

# **Records Retention and Disposition Schedule**



## **Records Management Records**

**Division of Profession 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 Records Management 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: August 21, 2000

A/O: 439/00

## **Records Retention and Disposition Schedule**

This schedule includes all records management 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."

## 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.

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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# Forms Management Records

Records managing the creation, design, and control of forms for the Unified Court System.

## **RM-1 Forms Creation Records**

Records documenting the creation and/or use of forms for the Unified Court System. Includes but is not limited to Forms List, Forms Management Subject Files, and Forms Master Copy.

### **a) Forms Lists**

Lists of forms created by a Court or OCA Office.

#### **Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

**Retain until updated, then destroy.**

#### **Non-Record Copies**

**Courts/Offices when they are not the Originating Agencies**

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

### **b) Forms Management Subject Files**

Records documenting creation, design, print, use, revision, and review of new forms. Documents include but are not limited to requests for new forms, memorandums, approvals, revisions, and other supporting materials.

#### **Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

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

#### **Non-Record Copies**

**None**

**RM-1      Forms Creation Records (continued)**

**c) Master Forms**

Master copy of forms for printing, distribution, and/or revisions.

**Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

**Retain until updated, then destroy.**

**Non-Record Copies**

**Court/Offices when they are not the Originating Agencies**

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

# Management Records

Records created to provide assistance in maintaining, administering, conserving, and/or preserving records of the Unified Court System.

## **RM-2      Records Management Manuals/Handbooks/Reports**

Manuals/handbooks/reports containing instructions related to records management operations.

### **a) General Instructions**

General instructions for records management operations. Includes but is not limited to computer (software or hardware) manuals, microfilm equipment handbooks, records center manuals, and office file location lists.

#### **Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

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

#### **Non-Record Copy**

**None**

### **b) Policies, Procedures and Standards**

Policies, procedures, and standards related to records management. Includes but is not limited to Records Management Guidelines, Records Management Procedures Manuals.

#### **Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

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

#### **Non-Record Copies**

**Courts, District Offices, and OCA Divisions/Offices when they are not the Originating Agencies**

**Retain until updated, then destroy.**

## **RM-2      Records Management Manuals/Handbooks/Reports (continued)**

### **c) Reports**

Reports documenting specific records management activities. Includes but is not limited to archival collection descriptions and Records Purge Reports.

#### **Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

**Retain permanently for research purposes.**

#### **Non-Record Copies**

**Courts/Offices when they are not the Originating Agencies**

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

## **RM-3      Records Disaster Prevention and Recovery Plans**

Procedures for protecting, salvaging, and recovering records. Includes but is not limited to Records Disaster Recovery Plans and other supporting materials.

*Note: A copy of the plan should be stored in a secure off-site area.*

#### **Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

**Retain three years and three months after superseded or obsolete, then destroy.**

#### **Non-Record Copies**

**Courts/Offices when they are not the Originating Agencies**

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

## **RM-4      Records Inventories**

Detailed list describing records holdings. Includes but is not limited to record series titles, contents/description, location of records, volumes, inclusive dates, and any other attributes of the records.

#### **Offices of Record**

**Originating Courts, and District Offices, and OCA Divisions/Offices**

**Retain until updated, then destroy.**

#### **Non-Record Copies**

**Courts/Offices when they are not the Originating Agencies**

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

# Micrographic Records

Records documenting microfilm processes and/or maintenance of microfilm.

## **RM-5      Microfilm Quality Control Records**

Records documenting the operational processes for managing microfilm. Includes but is not limited to Microfilm Certificates of Authenticity, Microfilm Control Sheets, Microfilm Methylene Blue Test Reports, and Microfilm Records' Index.

### **a) Microfilm Certificates of Authenticity**

Records used to certify that microfilmed images are complete and accurate.

#### **Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

**Retain for the same length of time as the microfilm, then destroy.**

#### **Non-Record Copies**

**Microfilm Laboratories**

**Retention to be determined by microfilm laboratory.**

### **b) Microfilm Control Sheets**

List of records that were microfilmed/re-filmed. Information includes but is not limited to dates microfilmed, roll/fiche numbers, and document types.

