

Records Retention and Disposition Schedule



Division of Professional and Court Services Office of Legal Information and Office of Records Management

**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 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

General Records.....	5
“Libraries & Records Management” Newsletter.....	5
Manuals/Handbooks/Reports	6
Legal Information Records.....	7
Allocation Survey Forms	7
Appellate Division Records and Briefs Index.....	7
Book Publishers File	7
Chief Law Librarian Advisory Committee File	7
Core Collection File.....	7
Education and Training Seminars File.....	7
Expenditure Tracking File.....	8
Field Visits File	8
Law Libraries Trustees File	8
Legal Reference Surplus File	8
New York State Reporter File.....	8
Operations Survey Files.....	9
Operations Survey Questionnaire	9
Reference Log	9
Reference Service Charges File	9
Serial/Subscription Price List	9
Staffing Development File.....	9
Records Management Records	10
Assignment Report Forms.....	10
Certificates of Findings File	10
Contract Files	10
Court/OCA Photographic File.....	10
Court/OCA Photographic File Index.....	11
Court Records Inventories Data Collection Forms File	11
Destruction Authorization: Appellate Division Records and Briefs.....	11
Employee Identification Cards File	11
Employee Identification List	11
Employee Identification Statistical Reports	11

Historical Development Files for The Unified Court System 12

Hygrothermograph Charts 12

Judicial Archives and Records Management System (JARMS) Data File 12

Maintenance and Supply Contract Files 12

Methylene Blue Test Results Log 12

Microfilm Equipment Production Reports 12

Microfilm Retrieval Forms: Court Reporter Tapes 13

Microfilm Utilization Forms 13

Pre-Schedule Mail Inventories File 13

Processed Microfilm File 13

Processor Charts 13

Quality Control Forms 13

Records Appraisal Files 14

Records Disposition Request Forms: Courts/Office of Court Administration 14

Records Disposition Request Log: Court/Office of Court Administration 14

Records Retention and Disposition Schedules 14

Security Forms 15

Sensitometry Control Forms 15

Specifications File 15

Division of Court Operations Office of Legal Information and Office of Records Management General Records

RML-010 **“Libraries & Records Management” Newsletter**

Newsletters developed and distributed by the Office of Reference Services for the Unified Court System. Newsletters contain articles on current records management and law libraries developments and issues.

Retain permanently for research purposes.

RML-020 Manuals/Handbooks/Reports

a) Policies and Standards

Manuals/handbooks containing policy, procedures, and standards related to records management, law libraries and microfilming that are developed and distributed by the Office of Legal Information and Office of Records Management to court/OCA personnel. May include but are not limited to Records Management Disaster Recovery Handbook, Records Management Guidelines, OCA Records Center Manual, and Law Libraries Handbook.

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

Reports related to records management, law libraries, and microfilming that are developed and distributed by the Office of Reference Services (ORS) to court personnel and/or the public. May include but are not limited to Final Report of The New York State Judicial Records Disposition Committee, Semi-Annual Reports of the New York State Judicial Records Disposition and Archives Development Project, and Judicial Records Disposition and Archives Development Project—Proposed Court Records Retention & Disposition Schedules.

Retain permanently for research purposes.

c) General Instructions

Manuals/handbooks containing general instructions on operating computers or equipment of the Office of Reference Services and distributed to office personnel. May include but are not limited to Records Management Office's Network General Instructions Manual, Microfilm Instructions Manual, and JARMS General Instructions Manual.

Retain until no longer needed, then destroy.

Division of Court Operations

Office of Legal Information and Office of Records Management

Legal Information Records

LI-010 **Allocation Survey Forms**

Forms developed to collect demographic information on law libraries. Information includes library district, county population, number of attorneys registered, number of judges, library allocations (legal reference material or non-personal services), and library deficiency.

Retain until updated, then destroy.

