

Records Retention and Disposition Schedule



Security 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 Security 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 7, 1999

A/O: 292/99

Records Retention and Disposition Schedule

This schedule includes all security 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

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.

Table of Contents

Court Contraband Records	6
Court Officers' Schedules (also known as Court Officers' Assignments)	7
Court Officers' Shield Records	7
Evacuation Procedure Files.....	7
Facility Access Records	8
Firearms Ownership Records	8
Firearms Safekeeping Logs	8
Identification Card Records	9
Incident Reports (Aided Reports [UF-100] and Unusual Occurrence Reports [UF-101])	10
Infectious Disease Case Reports (UF-136)	10
Judicial Threat File	11
Juvenile Detention Cell Logbooks	11
Magnetometer Calibration Records	11
Monthly Court Officer Attendance Sheets (also known as Monthly Recap of Attendance)	12
Parking Request Forms.....	12
Personal Property Receipts	13
Security Contract Records	13
Training Academy Class Records.....	14
Two-Way Radio Logs	14
Visitors' Logbooks (also known as Building Admittance Books or Guest Books).....	14
Voluntary Surrender Forms (also known as Illegal Possessions Voluntary Surrender Forms).....	15

Security Records

Records created in support of security related activities at Unified Court System facilities.

SC-1 Court Contraband Records

Records documenting confiscation of contraband at court sites. Information includes but is not limited to individual's name, items confiscated, location, number of arrests made, and summonses issued, vouchered, and returned contraband, and related statistical reports.

a) Monthly Contraband Reports

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain for five years, then destroy.

Non-Record Copies

Courts

Retain until no longer needed, then destroy.

b) Other Contraband Records

Offices of Record

Courts

Retain until no longer needed, then destroy.

Non-Record Copies

None

- SC-2** **Court Officers' Schedules (also known as Court Officers' Assignments)**
Schedules of Court Officers' assignments by term. Information includes but is not limited to address of facility, room number, weekly assignments, names of judge/hearing examiners, term, part, names of court officers, and names and signatures of the commanding officers.
- Offices of Record**
Courts
Retain for three years, then destroy.
- Non-Record Copies**
None
- SC-3** **Court Officers' Shield Records**
Files containing requests for and receipt of shields by Court Officers in the First and Second Judicial Departments. Records include but are not limited to Shield Receipt Cards and supporting documentation.
- Offices of Record**
Office of Court Administration, Department of Public Safety, Office of Court Security Services
Retain permanently.
- Non-Record Copies**
Courts
Retain until no longer needed, then destroy.
- SC-4** **Evacuation Procedure Files**
Records describing evacuation procedures for Unified Court System facilities.
- Offices of Record**
Originating Courts, District Offices, and Office of Court Administration Divisions
Retain for three years and three months after updated, then destroy.
- Non-Record Copies**
Office of Court Administration, Department of Public Safety, Office of Court Security Services
Retain until no longer needed, then destroy.
- Other than Originating Courts/Offices**
Retain until no longer needed, then destroy.

SC-5**Facility Access Records**

Documents created to manage the distribution and return of keys issued to Unified Court System personnel for use in Unified Court System facilities.

Offices of Record

Originating Courts, District Offices, and Office of Court Administration Divisions

Retain until employee leaves position, then destroy.

Non-Record Copies

Other than Originating Courts/Offices

Retain until no longer needed, then destroy.

SC-6**Firearms Ownership Records**

Records created to track firearms owned by Unified Court System Peace Officers. Information includes but is not limited to Acquisition or Disposition of Firearms by Police Officers and Peace Officers (C Personal Data Forms and PPB-1s) and Weapons Information Forms.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain permanently.

Non-Record Copies

Courts

Retain until no longer needed, then destroy.

New York State Police Pistol Permit Unit

Retention to be determined by New York State Police Pistol Permit Unit.

SC-7**Firearms Safekeeping Logs**

Logs listing weapons held for safekeeping by security personnel. Information includes but is not limited to officer's name, weapon's serial number, time and date in/out, and supervisor's initials.

Offices of Record

Courts

Retain for one year, then destroy.

Non-Record Copies

None

SC-8 Identification Card Records

Records created for managing ID Cards issued by the Unified Court System.

a) Employee Records

Records created to track ID cards issued to Unified Court System personnel. Records include Employee ID Cards and all supporting documentation.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain for six months after ID Card becomes invalid or after employee leaves service, then destroy.

Non-Record Copies

Unified Court System Employees

Return ID Card to Office of Court Administration Division of Human Resources Personnel Unit upon expiration or departure from service.

Office of Court Administration, Division of Human Resources, Personnel Unit and District Offices

After processing, forward ID Card to Office of Court Administration Department of Public Safety Office of Court Security.

b) Non-Employee Records

Records created to track ID Cards issued to attorneys, students, interns, and other eligible parties. Records include ID Cards and all supporting documentation.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain until ID Card expires or becomes invalid, then destroy.

Non-Record Copies

Courts, District Offices, and Office of Court Administration Divisions

Retain until no longer needed, then destroy.