#### **Offices of Record**

**Courts, District Offices and OCA Divisions/Offices**

**Retain for the same length of time as microfilm, then destroy.**

#### **Non-Record Copies**

**Microfilm Laboratories**

**Retention to be determined by microfilm laboratory**

## **RM-5      Microfilm Quality Control Records (continued)**

### **c) Microfilm Methylene Blue Test Reports (also known as Certificates of Findings or Residual Thiosulphate Test Certificates)**

Quality control test results on the residual thiosulphate values of microfilm samples

#### **c.1) Qualifying Reports**

Reports on film that meet the ANSI standards identified in Records Management Micrographics Guideline #3.

##### **Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

Retain for the same length of time as microfilm, then destroy.

##### **Non-Record Copies**

**OCA Division of Court Operations – Office of Records Management**

Retain for one year after lapse of contract, then destroy.

##### **Microfilm Laboratories**

Retention to be determined by microfilm laboratory.

#### **c.2) Disqualifying Reports**

Reports on film that do not meet ANSI standards identified in Records Management Micrographics Guideline #3.

##### **Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

Retain until microfilm is retested and Qualifying Reports are received, then destroy.

##### **Non-Record Copies**

**OCA Division of Court Operations – Office of Records Management**

Retain for one year after lapse of contract, then destroy.

##### **Microfilm Laboratories**

Retention to be determined by microfilm laboratory.

**RM-5      Microfilm Quality Control Records (continued)**

**d) Microfilm Records' Index**

Log indexing micrographic documents on each microfilm roll/fiche.  
Information includes but is not limited to type of records, microfilm roll/frame/fiche numbers, span of years, and range of index numbers.

**Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**  
**Retain for the same length of time as microfilm, then destroy.**

**Non-Record Copies**

**Courts/Offices when they are not the Originating Agencies**  
**Retain until no longer needed, then destroy.**

**Microfilm Laboratories**

**Retention to be determined by microfilm laboratory.**

# Photographic Records

Photographs and supporting documents created to record activities of the Unified Court System.

**RM-6      Photographic Collections**

Photographs documenting activities of the Unified Court System. Includes but is not limited to photographic prints and negatives, indexes, and descriptions of photographs/records.

**Offices of Record**

**Originating Courts, District Offices, and OCA Divisions/Offices**

**Retain permanently for research purposes**

**Non-Record Copy**

**None**

# Records Center Records

Records used for the management of records stored at a records center.

## **RM-7      Records Center Transactional Records**

Records documenting transactions and activities between the Unified Court System and a records center.

### **a) Records Center Authorization Forms**

Forms listing UCS personnel authorized to send and/or retrieve records from a records center. May include a copy of employees' signatures and passwords.

**Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

**Retain until updated then destroy.**

**UCS Records Centers**

**Retain until updated, then destroy.**

**Non-Record Copies**

**Non-UCS Records Centers**

**Retention to be determined by Records Centers.**

### **b) Records Center Receipts**

Documents confirming the receipt of records/boxes to or from a records center.

**Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

**Retain until transaction is verified, then destroy.**

**UCS Records Centers**

**Retain Receipts until information is posted to Records Center Holdings List, then destroy.**

**Non-Record Copies**

**Non-UCS Records Centers**

**Retention to be determined by Records Centers.**

## **RM-7      Records Center Transactional Records (continued)**

### **c) Records Center Retrieval and Refile Forms**

Forms listing records being retrieved from and/or returned to a records center.

#### **Offices of Record**

##### **Courts, District Offices, and OCA Divisions/Offices**

Retain until Records Center confirms receipt of returned records or until Records Center is notified that records will not be returned, then destroy.

##### **UCS Records Centers**

Retain until transactions are posted to Records Center Holdings List, then destroy.

#### **Non-Record Copies**

##### **Non UCS Records Centers**

Retention to be determined by Records Centers.

### **d) Records Center Transfer Forms**

Forms documenting the transfer of storage boxes to a records center.

#### **Offices of Record**

##### **Courts, District Offices, and OCA Divisions/Offices**

Retain Transfer Forms until updated Records Center Holdings List is received from the Records Center, then destroy.