LI-020 **Appellate Division Records and Briefs Index**

Index to Appellate Division Records and Briefs. Index includes citations, plaintiff's name, defendant's name, and fiche identification number.

Retain permanently for research purposes.

LI-030 **Book Publishers File**

File containing information and lists of publishers' titles and prices.

Retain until updated, then destroy.

LI-040 **Chief Law Librarian Advisory Committee File**

File containing information regarding policies, guidelines, and concerns for Court Law Library operations. File contains correspondence, agenda of meetings, minutes of meetings, and memorandums.

Retain permanently for research purposes.

LI-050 **Core Collection File**

File containing complete lists of holdings within Court Law Libraries.

Retain permanently for research purposes.

LI-060 **Education and Training Seminars File**

File maintained on education and training seminars provided annually for Court Law Librarians. Information may include name of speaker and the topic of the seminar, planning committee notes, correspondence, memoranda, presentation handouts, invitations, and directions to the seminars.

Retain for five years, then destroy.

- LI-070 Expenditure Tracking File**
File on expenditures accrued monthly by Court Law Libraries. File includes costs of legal reference material purchased monthly from vendors, shipping dates, and copies of Unified Court System expenditure reports.
Retain for three years, then destroy.
- LI-080 Field Visits File**
File containing notes of site visits by Chief Law Librarian to various libraries. File includes but is not limited to assessment of shelving, condition of books, accessibility of material, and type of equipment utilized.
Retain for ten years, then destroy.
- LI-090 Law Libraries Trustees File**
File containing information on the appointment of Trustees for the Law Libraries. File contains copies of correspondence, background information on the appointees, and memorandums.
Retain for six years, then destroy.
- LI-100 Legal Reference Surplus File**
File of surplus legal reference material that is no longer needed by the Unified Court System. File may include quarterly list of surplus material, papers submitted from Law Libraries on their surplus material, memoranda, and related correspondence.
- a) Quarterly List of Surplus Material.**
Retain permanently for research purposes.
- b) Papers Submitted from Law Libraries and Other Offices of the Unified Court System on Surplus Material, Memoranda, and Other Related Correspondence**
Retain papers and other related material for one year or after quarterly list has been issued, whichever is sooner, then destroy.
- LI-110 New York State Reporter File**
File containing articles and correspondence sent to the New York State Reporter.
Retain for five years, then destroy.

LI-120 Operations Survey Files

Files containing information used to assess law libraries workloads and for developing staffing guidelines. Files consist of databases or spreadsheets, reports, memoranda, handwritten notes, and copies of Operations Survey Questionnaires.

a) Databases or Spreadsheets and Reports.

Retain permanently for research purposes.

b) Memoranda, Notes, and Copies of Operations Survey Questionnaires.

Retain for four years, then destroy.

LI-130 Operations Survey Questionnaire

Questionnaire used to determine staffing requirements for Law Libraries. Questionnaire includes demographics, databases used, number of titles and collections, types of titles (e.g., microfilm, serials, non-print), and workload factors.

Retain permanently for research purposes.

LI-140 Reference Log

Log of patron requests for information for and about court/OCA records. Logs includes date of request, question, response, court or OCA department, and patron's name and address.

Retain for six years, then destroy.

LI-150 Reference Service Charges File

File containing charges paid by Law Libraries for the use of outside on-line reference services, for example Westlaw or Dialog.

Retain for three years, then destroy.

LI-160 Serial/Subscription Price List

List containing publishers' titles of serials/subscriptions and prices for Law Libraries.

Retain for three years, then destroy.

LI-170 Staffing Development File

File containing analytical and background information on the development of Law Libraries.

Retain permanently for research purposes.

Division of Court Operations

Office of Legal Information and Office of Records Management

Records Management Records

ORM-010 Assignment Report Forms

Forms used for monitoring microfilm unit's production. Forms list the daily assignments for each staff member. Information may include date, name of person filming, document filmed, number of fiches duplicated, fiche identification number, number of fiches collated, work assignments, and outside lab activities.

