

Records Retention and Disposition Schedule



Criminal Records of the Supreme and County Courts

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

Revised April 2023

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

Case Files.....	7
Felony Case Files	7
Felony Screening Case Jackets	7
Local Criminal Court Dismissals.....	8
Special Proceedings Case Files (also known as Administration Orders).....	8
Youth Part Case Files	8
Transferred Case Files.....	8
Supplemental Case Records	9
Court Reporter Notes and All Other Recordings of the Court Not Listed as a Separate Records Series Title	9
Court Reporter Transcripts and Transcripts of All Other Recordings of the Court Not Listed as a Separate Records Series Title.....	9
Defendant Criminal History Sheets (“Rap Sheets”)	9
Exhibits.....	9
Grand Jury Minute Books	9
Indictment Transfer Orders	9
Indictments.....	9
Mental Health Evaluations	10
Orders	10
Orders of Protection: Temporary Orders of Protection	10
Order of Protection and Warrant Registry Information Sheet; Addendum to Information Sheet.....	10
Search and Seizure Orders	10
Search Warrants.....	11
Sex Offender Registration Forms	11
Stenographer’s Minutes	11
Subpoenaed Records.....	11
Superior Court Information	11
UCS Domestic Violence Registry Information Sheet (also known as Family Protection Registry Information Sheet, also known as Information Sheet); Addendum to Information Sheet.....	12
Case Management Records	13
Arraignment Books	13
Calendars.....	13
Capital Case Data Reports.....	13

Capital Case Status Reports	14
Caseload Activity Reports	14
County Clerk Criminal Case Papers Filing Books	14
County Clerk Criminal Case Papers Indexes	14
Criminal Disposition Reports.....	14
Criminal Surety Bonds	15
Defendant Record Cards	15
Exhibit Logbooks	15
Ex-Parte Logbooks	15
Grand Jury Indictment Lists	15
Indexes: Case Files.....	15
Indictments – No Bill	16
Local Criminal Court Dismissal Logbooks	16
Local Criminal Court Transfer Sheets.....	16
Log of Order Numbers	16
Mandatory Surcharge Waiver Forms.....	16
Minute Books.....	16
Motion Logbooks	16
Prisoner Recall Sheets	17
Receipt for Commitment Logbooks	17
Receipt of Warrants Logbooks	17
Record of Convictions.....	17
Record of Convictions Indexes	17
Record of Court Activity (including Docket Books, Docket Sheets, Record of Indictment Books, and any other record which serves as the principal record of case activities)	17
Scheduling Cards	18
Sealing Logbooks.....	18
Special Proceedings Logbook/Indexes.....	18
Jury System Records	19
Ballot Cards.....	19
Juror Attendance Books	19
Juror Management Attendance Reports.....	19
Juror Receipt Books.....	19

Juror Summons	19
Panel Sheets – Grand Jury (also known as Minutes of Jury Drawing, Grand Jury Time Books)	19
Panel Sheets – Trial (also known as Minutes of Jury Drawing, County Clerk Jurors Book).....	20
Records of Ancillary Court Activities	21
Grand Jury Special Reports	21
Prohibition Permit Registration Books	21
Wiretap Orders and Recordings	21
Predecessor Court Records.....	22
Bond Books.....	22
Case Files	22
Indexes	22
Indictments.....	22
Minute Books.....	22
Petition and Order Books	22
Recognizances.....	23

**New York State Unified Court System
Criminal Records of the Supreme and County Courts
Records Retention and Disposition Schedule**

The following retention periods apply to records created after the reorganization of the Supreme and County Courts in 1896. Retention requirements for records created before 1896 are contained in the section on records of Predecessor Courts, items 30590 through 30650 on the schedule.

All records dating prior to 1950 are to be retained permanently.

Exceptions to this and other sampling policies will be evaluated upon individual request.

Case Files

A case file contains all papers and documents relating to an action, including case papers forwarded from criminal courts of limited jurisdiction, Motions, Notices, Affidavits, Orders, including Orders of Protection, Fine and Surcharge Letters, Medical and Mental Health Reports, Probation Reports, Records on Appeal, Transcripts, Transcripts of Judgments, and Warrants. Note that some courts currently store some of the documents listed above separately from the case file. These documents have been distinguished as separate record series in the schedules but have the same retention requirements as the related case papers.