##### **UCS Records Centers**

Retain Transfer Forms until Records Center Holdings List is updated, then destroy.

#### **Non-Record Copies**

##### **Non-UCS Records Centers**

Retention to be determined by Records Centers.

**RM-8      Records Center Holdings Lists**

Complete list of records and transactions histories. Includes records transfers, retrievals, refiles, and destructions.

**Office of Record**

**Courts, District Offices, and OCA Divisions/Offices**

**Retain permanently.**

**UCS Records Centers**

**Retain permanently.**

**Non-Record Copies**

**Non-UCS Records Centers**

**Retention to be determined by Records Centers.**

**RM-9      Records Center Reports**

Reports documenting activities of a records center. Includes but is not limited to Containers/Boxes Activities Reports, Containers/Boxes Eligible for Destruction Reports, Records Center Statistical Reports, Requested Containers/Boxes Location Reports, Search for Boxes/File Folders Reports, and Transactional Statistical Reports.

**a) Users of UCS Record Centers**

**Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

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

**UCS Records Centers**

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

**b) Users of Non-UCS Record Centers**

**Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

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

**Non-Record Copies**

**Non-UCS Records Centers**

**Retention to be determined by Records Centers.**

# Records Disposition Records

Records documenting the final disposition and/or disposal of records.

## **RM-10      Records Disposition Request Forms**

Forms submitted by Courts and OCA Divisions/Offices requesting authorization to destroy records.

### **Offices of Record**

**OCA Division of Court Operations – Office of Records Management**

**Retain permanently for research purposes.**

**Originating Courts, District Offices, and OCA Divisions/Offices**

**Retain permanently.**

### **Non-Record Copies**

**Courts/Offices when they are not the Originating Agencies**

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

## **RM-11      Certificates of Destruction of Pre-Numbered Blank Forms (also known as Records Destruction Witness Affidavit Form)**

Affidavit certifying the destruction of pre-numbered blank forms, e.g., docket sheets, banking records, and receipts.

*Note that the retention period for fiscal records commences on the last day of the state fiscal year, March 31.*

### **Offices of Record**

**Courts, District Offices, and OCA Divisions/Offices**

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

**OCA Division of Court Operations – Office of Records Management**

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

### **Non Record Copy**

**None**

**RM-12      Records Retention and Disposition Schedules**

Schedules providing retention and disposition requirements for records of the Unified Court System.

**Office of Record**

**OCA Division of Court Operations – Office of Records Management**

**Retain one 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.**

# Records Management Contract Records

Records documenting the activities for purchasing records management goods and services for the Unified Court System.

## **RM-13    Records Management Contract Records**

Files containing materials related to the purchase of records management goods and services which require a contract.

*Note that the retention period for fiscal records commences on the last day of the state fiscal year, March 31.*

### **a) Contracts**

Documents created for purchasing goods and services for the Unified Court System. Includes but is not limited to Bid Proposals, Contracts, Leases, Specifications, and other supporting documentation.

#### **Offices of Record**

**County Clerks Outside NYC; Town and Village Courts; and Office of Court Administration, Office of Administrative Services, Contract and Procurement Unit**

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

#### **Non-Record Copies**

**All other Court District Offices, and OCA Divisions/Offices**

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

#### **Vendors**

Retention to be determined by vendors.

## **RM-13      Records Management Contract Records (continued)**

### **b) Payment Records**

Records created to document, verify, balance, and reconcile accounts payable transactions for the purchase of records management goods and services rendered to the Unified Court System. Includes but is not limited to Merchandise Receipts, Packing Slips, Purchase Orders, Purchase Order Logs, Receipts for Repairs, Service/Repair Reports, and Vendor Invoices.

*Note that the retention period for fiscal records commences on the last day of the state fiscal year, March 31.*

#### **Offices of Record**

**County Clerks outside NYC, Town and Village Courts, and all 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 3 to 10, NYC Budget Office, and OCA Accounts Unit**

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

#### **Non-Record Copies**

**All Other Courts and Agencies**

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

#### **Vendors**

**Retention to be determined by vendors.**