Retain for two years, then destroy.

ORM-020 Certificates of Findings File

File containing certificates prepared by outside vendors indicating the results of quality control testing performed on processed microfilm. Certificate indicates type of test conducted (methylene blue or silver densitometric) and the amount of residual thiosulfate or measured equivalent. Certificates also provide identification information such as document microfilmed, series name, roll number, date processed, date certified, and signature of person certifying results of findings.

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

ORM-030 Contract Files

Files containing copies of contracts with microfilm vendors for microfilming Appellate Division Records and Briefs. Files may include background, job specifications, and correspondence.

Retain for six years after lapse of contract, then destroy.

ORM-040 Court/OCA Photographic File

File containing photographic negatives of special Court/OCA events and personnel.

Retain permanently for research purposes.

ORM-050 Court/OCA Photographic File Index

Index to photographic negatives of special Court/OCA events and personnel. Index includes names of people captured on negatives and dates of events.

Retain permanently for research purposes.

ORM-060 Court Records Inventories Data Collection Forms File

File containing data collection inventory forms prepared by the courts. Information includes name of record series, years, format, volume, condition of records, condition of storage area, and location of records.

Retain until information is entered into Judicial Archives and Records Management System (JARMS) Data File and quality control has been conducted, then destroy.

ORM-070 Destruction Authorization: Appellate Division Records and Briefs

Destruction order from the Appellate Division authorizing the destruction of the Records and Briefs hard copy after microfilming.

Retain permanently for research purposes.

ORM-080 Employee Identification Cards File

File containing identification cards issued to New York State Unified Court System employees. Consists of identification cards and data cards which include employee's name, title, social security number, employee's signature, and the Chief Administrative Judge's signature.

Retain pending the development and approval of policy.

ORM-090 Employee Identification List

Lists sent from courts/offices authorizing the issuance of Employee Identification Cards for Unified Court System employees. List contains names of employees and respective titles.

Retain until Employee Identification Cards have been issued, then destroy.

ORM-100 Employee Identification Statistical Reports

Biweekly statistical report documenting the amount of time used for making Employee Identification Cards. Information may include week identification photograph was taken, name of agency/court, name of employee and reason for identification card, and total number of identification cards issued per agency/court.

Retain for one year, then destroy.

- ORM-110 Historical Development Files for The Unified Court System**
Files documenting the historical evolution and development of the Unified Court System. Information includes but is not limited to offices/courts, dates, description/purpose or function of court/office, records research information, hierarchy charts, office/court location and phone numbers, bibliography, statutes, glossary, factsheets, and forms.
Retain permanently for research purposes.
- ORM-120 Hygrothermograph Charts**
Charts sent weekly from an outside microfilm storage facility indicating the humidity and temperature of the microfilm storage environment.
Retain for six years after lapse of contract, then destroy.
- ORM-130 Judicial Archives and Records Management System (JARMS) Data File**
File containing records management related data. Includes but is not limited to data compiled from Court Inventories Data Collection Forms, Records Retention and Disposition Schedules, Court/OCA Coordinators lists, and Records Officers lists.
Retain until updated, then destroy.
- ORM-140 Maintenance and Supply Contract Files**
Files containing copies of contracts for maintaining microfilm equipment and for purchasing microfilm supplies.
Retain for one year after lapse of contract, then destroy.
- ORM-150 Methylene Blue Test Results Log**
Log used to track results of the methylene blue test obtained from Certificates of Findings. Information includes date sample was taken, roll identification number, date mailed and returned, and number of rolls returned by outside vendor.
Retain for six years after lapse of contract, then destroy.
- ORM-160 Microfilm Equipment Production Reports**
Daily production reports for time spent on use and maintenance of the microfilm unit's equipment. Information may include time spent on production, idle time, down time, and time spent on maintenance.
Retain for one year, then destroy.

