

RECORDS RETENTION AND DISPOSITION SCHEDULE



DIVISION OF TECHNOLOGY RESEARCH AND SPECIAL PROJECTS

**DIVISION OF COURT OPERATIONS
OFFICE OF RECORDS MANAGEMENT**

April 1994

**DIVISION OF TECHNOLOGY
RESEARCH AND SPECIAL
PROJECTS**

TABLE OF CONTENTS

DB Master Training Session Attendees File	1
General Court Type Information Request File	1
Internal Controls Library Correspondence	1
Internal Controls Library Distribution Of Manuals File	1
Internal Controls Library File	2
Micro-Computer Budget Purchases File	2
Micro-Computer Budget Request Recommendations	2
Micro-Computer Budget Requests For Automation Projects File	2
Micro-Computer Equipment Installation Schedule	3
Micro-Computer Equipment Sample Purchase Orders	3
Micro-Computer General Correspondence File	3
Micro-Computer Hardware Configuration File	3
Micro-Computer Inventory Maintenance Correspondence File	3
Micro-Computer Inventory Maintenance File	4
Micro-Computer Inventory Maintenance Report	4
Micro-Computer Maintenance Contract File	4
Micro-Computer Maintenance Contract Vendor Correspondence	4
Micro-Computer Maintenance Service Calls File	5
Micro-Computer Packing Slips/Invoice File	5
Micro-Computer Presentation Handouts File	5
Micro-Computer Printer Hardware Configuration File	5
Micro-Computer Project File	6
Micro-Computer Purchase Plan File	6
Micro-Computer Security Guidelines	6
Micro-Computer Training File	6
Network Configuration File	6
Network Documentation File	7
New York State Division Of Criminal Justice Services (DCJS)	
Standardized Form Committee Notes	7
Operational Analysis Report	7
Operations Manuals	8
Operations Manuals Administrative File	8
Operations Manuals Case Operations File	8
Operations Manuals Committee Correspondence	8
Operations Manuals Committee Listing	8
Operations Manuals General File	9
Sealed Records Guideline File	9
Small Claims Assessment Review Administrative Orders File	9
Small Claims Assessment Review Applications For Hearing Officer File	9
Small Claims Assessment Review General File	10
Small Claims Assessment Review Inquiry File	10
Small Claims Assessment Review Residential Assessment Ratios (RAR) File	10

Small Claims Assessment Review Training Materials Package 10
Statistical Report File (MOSU) 11
Technical Information Operation Procedures File 11
INDEX 12

