Town and Village Courts

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

All Other Courts and Agencies that enter accounts payable records into the New York State Comptroller's Central Accounting System. These currently include Appellate Divisions, Court of Appeals, Court of Claims, District Offices, New York City Budget Office, and OCA Accounts Unit
Retain for six years after expiration of contract or final payment, whichever is later, then destroy.

Non-Record Copies

All Other Courts and Agencies

Retain for three years or until no longer needed, whichever is sooner, then destroy.

a.2) Purchasing Records – Contract Related – Office of General Services and State Contracts

Offices of Record

County Clerks Outside NYC and Town and Village Courts

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

All Other Courts and Agencies that enter accounts payable records into the New York State Comptroller's Central Accounting System. These currently include Appellate Divisions, Court of Appeals, Court of Claims, District Offices, New York City Budget Office, and OCA Accounts Unit
Retain for three years after expiration of contract or final payment, whichever is later, then destroy.

Non-Record Copies

All Other Courts and Agencies

Retain for three years or until no longer needed, whichever is sooner, then destroy.

a.3) Purchasing Records – Non-Contract Related

Offices of Record

County Clerks Outside NYC and Town and Village Courts

Retain for six years after final payment, then destroy.

All Other Courts and Agencies that enter accounts payable records into the New York State Comptroller's Central Accounting System. These currently include Appellate Divisions, Court of Appeals, Court of Claims, District Offices, New York City Budget Office, and OCA Accounts Unit
Retain for three years after final payment, then destroy.

Non-Record Copies

All Other Courts and Agencies

Retain for three years or until no longer needed, whichever is sooner, then destroy.

FS-1 Accounts Payable Records (continued)

b) Payment Records

Vouchers and supporting materials that document, verify, balance, and reconcile the payment for goods and services received.

Records include but are not limited to Cash Advance Vouchers (AC 874), Charge Back by Agency, Charges by Other Agencies, Cost Center Journal Vouchers (AC 1316), Credit Card Journal Vouchers, Expenditure Warrants, Overtime Meal Vouchers (AC 13), Payee Continuations (AC 2395), Refunds of Appropriations – Expenditures, Quick Pay Vouchers (AC 3031), Quick Pay Invoice Continuations, Special Charge Vouchers (AC 916), Standard Vouchers – Invoice Continuations (AC 2373), Standard Vouchers – Continuation Sheets (AC 93), Standard Vouchers (AC 92), Petty Cash Vouchers, Travel Vouchers (AC 132), Lodging Requests (LR or AC 276), Travel Requests (TR or AC 281, AC 276), Tax Exemption Certificates (AC 946), Transportation Requests (AC 281), Detail Sheets (AC 148), Travel Authorizations (OBF TR 1), and Statements of Automobile Travel (AC 160).

b.1) Payment Records – Contract Related – Unified Court System Contracts

Offices of Record

County Clerks Outside NYC and Town and Village Courts

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

All Other Courts and Agencies that enter accounts payable records into the New York State Comptroller's Central Accounting System. These currently include Appellate Divisions, Court of Appeals, Court of Claims, District Offices, New York City Budget Office, and OCA Accounts Unit
Retain for six years after expiration of contract or final payment, whichever is later, then destroy.

Non-Record Copies

All Other Courts and Agencies

Retain for three years or until no longer needed, whichever is sooner, then destroy.

b.2) Payment Records – Contract Related – Office of General Services and State Contracts

Offices of Record

County Clerks Outside NYC and Town and Village Courts

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

All Other Courts and Agencies that enter accounts payable records into the New York State Comptroller's Central Accounting System. These currently include Appellate Divisions, Court of Appeals, Court of Claims, District Offices, New York City Budget Office, and OCA Accounts Unit
Retain for three years after expiration of contract or final payment, whichever is later, then destroy.

Non-Record Copies

All Other Courts and Agencies

Retain for three years or until no longer needed, whichever is sooner, then destroy.

b.3) Payment Records -- Non-Contract Related

Offices of Record

County Clerks Outside NYC and Town and Village Courts

Retain for six years after final payment, then destroy.

All Other Courts and Agencies that enter accounts payable records into the New York State Comptroller's Central Accounting System. These currently include Appellate Divisions, Court of Appeals, Court of Claims, District Offices, New York City Budget Office, and OCA Accounts Unit
Retain for three years after final payment, then destroy.

Non-Record Copies

All Other Courts and Agencies

Retain until no longer needed, then destroy.

FS-2 Accounts Receivable (Revenue) Records

Records that document, verify, balance, and reconcile accounts related to fines and fees and other monies collected by the Unified Court System.

Records include but are not limited to Bills/Invoices, Cash Disbursements, Cash Receipts, Cashier's End of Month Reports, Cashier's Register Tapes, Cashier's Reports, Cashier's Weekly Receipts, Daily Cash Receipt Journals, Daily Cash Receipt Ledgers (Criminal, Civil, Traffic), Journal Vouchers, Master Control Records, Overnight Monies, Refunds of Appropriations, Shortage/Overage Memoranda, Printouts Showing Receipt of Funds, Logs, Registers, and Listings.

Offices of Record

County Clerks Outside NYC, Town and Village Courts

Retain for six years, then destroy.

All Other Courts, NYC County Clerks, District Offices, and OCA Divisions/Offices when they are the originating agencies

Retain for three years, then destroy.