- ORM-170 Microfilm Retrieval Forms: Court Reporter Tapes**
Forms used to monitor the retrieval and return of microfilmed tapes by court reporters from the Microfilm Unit. Information may include date roll was retrieved, Court Reporter's name, date microfilmed, roll number, and time and date microfilm roll was returned.
Retain until borrowed Court Reporter tape has been returned or retention period for tape has been met, whichever is sooner, then destroy.
- ORM-180 Microfilm Utilization Forms**
Forms listing the records filmed on each roll. Information includes date and document.
Retain for one year, then destroy.
- ORM-190 Pre-Schedule Mail Inventories File**
File containing inventories prepared by the Courts on their record holdings, used to create the Court Records Retention and Disposition Schedules. Information includes accessibility to researchers, records destruction procedures, microfilm status, storage facilities, and years available.
Retain for ten years, then destroy.
- ORM-200 Processed Microfilm File**
File listing the number of microfilm rolls processed daily. Information includes date processor was used, roll number of films processed and total number of rolls processed.
Retain for two years, then destroy.
- ORM-210 Processor Charts**
Charts created to monitor the use and operations of the microfilm unit's processing machines. Information may include date microfilmed, roll number, whether work is test or actual work, date processed, density, D-Min (clarity of blank film), resolution, footage of roll, running total of footage and time processed, temperature of chemicals, and number of masters created.
Retain for two years, then destroy.
- ORM-220 Quality Control Forms**
Forms used to log quality control findings of microfilm processed in-house. Information includes document filmed, camera number, date filmed, roll number, date processed, application reduction ratio, resolution, five-point density averages, and camera operator.
Retain for one year, then destroy.

ORM-230 Records Appraisal Files

Files containing appraisal information for records used to develop the Court and OCA Records Retention and Disposition Schedules. Consists of appraisal forms, inventory forms, memorandums from and to Counsel's Office, handwritten notes, draft Records Retention and Disposition Schedules, and samples of the records inventoried.

Retain permanently for research purposes.

ORM-240 Records Disposition Request Forms: Courts/Office of Court Administration

Records Disposition Request Forms submitted by Courts and Office of Court Administration Departments requesting approval for destruction of records. Disposition forms include Court/Office name, address, contact person, title, phone number, record series title and number, dates, volume and equipment used to store records, storage location and conditions, whether microfilmed, action taken, explanation, signature of the Office of Court Administration representative, and date.

Retain permanently for research purposes.

ORM-250 Records Disposition Request Log: Court/Office of Court Administration

Log used for tracking Records Disposition Request Forms sent from Courts and Office Court Administration Departments asking for approval to destroy records. Information may include date received, name of court/office, item number, record series name and number, years, volume, unique identification number for each request, and disposition of request.

Retain permanently for research purposes.

ORM-260 Records Retention and Disposition Schedules

Records Retention and Disposition Schedules for all records of New York State's Unified Court System. Information may include Court/Office unit, department names, record series number, record series title, purpose/description, and retention period for each record series.

a) Master Copy

Retain original and all subsequent updates permanently for research purposes.

b) All Others

Retain until updated, then destroy.

ORM-270 Security Forms

Forms used to acknowledge the delivery of microfilm from the Microfilm Unit to the office of record. Information includes date, recipient's name, subject of series filmed, roll number for each office, total number of rolls taken, and signature of recipient.

Retain for two years, then destroy.

ORM-280 Sensitometry Control Forms

Forms documenting the quality control test results performed on microfilm chemicals and in-house processing racks. Information includes chemical strength and results of AM and PM test of processors.

Retain for two years, then destroy.

ORM-290 Specifications File

Files identifying specifications developed for a microfilm project for a particular job site. Specifications include microfilm size and/or type of microform to be used, density and resolution expected after processing, and microfilm equipment needed for the project. File contains specifications, memorandums, and correspondence.

Retain for ten years, then destroy.