RECORDS RETENTION AND DISPOSITION SCHEDULE

DIVISION OF TECHNOLOGY

RESEARCH AND SPECIAL PROJECTS

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	DB MASTER TRAINING SESSION ATTENDEES FILE File containing names of participants in DB Master training sessions offered by Research and Special Projects.	Retain for one year, then destroy.
00000.	GENERAL COURT TYPE INFORMATION REQUEST FILE File containing requests for updates to automated files submitted by all courts.	Retain for three years, then destroy.
00000.	INTERNAL CONTROLS LIBRARY CORRESPONDENCE File containing requests for Unified Court System Manuals and correspondence re: return of surplus manuals and distribution of manuals.	Retain for one year, then destroy.
00000.	INTERNAL CONTROLS LIBRARY DISTRIBUTION OF MANUALS FILE File containing memorandum from the Director of Research and Special Projects to Executive Assistants re: distribution of manuals. File also contains distribution list of Unified Court System Manuals, name of manuals and status of distribution.	Retain until updated, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	INTERNAL CONTROLS LIBRARY FILE File containing information used for standardized production, distribution and inventory maintenance of Internal Controls Library. Includes: all current manuals produced by the New York State Office of Court Administration, inventory list, distribution list and specifications for printing.	Retain until updated, then destroy.
00000.	MICRO-COMPUTER BUDGET PURCHASES FILE File containing copies of correspondence sent to Executive Assistants re: micro-computer equipment ordered for their districts. File also contains correspondence, copies of purchase orders and packing slips received from Executive Assistants confirming the receipt of micro-computer equipment and software.	Retain for two years, then destroy.
00000.	MICRO-COMPUTER BUDGET REQUEST RECOMMENDATIONS File containing micro-computer budget request recommendations made by Research and Special Projects staff. File also contains confirmations of new cost centers which include funding for micro-computer purchases for the courts and district offices.	Retain for two years, then destroy.
00000.	MICRO-COMPUTER BUDGET REQUESTS FOR AUTOMATION PROJECTS FILE File containing copies of Budget Requests approved by the Office of Financial Management and Audit Services for automation projects.	Retain for two years, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	MICRO-COMPUTER EQUIPMENT INSTALLATION SCHEDULE Installation schedule for new computer equipment.	Retain for one year, then destroy.
00000.	MICRO-COMPUTER EQUIPMENT SAMPLE PURCHASE ORDERS Sample of standard purchase orders with the following information completed: vendor information, contract number, group number, name of contact person whom vendor may direct questions, technical details, description and unit cost of equipment. Document is sent to Courts to assist them with the purchase of micro-computer equipment.	Retain for one year, then destroy.
00000.	MICRO-COMPUTER GENERAL CORRESPONDENCE FILE File containing general correspondence on micro-computer equipment.	Retain until no longer needed, then destroy.
00000.	MICRO-COMPUTER HARDWARE CONFIGURATION FILE File containing specifications and guidelines for computer hardware installed by the Research and Special Projects Unit.	Retain until updated, then destroy.
00000.	MICRO-COMPUTER INVENTORY MAINTENANCE CORRESPONDENCE FILE File containing all correspondence to and from vendors, state courts, Office of Court Administration Departments and District Administrative Offices with respect to the Micro-Computer Maintenance Inventory.	Retain for one year from lapse of contract, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	MICRO-COMPUTER INVENTORY MAINTENANCE FILE	
	File containing inventory of all micro computer equipment covered under the current service contract. Includes state courts, New York City County Clerks, Office of Court Administration Offices and District Administrative Offices.	Retain until updated, then destroy.
00000.	MICRO-COMPUTER INVENTORY MAINTENANCE REPORT	
	Report generated for each payment period of the statewide maintenance contract. Report lists all micro computer equipment and software covered, how much is to be paid for each piece of equipment by cost center, the total amount paid for each district and the total amount paid statewide.	Retain for one year from lapse of contract, then destroy.
00000.	MICRO-COMPUTER MAINTENANCE CONTRACT FILE	
	File containing copies of micro-computer maintenance contracts for the Unified Court System.	Retain for one year from lapse of contract, then destroy.
00000.	MICRO-COMPUTER MAINTENANCE CONTRACT VENDOR CORRESPONDENCE	
	Copies of correspondence sent to service contract vendors by Director of Research and Special Projects and Executive Assistants re: billing and requests to add micro-computer equipment to maintenance contract.	Retain for one year from lapse of contract, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	MICRO-COMPUTER MAINTENANCE SERVICE CALLS FILE	
	File containing Micro-computer Maintenance Reports. Reports include: court name, court address, date call made to vendor, date technician responded, name of technician, problem, corrective action, date action completed and court was restored to service, old equipment description and serial number, new equipment description and serial number, date of report and name of person completing report.	Retain for one year from lapse of contract, then destroy.
00000.	MICRO-COMPUTER PACKING SLIPS/INVOICE FILE	
	File documenting the shipping and receipt of computer equipment. Provides warranty and proof of purchase information. Also provides vendor information: name of vendor, address, and telephone number.	Retain until expiration of warranty, then destroy.
00000.	MICRO-COMPUTER PRESENTATION HANDOUTS FILE	
	File containing computer generated reports compiled from computer files using live data. The reports are distributed for informational and planning purposes at conferences conducted by the Research and Special Projects Unit.	Retain for one year or until no longer needed, then destroy.
00000.	MICRO-COMPUTER PRINTER HARDWARE CONFIGURATION FILE	