30010 Felony Case Files

Records of proceedings in felony cases initiated either by a grand jury indictment or Superior Court Information.

a) Disposed Cases

a.1) Pre-1950 Cases

Retain permanently for research purposes.

a.2) Post-1949 Cases with the Exception of Capital Cases Which Result in a Conviction

Retain for fifty years from date of disposition, then destroy, except for cases to be retained as a permanent research sample.

a.3) Capital Cases Which Result in a Conviction

Retain permanently for research purposes.

b) Cases Terminated in Favor of the Defendant

Retain for twenty-five years, then destroy.

c) Undisposed Cases

Retain for seventy-five years, then destroy, except for cases to be retained as a permanent research sample.

30020 Felony Screening Case Jackets

Empty annotated case jackets for cases that were heard by Felony Screening Units. All original case papers are either returned to the criminal court of limited jurisdiction or sent to superior court.

Jacket should accompany papers returned to criminal court of limited jurisdiction or sent to superior court.

30030 Local Criminal Court Dismissals

Case papers from criminal court of local jurisdiction for cases that were arraigned and dismissed.

Return to criminal court of local jurisdiction. Should not be retained by superior court.

30040 Special Proceedings Case Files (also known as Administration Orders)

Records of proceedings in criminal matters for which the court has neither an indictment nor Superior Court Information. These include but are not limited to Extraditions, Writs of Habeas Corpus, probation revocations, parole revocations, orders requiring appearance in a line-up, and orders for the return of stolen property.

a) Parole Revocations

Retain for fifty years, then destroy.

b) All Other Special Proceedings Case Files

Retain twenty-five years, then destroy.

30050 Youth Part Case Files

Records of proceedings in cases where the defendants were given youth status at the time of arraignment.

Retain permanently for research purposes.

30055 Transferred Case Files

Exact copies of files transferred to another court *for jurisdiction*.

Retain for one year, then destroy.

Supplemental Case Records

30060 Court Reporter Notes and All Other Recordings of the Court Not Listed as a Separate Records Series Title

Stenographic tapes, pads, audio tapes or machine-readable material that record the proceedings of the court.

Retain for fifty years, then destroy.

30070 Court Reporter Transcripts and Transcripts of All Other Recordings of the Court Not Listed as a Separate Records Series Title

Transcripts of Court Reporter Notes and transcripts of all other recordings of the court not listed as a separate record series title.

Considered part of the case file. File in case file. If maintained separately, retain for same length of time as case file.

30075 Defendant Criminal History Sheets (“Rap Sheets”)

Arrest and case disposition records of defendants.

Destroy immediately after disposition.

30080 Exhibits

Exhibits presented as evidence in a case.

Return to party who introduced it immediately after disposition unless otherwise directed by the court. If record not claimed retain for thirty days, then destroy provided express notice has been given.

30088 Grand Jury Minute Books

Books recording Grand Jury votes in indictment charges. Considered to be a court record *unless* the information is recorded by the prosecutor’s office.

Retain permanently for research purposes.

30090 Indictment Transfer Orders

Orders transferring indictments from Supreme Court to County Court.

Considered part of the case file. File in case file. If maintained separately, retain for same length of time as case file.

30100 Indictments

Original copy of indictments handed up by grand juries.

Considered part of the case file. File in case file. If maintained separately, retain for same length of time as case file.

- 30110 Mental Health Evaluations**
Mental health records relating to criminal proceedings. Includes but is not limited to mental health evaluations, orders for examination, and related medical records.
Considered part of the case file. File in case file. If maintained separately, retain for same length of time as case file.
- 30120 Orders**
Original orders, notices, judgments, and transcripts that were filed with the County Clerk.
Retain for fifty years, then destroy.
- 30125 Orders of Protection: Temporary Orders of Protection**
Court orders protecting individuals from harassment/violence.
Considered part of the case file. File in case file. Retain order and file for fifty years, then destroy, except for those cases to be retained permanently for research purposes.
- 30127 Order of Protection and Warrant Registry Information Sheet; Addendum to Information Sheet**
Form attached to Orders of Protection sent to the Order of Protection and Warrant Registry. Contains pedigree and case processing information.
Retain for twenty-five years, then destroy.
- 30130 Search and Seizure Orders**
Chronological logs of warrants issued for search and seizure of alcoholic products in violation of prohibition laws. Includes but is not limited to date of complaint, location, name of individual, verifying probable cause, owner of searched premises, and date of search.
Retain permanently for research purposes.