SC-9 Incident Reports (Aided Reports [UF-100] and Unusual Occurrence Reports [UF-101])

Reports containing detailed accounts of Aided or Unusual Occurrences, either involving Unified Court System personnel and/or taking place on Unified Court System premises. Information includes but is not limited to date of occurrence, time, name of persons involved, and events.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain for ten years, then destroy, except for records from years ending in “0” (zero), which are to be retained permanently as a research sample.

Non-Record Copies

Courts and District Offices

Retain for six months or until no longer needed, whichever is later, then destroy.

SC-10 Infectious Disease Case Reports (UF-136)

Reports created to track individuals with contagious diseases entering court facilities. Information includes but is not limited to individual’s name, case name, court part, whether the person was in/out of custody, incident report number, name and rank of court officer preparing the report, remarks, name of the security coordinator receiving the report, and date.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain for three years and three months, then destroy.

Non-Record Copies

Courts and District Offices

Retain until no longer needed, then destroy.

SC-11 Judicial Threat File

File containing detailed description of threats directed toward judicial personnel. Documents may include but are not limited to Judicial Threat Summary forms (UF-150) and supporting information.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain permanently.

Non-Record Copies

Courts and District Offices

Retain until no longer needed, then destroy.

SC-12 Juvenile Detention Cell Logbooks

Logs identifying juveniles being transferred to and from a court facility. Information includes but is not limited to court name, dates of arrival, names of juveniles, and names of transferring agencies.

Offices of Record

Courts

Retain for one year, then destroy.

Non-Record Copies

None

SC-13 Magnetometer Calibration Records

Records identifying the sensitivity settings of a magnetometer. Information includes but is not limited to court, location, make/model, dates, settings, and name and signature of the person doing the calibration.

Offices of Record

Courts

Retain for one year, then destroy.

Non-Record Copies

District Offices and Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain until no longer needed, then destroy.

SC-14 Monthly Court Officer Attendance Sheets (also known as Monthly Recap of Attendance)

Monthly attendance sheets containing statistical staffing summaries for Court Officers in the First and Second Judicial Departments.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain for two years, then destroy.

Non-Record Copies

Courts

Retain until no longer needed, then destroy.

SC-15 Parking Request Forms

Requests submitted by Unified Court System employees to obtain permits for parking in reserved areas.

Offices of Record

Inside New York City: Office of Court Administration, Department of Public Safety, Fleet Services Unit

Retain for two years, then destroy.

Outside New York City: Local Law Enforcement Agency

Retention to be determined by the Local Law Enforcement Agency.

Non-Record Copies

None

SC-16 Peace Officers' Shield Identification Lists

List of shields issued to Peace Officers in the First and Second Judicial Departments. Information includes number and name of recipient.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain permanently.

Non-Record Copies

Courts

Retain until updated, then destroy.

SC-17 Personal Property Receipts

Receipts issued to owners for personal property not permitted in a court facility. Information includes but is not limited to court name, owner's name and signature at time of surrender and return of the item, description of property, gun permit number, date, time, and name of officer who received and returned property.

Offices of Record

Courts

Retain for two years, then destroy.

Non-Record Copies

None

SC-18 Security Contract Records

Files containing copies of contracts and supporting documentation related to hiring security personnel from private security companies. Documents may include but are not limited to applications for jobs, memorandums, amendments to contract, and Corrected Appendices to Security Contract (also known as C, C-1, D, D-1 Forms or Per Diem Employees Monthly Log).

Offices of Record

Office of Court Administration, Office of Administrative Services, Contract and Procurement Unit

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

Non-Record Copies

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain for two years, then destroy.

Courts, District Offices, and Office of Court Administration Divisions

Retain until no longer needed, then destroy.

SC-19 Training Academy Class Records

Files containing information that documents the Firearms Training/CPR/In Service training process for Unified Court System Peace Officers from the First and Second Judicial Departments. Information includes class dates, type of training, and exam scores.

Offices of Record

Office of Court Administration, Department of Public Safety, Office of Court Security Services

Retain for fifty years, then destroy.

Non-Record Copies

Courts

Retain until no longer needed, then destroy.

New York State Division of Criminal Justice Services (DCJS)

Retention to be determined by New York State Division of Criminal Justice Services (DCJS).

SC-20 Two-Way Radio Logs

Logs listing serial numbers of two-way radios issued to Court Officers.

Offices of Record

Courts

Retain for one year, then destroy.

Non-Record Copies

None

SC-21 Visitors' Logbooks (also known as Building Admittance Books or Guest Books)

Logs registering visitors entering and exiting Unified Court System facilities. Information may include but is not limited to visitor's name, visitor's organization or business, reason for visit, person, or unit to be visited, and dates and times of entry and exit.

Offices of Record

Courts

Retain for three years and three months, then destroy.

Non-Record Copies

None

SC-22 **Voluntary Surrender Forms (also known as Illegal Possessions Voluntary Surrender Forms)**

Forms documenting the voluntary surrender of illegal possessions by visitors entering a court facility. Information includes name, address, and signature of the individual; description of item; date; time; place; and officer's name and shield number.

Offices of Record

Courts

Retain for three years, then destroy.

Non-Record Copies

None