	File documenting printer specifications and identification codes for vendor models.	Retain until updated, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	MICRO-COMPUTER PROJECT FILE File containing documentation on the creation of automated files: Docket Index Cards, Individual Assignment System.	Retain current computer application program files and immediate predecessor computer application program files.
00000.	MICRO-COMPUTER PURCHASE PLAN FILE File containing copies of Annual Micro-computer Purchase Plans for judges, chambers and back office operations in the courts.	Retain for two years, then destroy.
00000.	MICRO-COMPUTER SECURITY GUIDELINES Guidelines outlining procedures to establish security measures for personal computers, networks and related hardware.	Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.
00000.	MICRO-COMPUTER TRAINING FILE File containing memoranda to and from Executive Assistants re: scheduled DB Master micro-computer training by Research and Special Projects staff.	Retain for one year or until no longer needed, then destroy.
00000.	NETWORK CONFIGURATION FILE File containing specifications of Network Systems installed by the Research and Special Projects Unit.	Retain until updated, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	NETWORK DOCUMENTATION FILE File containing documentation of physical configurations and major software settings for the network systems.	Retain until updated, then destroy.
00000.	NEW YORK STATE DIVISION OF CRIMINAL JUSTICE SERVICES (DCJS) STANDARDIZED FORM COMMITTEE NOTES File containing copies of standardized criminal justice forms designed and created by the New York State Division of Criminal Justice Services and notes taken during committee meetings showing the evolution of the standardized forms.	Retain for one year, then destroy.
00000.	OPERATIONAL ANALYSIS REPORT Report designed to assist a specific court in utilizing computer/non-computer functions in accordance with the procedures outlined in the Operations Manual. Report indicates name of court, location, number of filings, number of dispositions, number of judges and number of staff. Report also indicates the number of staff assigned to each step, where and when step is conducted and whether the step is automated. Operational Analysis Report also lists Equipment and Systems Configuration for the court. Equipment and Systems Configuration lists number of stand alone computers, number of micro - computers in network, number of printers and locations of equipment. File also includes walk through papers, interim report and final report.	Retain until no longer needed, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	OPERATIONS MANUALS Manual created to reflect statutory requirements and procedures for the courts.	Retain one master copy (original and all subsequent updates) permanently for research purposes. All others: retain until updated.
00000.	OPERATIONS MANUALS ADMINISTRATIVE FILE File containing printing requirements, distribution schedules, memos on distribution, updates of Operations Manuals, memorandum to and from Counsels Office, correspondence from Operations Manual Committee members, draft and contents of Court Operations Manuals and agendas of committee meetings.	Retain for one year, then destroy.
00000.	OPERATIONS MANUALS CASE OPERATIONS FILE File containing updated packages for Operations Manuals, incorporating legislative changes and other amendments.	Retain for one year, then destroy.
00000.	OPERATIONS MANUALS COMMITTEE CORRESPONDENCE File containing correspondence to committee members indicating location of meetings, hotel information and agendas.	Retain for two years, then destroy.
00000.	OPERATIONS MANUALS COMMITTEE LISTING List containing names of committee members and the Courts and Districts they represent.	Retain until superseded, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	OPERATIONS MANUALS GENERAL FILE File containing memoranda on scheduled meeting dates for committee meetings, attendance sheets of committee members, memoranda to committee members re; proposed formats for Operations Manual, names of courts selected for orientation of procedures and status reports.	Retain for one year, then destroy.
00000.	SEALED RECORDS GUIDELINE FILE File containing guidelines from Counsel's Office defining the rules for handling sealed records.	To be determined at a later date, pending appraisal of Counsels records.
00000.	SMALL CLAIMS ASSESSMENT REVIEW ADMINISTRATIVE ORDERS FILE File containing copies of Administrative Orders of the Chief Administrator of the Courts appointing Small Claims Assessment Review Officers, their jurisdiction and date of appointment.	Retain until no longer needed, then destroy.
00000.	SMALL CLAIMS ASSESSMENT REVIEW APPLICATIONS FOR HEARING OFFICER FILE File containing copies of current completed applications for Small Claims Assessment Review Hearing Officers. Applications indicate: name of applicant, mailing address, citizenship status, legal residence and current employment information.	Retain until forwarded to Administrative Judges' Office.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	SMALL CLAIMS ASSESSMENT REVIEW GENERAL FILE	
	File contains amendments to Real Property Tax Law, requests for SCAR Petitions, letters regarding training seminars, qualifications for Hearing Officers, copies of letters from Assessors, Hearing Officers decisions and correspondence from Director of Research and Special Project to Executive Assistants.	Retain until no longer needed, then destroy.
00000.	SMALL CLAIMS ASSESSMENT REVIEW INQUIRY FILE	
	File containing correspondence to and from public, court personnel, New York State Office of Court Administration Offices, Hearing Examiners and other agencies. File also includes log of phone calls received, name of caller, date of call, inquiry and cause of action taken.	Retain until no longer needed, then destroy.
00000.	SMALL CLAIMS ASSESSMENT REVIEW RESIDENTIAL ASSESSMENT RATIOS (RAR) FILE	
	File containing memos to Executive Assistants re: Small Claims Assessment Review Programs Residential Ratios, copies of Residential Ratios and Residential Assessment Rolls.	Retain until superseded, then destroy.
00000.	SMALL CLAIMS ASSESSMENT REVIEW TRAINING MATERIALS PACKAGE	
	Package created and distributed by the Office of Research and Special Projects to all attendees of the Small Claims Assessment Review Training Seminar. Includes petition with instructions, decision form, handout for Hearing Examiners and copies of administrative orders.	Retain until updated, then destroy.