30140 Search Warrants

File of warrants authorizing a search. Includes the original copy of the warrant and a list of items found.

a) Search Warrants Associated with Cases

Considered part of the case file. File in case file. If maintained separately, retain for same length of time as case file.

b) Executed Search Warrants Without Associated Cases

Retain for five years, then destroy.

c) Non-Executed Search Warrants

Retain for one year from date of issuance, then destroy.

30145 Sex Offender Registration Forms

DCJS forms used to register sex offenders' addresses for the statewide Sex Offender Registry.

Considered part of the case file. File in case file. If maintained separately, retain for same length of time as case file.

30150 Stenographer's Minutes

Summaries of day's activities in courtroom, prepared from court reporter's notes. Information includes a brief outline of the day's courtroom activities. May also include extensive testimony and presentations by attorneys.

Retain permanently for research purposes.

30160 Subpoenaed Records

Records which have been subpoenaed from an outside agency, organization, or individual.

Return to party who introduced it immediately after disposition unless otherwise directed by the court. If record is not claimed, retain for thirty days, then destroy provided express notice has been given.

30170 Superior Court Information

Original copy of Superior Court. Information waivers of indictments that were filed when the defendant waived the right to a grand jury.

Considered part of the case file. File in case file. If maintained separately, retain for same length of time as case file.

30175 UCS Domestic Violence Registry Information Sheet (also known as Family Protection Registry Information Sheet, also known as Information Sheet); Addendum to Information Sheet

Form attached to Orders of Protection sent to UCS Domestic Violence Registry. Contains pedigree and case processing information.

Retain for one year, then destroy.

Case Management Records

30180 Arraignment Books

Chronological daily log of arraignments. Information includes but is not limited to defendant's name, judge, indictment number, charge, court clerk, date of arraignment, defendant date of birth, and actions taken during arraignment.

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

30190 Calendars

Daily schedules of cases to be heard before the court. Includes but is not limited to defendant's name, charge indictment number, judge, date, and disposition.

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

30194 Capital Case Data Reports

Reports describing detailed elements of disposed capital cases. Includes but is not limited to defendant's name, name of court and county, indictment number, name of sentencing judge, whether prior data report was submitted, dates of the offense/arrest/verdict or plea/sentence, whether indicted or convicted with a specific offense of Murder in the First Degree, case disposition, trial type (jury or bench), whether prosecutor served notice of intent to seek the death penalty, sentence imposed, whether defendant was found mentally handicapped upon sentence, whether sentence resulted from a separate sentencing proceeding, defendant's personal background (age, sex, religion, education, job, previous criminal convictions, etc.), victim's personal background, circumstances of crime (details of what transpired), names of defense counsel and prosecutors that were consulted or declined to comment, and signature of Chief Clerk/Deputy Chief Clerk of the Supreme and County Court with date.

Retain Supreme/County Court copy until information is entered into the Court of Appeals' Capital Case Database and quality control is completed, then destroy.

30196 Capital Case Status Reports

Reports describing the status of pending capital cases. Includes but is not limited to defendant's name, case number, judge's title and name, charges, indictment date, arraignment date, date intent due, date of intent, disposition dates, trial comments, top conviction charge, sentence date and description, Capital Case Data Report dates due, comments and amendments received, general comments of the clerk, and county of trial.

File original with the Capital Case Coordinator.

Retain Supreme/County Court copy until information is entered into the Court of Appeals' Capital Case Database and quality control is completed, then destroy.

30200 Caseload Activity Reports

Court copies of caseload activity reports (UCS-153, UCS-157, UCS-ET1) that are filed with the Office of Court Administration.

File original with the Office of Court Administration.

Retain court copy for one year, then destroy.

30210 County Clerk Criminal Case Papers Filing Books

Logbooks listing all papers filed in a case, including but not limited to indictments, orders, motions, notices, and transcripts. Logs the type of paper and date of filing for each case.

Retain permanently for research purposes.

30220 County Clerk Criminal Case Papers Indexes

Alphabetical or numerical indexes which provide information on access to criminal papers filed with the county clerk. Includes indictment number, county clerk civil action number, defendant's name, date of indictment, and reference to Minute Book or Criminal Papers Filing Book.

Retain permanently.

30230 Criminal Disposition Reports

Court copies of OCA-540A, OCA-540B and OCA-540C that are filed with the Office of Court Administration for transmission to the State Division of Criminal Justice Services for the maintenance of defendant criminal histories.

