

Records Retention and Disposition Schedule



Division of Administrative Services Part 36 Appointment Processing Unit

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 are eligible for destruction.

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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Part 36 Appointment Processing Unit

FPU-010 Appointment Enrollment Records

Records pertaining to the enrollment of individuals and/or entities onto the UCS Part 36 Appointment Eligibility List.

a) Enrollment Application Files

Documents needed for enrolling individual and/or entity names on the UCS Part 36 Eligibility List. Includes but is not limited to Applicant Summary Sheet, Applications of Appointment Pursuant to Part 36 (UCS-870 and UCS-852.1), resumes, personal background information, Acknowledgment Receipt Letters for changes to original application, Amendment Applications, Re-Registration Applications (UCS-870R), duplicates of Certificates of Participation in Training, New York State Continuing Legal Education Certificate of Attendance, and supporting material.

a.1) Disqualified Applicant Records

Retain for six years, then destroy.

a.2) Qualified Applicant Records

Retain for three years, then destroy.

b) UCS Part 36 Appointment Eligibility List

Database with listing of names of eligible fiduciaries that are currently available for appointment. Information includes but is not limited to criteria for searching fiduciary's name, category of appointment, county where fiduciary is available to receive appointments, district, foreign languages spoken by fiduciary, professions other than attorney of the fiduciary, achieved academic degrees, areas of special interest, appointment experience, results from searches of fiduciary's name, category of appoint, appointment county, fiduciary identification number, address, phone number, and total approved fees for the calendar year.

Retain until updated, then destroy.

FPU-020 Compensation Approval Reports (also known as Report of Approval of Compensation Forms and UCS-876)

Documents that were sent by law firms to the Unified Court System on fees that were approved for appointed cases. Information consists of calendar year of report, name of law firm, law firm's tax identification number/address/phone/fax/email, fiduciary names, fiduciary identification numbers, totals of approved compensation paid to each fiduciary, total paid to fiduciaries for calendar year, date signed, and signature and title managing attorney of the firm.

Retain for seven years, then destroy.

FPU-030 Compensation Approval Statements

Documents filed by judges confirming an award of compensation in excess of five hundred dollars to fiduciaries. Includes but is not limited to Statement of Approval of Compensation Pursuant to Part 26 of the Rules of the Chief Judge (UCS-875), Statement of Approval of Compensation Pursuant to Sec. 35-A of the Judiciary Law (UCS-830), Report of Approval of Compensation Received by Counsel to the Public Administrator (UCS-877A and UCS-877B), Annual Statement of Approval of Compensation for Examiners of Accounts of Guardians (UCS-826), and supporting material. Information consists of date of appointment, whether appointee has or is required to file a Notice of Appointment and Certification of Compensation Form with the Fiduciary Clerk, appointee's name and fiduciary identification number when applicable, fiduciary's address/phone/fax/email address, category of appointment, index/file number, court name, county, title of action/proceeding, case type, name of both appointing and approving judges, name of person/entity/property to be served, whether action was contested or uncontested, gross value of the estate of the person/entity/property, amount of hours and minutes served by appointee, amount of compensation awarded, date of approval, and signature of approving judge.

Retain for seven years, then destroy.

FPU-040 Notice of Appointment Records

Records used for corroborating fiduciary appointees who are and are not eligible to qualify and accept their appointments.

a) Notification Forms and Supporting Documents

Includes completed Notice of Appointment and Certification of Compliance Forms (UCS-872 and UCS-830.1), Statement of Reasons for Non-List Appointments (UCS-872.5), and any substantiating material.

Retain for seven years, then destroy.

b) Fiduciary Appointments Database

Information includes but is not limited to date of appointment, appointee's name and identification number, appointee's address/phone/fax/email, type of fiduciary appointment, index/file number, court's name and county, title of action/proceeding, case type, name of appointing judge, total compensation awarded for the prior calendar year, date signed, and signature of appointed fiduciary.

Retain permanently for research purposes.