Non-Record Copies

District Offices and OCA Divisions/Offices when they are not the originating agencies

Retain until no longer needed, then destroy.

FS-3 Data Set Records (also known as Accounting Master File)

Data collected from the courts reflecting accounting transactions and entered into the Unified Court System accounting system. Information is used to managed funds; does not include payroll data.

Offices of Record

OCA Division of Financial Management

Retain for ten years, then destroy.

Non-Record Copies

Courts, District Offices, and OCA Divisions/Offices

Retain until no longer needed, then destroy.

Banking Records

Records created to manage the administration of banking transactions and activities of the Unified Court System.

FS-4 Banking Records

Records created to document bank transactions including deposits, withdrawals, and status reports of monies received/collected by the Unified Court System.

Records include but are not limited to Account Summaries, Bad Check Advices, Balance of Funds, Bank Statements, Bank Reconciliations, Canceled Checks, Cancellations of Payment, Check Stubs, Deposit Slips, Listings of Deposits, Schedules of Outstanding Checks, Uncollectible Checks and Wire Transfers.

Offices of Record

County Clerks Outside NYC, Town and Village Courts

Retain for six years, then destroy.

All Other Courts, NYC County Clerks, District Offices, and OCA Divisions/Offices when they are originating agencies

Retain for three years, then destroy.

Non-Record Copies

District Offices and OCA Divisions/Offices when they are not the originating agencies

Retain for one year, then destroy.

Budget Preparation

Records created to document the request for funds from the Legislature to support the activities of the Unified Court System.

FS-5 Budget Policy Coordinator Files

Files containing copies of budget analyses and commentaries on specific portions of the Review Agency Budget Requests.

Offices of Record

OCA Division of Financial Management

Retain for three years, then destroy.

Non-Record Copies

OCA Budget Policy Coordinators

Retain for three years or until no longer needed, whichever is sooner, then destroy.

FS-6 Budget Preparation Files

Files containing background and reference materials for budget preparation.

Offices of Record

Originating Courts and Agencies

Retain for three years, then destroy.

Non-Record Copies

District Offices, OCA Divisions/Offices, and OCA Division of Financial Management when they are not the originating agencies

Retain for three years or until no longer needed, whichever is sooner, then destroy.

FS-7**Budget Requests**

Formal requests made by originating courts/agencies for allocations for the next fiscal years. The two-step process includes:

a) Courts and Agencies

Copies of the courts' and agencies' budget requests submitted to District Offices, New York City Budget Office and Administrative Judges' Offices for review.

Offices of Record**Originating Courts and Agencies**

Retain for three years, then destroy.

Non-Record Copies**District Offices, OCA Divisions/Offices, and OCA Division of Financial Management**

Retain for one year or until no longer needed, whichever is sooner, then destroy.

b) Review Agency Budget Recommendations

Revised and adjusted court and agency budget requests, prepared by District Offices, NYC Budget Office and other administrative offices acting as Review Agencies, submitted to the OCA Division of Financial Management.

Offices of Record**District Offices and OCA Divisions/Offices**

Retain for three years, then destroy.

OCA Division of Financial Management

Retain for three years or until no longer needed, whichever is sooner, then destroy.

Fiscal Administration Records

Records created to document the administration of fiscal transactions.

FS-8

Audit Report Files

File containing reports documenting the audit findings of internal and external agencies.

Offices of Record

OCA Office of Internal Affairs

Retain until a subsequent audit of the same program has been conducted, then destroy. If no subsequent audit of the same program is conducted, retain for ten years, then destroy.

NYS Office of the State Comptroller

To be determined by the Office of the State Comptroller.

Non-Record Copies

Courts, County Clerks, District Offices, and OCA Divisions/Offices

Retain until no longer needed, then destroy.

FS-9

Contract Files

Files containing materials related to the purchase of goods and services that require a contract. Materials may include Contracts, Leases, Bonds, Bid Proposals, Specifications, and other supporting documentation. Records include contracts with Legal Aid Societies, Community Dispute Resolution Centers, and One-Write Accounting System.

Offices of Record

OCA Office of Administrative Services, Contract and Procurement Administration Unit

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

Non-Record Copies

Courts, District Offices, and OCA Divisions/Offices

Retain for three years or until no longer needed, whichever is sooner, then destroy.

FS-10 Financial Planning and Control Manual

Procedures manual outlining actions related to financial controls. Includes Budget Bulletins and new Accounting Procedure Bulletins.

Offices of Record

OCA Division of Financial Management

Retain master copy (original and all subsequent updates) permanently for research purposes.

Non-Record Copies

Courts, District Offices, and OCA Divisions/Offices

Retain until updated, then destroy.

FS-11 Reports and Studies

Reports and studies created by fiscal offices for management analysis, planning, and documentation.

a) Non-Routine Reports

Offices of Record

Originating Courts, District Offices, and OCA Divisions/Offices

Retain for three years, then destroy.

Non-Record Copies

Courts, District Offices, and OCA Divisions/Offices when they are not the originating agencies

Retain until no longer needed, then destroy.

b) Routine Reports

Offices of Record

Originating Courts, District Offices, and OCA Divisions/Offices

Retain until updated, then destroy.

Non-Record Copies

Courts, District Offices, and OCA Divisions/Offices when they are not the originating agencies

Retain until no longer needed, then destroy.