File original with the Office of Court Administration.

Retain court copy for one year, then destroy.

30240 Criminal Surety Bonds

Notices of liens filed with the county clerk on property used as collateral for bail. Includes but is not limited to defendant's name, property description, and affirmation by district attorney. May also include a certificate of discharge of surety bond lien.

Retain for six years from date of discharge, then destroy.

30250 Defendant Record Cards

Alphabetical files containing the defendant indictment history in the court. Includes but is not limited to defendant name, judge, charge, disposition, appearance history, dates, indictment number, pleas, bail, age, date of birth, and counsel name.

Retain permanently for research purposes.

30260 Exhibit Logbooks

Chronological logs used to control the processing of exhibits. Includes but is not limited to type of order, judge, defendant name, indictment number, and date issued.

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

30270 Ex-Parte Logbooks

Chronological logs of orders signed by the court. Includes but is not limited to type of order, judge, defendant name, indictment number, and date issued.

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

30280 Grand Jury Indictment Lists

Listings of indictments handed up by the grand jury. Includes defendant name and charge. May also include signature of judge, district attorney, name of grand jury foreman, and court reporter.

Retain all pre-1951 lists permanently for research purposes. Retain post-1950 lists for five years from date of indictment, then destroy.

30290 Indexes: Case Files

Alphabetical or numeric indexes providing information on access to superior court criminal case papers. Includes defendant name and indictment number. May also include charge, date of arraignment, date of conviction, disposition, date of order of mental health examination, and county clerk file number.

Retain permanently.

- 30300 Indictments – No Bill**
List of indictments or copies of indictments which were requested by the district attorney that the grand jury did not find.
Retain permanently for research purposes.
- 30310 Local Criminal Court Dismissal Logbooks**
Chronological logs recording the transfer of dismissed felony arraignment papers from the criminal court of local jurisdiction to superior court.
Destroy immediately.
- 30320 Local Criminal Court Transfer Sheets**
Transfer forms recording the transfer of felony arraignment records to superior court. Includes but is not limited to defendant name, docket number, grand jury, date, indictment number, and remarks.
Retain for one year or until no longer needed, whichever is sooner, then destroy.
- 30323 Log of Order Numbers**
Form listing order numbers for Family Offense Orders of Protection sent to the Order of Protection and Warrant Registry.
Retain for one year, then destroy.
- 30325 Mandatory Surcharge Waiver Forms**
Forms created to capture information on imposition or waiver of surcharge.
Retain one copy for six years, then destroy. Destroy all other copies immediately.
- 30330 Minute Books**
Chronological records of court proceedings maintained by part clerks. Includes but is not limited to date, defendant name, charges, judge name, disposition, witness names, and juror names.
Retain permanently for research purposes.
- 30340 Motion Logbooks**
Chronological logs of motions filed with the court. Includes but is not limited to type of motion, decision, hearing date, part, and date signed.
Retain for one year or until no longer needed, whichever is sooner, then destroy.

30350 Prisoner Recall Sheets

Court copies of lists containing the names of prisoners to be returned from the custody of the sheriff for court appearances.

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

30360 Receipt for Commitment Logbooks

Chronological logs of orders of commitment used to track the receipt of such orders by sheriff. Includes but is not limited to defendant's name, date of indictment, indictment number, and name of sheriff receiving the orders.

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

30370 Receipt of Warrants Logbooks

Chronological logs of warrants issued after an indictment has been handed up. Used to track warrants received by law enforcement officials. Includes but is not limited to defendant name, date warrant issued, and signature of law enforcement official receiving the warrant.

Retain until all warrants are executed or vacated, then destroy.

30380 Record of Convictions

Certificates of conviction filed with the county clerk. Includes but is not limited to defendant name, charge, judge, date of conviction, county, and docket number.

Retain permanently for research purposes.

30390 Record of Convictions Indexes

Registry logs maintained by the county clerk; serves as an index to the record of convictions.

Retain permanently for research purposes.

30400 Record of Court Activity (including Docket Books, Docket Sheets, Record of Indictment Books, and any other record which serves as the principal record of case activities)

Manual or machine-readable material containing a summary of actions in a case. Includes but is not limited to defendant name, disposition, arraignment dates, charge, judge, adjournment dates, court reporter, and attorneys.

Retain permanently for research purposes.

30410 Scheduling Cards

Cards used to schedule cases. Includes but is not limited to defendant name and adjournment date.

Retain until case has been disposed, then destroy.

30420 Sealing Logbooks

Chronological logs used to record sealing orders. Includes but is not limited to date of order, judge, defendant name, indictment number, and reason for issuing the order.

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

30430 Special Proceedings Logbook/Indexes

Chronological logs recording the filing of special proceedings cases.

Provides information on access to special proceedings case files.

Information includes but is not limited to type of proceeding, petitioner name, proceeding number, and disposition.

Retain for the same length of time as Special Proceedings Case Files.

Jury System Records

30440 Ballot Cards

Juror identification cards used to select jurors for voir dire panels.

Retain until end of term, then destroy.

30450 Juror Attendance Books

Record of juror attendance. Includes juror name, residence, and mileage.

Retain for six years, then destroy.

30460 Juror Management Attendance Reports

Computer generated record of juror attendance for the term. Includes name, address, index number, and number of days served.

Retain for six years, then destroy.

30470 Juror Receipt Books

Court copies of stubs of the receipts issued to jurors. Includes but is not limited to name, mileage, attendance, date of payment, and amount.

Retain for six years, then destroy.

30480 Juror Summons

Documents used to notify jurors they have been summoned to serve.

a) If Used to Note Attendance

Retain for six years, then destroy.

b) If Not Used to Note Attendance

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

30490 Panel Sheets – Grand Jury (also known as Minutes of Jury Drawing, Grand Jury Time Books)

Manually drawn lists of all jurors who have been summoned to a particular pool. Includes but is not limited to juror name, address, occupation, attendance, and those excused.

Retain permanently for research purposes.

30500 Panel Sheets – Trial (also known as Minutes of Jury Drawing, County Clerk Jurors Book)

Manually drawn lists of all jurors who have been summoned to a particular pool. Includes but is not limited to juror name, address, attendance, ward/town, and those excused.

Retain permanently for research purposes.

Records of Ancillary Court Activities

Records which document functions of the court that are not related to the prosecution of the court's criminal proceedings. These functions are mandated by statute.

30560 Grand Jury Special Reports

Reports on special investigations conducted by grand juries.
Retain permanently for research purposes.

30570 Prohibition Permit Registration Books

Chronological log of permits issued to manufacture, prescribe, compound, or sell alcoholic products. Includes but is not limited to individual or establishment registering the permit, address, file number, serial number, dates, type of permit, and revocation of the permit.
Retain permanently for research purposes.

30580 Wiretap Orders and Recordings

Sealed order signed by a judge authorizing the use of a wiretap. Includes applications, supporting documents, and when ordered by the court, audio recordings.

a) Audio Recordings

Retain for ten years, then destroy, upon court order.

b) All Other Materials

Retain permanently for research purposes.

Predecessor Court Records

The following list identifies the records and recommended retention periods for courts which exercised jurisdiction over felony matters prior to the reorganization of the Supreme and County Courts in 1896. These include the following courts: Court of Oyer and Terminer and General Jail Delivery, Court of General Sessions of the Peace, Court of Sessions, Mayors Court of Albany, Superior Court of Buffalo, Recorder's Court of Utica, Recorder's Court of Oswego, City Court of Brooklyn.

30590 Bond Books

Records of bond books posted before predecessor courts. Includes defendant name, court, date, charge, surety bail, date of appearance, and notes of forfeitures.

Retain permanently for research purposes.

30600 Case Files

Criminal case papers or special proceedings case papers from any predecessor court. Includes petitions, warrants, affidavits, notices of appeal, and transcripts.

Retain permanently for research purposes.

30610 Indexes

Alphabetical or numerical indexes providing information on access to case records of predecessor courts.

Retain permanently for research purposes.

30620 Indictments

Original copies of indictments filed with the county clerk by predecessor courts.

Retain permanently for research purposes.

30630 Minute Books

Chronological record of proceedings maintained by court clerks in any predecessor courts. Includes defendant name, date, charge, clerk, judge, and disposition. May also include names of grand and petit jurors, names of witnesses, and municipality in which proceedings were held.

Retain permanently for research purposes.

30640 Petition and Order Books

Books of petitions and orders filed in predecessor courts.

Retain permanently for research purposes.

30650 Recognizances

Record of bail agreement by defendants or witnesses to appear in court. Includes defendant names, witness names, amounts posted, charge, and defendant occupations.

Retain permanently for research purposes.