<u>R.S. #</u>	<u>RECORD SERIES</u>	<u>RETENTION</u>
00000.	STATISTICAL REPORT FILE (MOSU) File containing the format for statistical reports for Family (108), Criminal (540) and Surrogate's (150) Courts.	Retain until format is updated or until no longer needed, then destroy.
00000.	TECHNICAL INFORMATION OPERATION PROCEDURES FILE File containing documentation on how to properly set up and use a particular piece of hardware or software.	Retain until equipment is no longer utilized, then destroy.

INDEX

DB Master Training Session Attendees File	1
General Court Type Information Request File	1
Internal Controls Library Correspondence	1
Internal Controls Library Distribution Of Manuals File	1
Internal Controls Library File	2
Micro-Computer Budget Purchases File	2
Micro-Computer Budget Request Recommendations	2
Micro-Computer Budget Requests For Automation Projects File	2
Micro-Computer Equipment Installation Schedule	3
Micro-Computer Equipment Sample Purchase Orders	3
Micro-Computer General Correspondence File	3
Micro-Computer Hardware Configuration File	3
Micro-Computer Inventory Maintenance Correspondence File	3
Micro-Computer Inventory Maintenance File	4
Micro-Computer Inventory Maintenance Report	4
Micro-Computer Maintenance Contract File	4
Micro-Computer Maintenance Contract Vendor Correspondence	4
Micro-Computer Maintenance Service Calls File	5
Micro-Computer Packing Slips/Invoice File	5
Micro-Computer Presentation Handouts File	5
Micro-Computer Printer Hardware Configuration File	5
Micro-Computer Project File	6
Micro-Computer Purchase Plan File	6
Micro-Computer Security Guidelines	6
Micro-Computer Training File	6
Network Configuration File	6
Network Documentation File	7
New York State Division Of Criminal Justice Services (DCJS)	
Standardized Form Committee Notes	7
Operational Analysis Report	7
Operations Manuals	8
Operations Manuals Administrative File	8
Operations Manuals Case Operations File	8
Operations Manuals Committee Correspondence	8
Operations Manuals Committee Listing	8
Operations Manuals General File	9
Sealed Records Guideline File	9
Small Claims Assessment Review Administrative Orders File	9
Small Claims Assessment Review Applications For Hearing Officer File	9
Small Claims Assessment Review General File	10
Small Claims Assessment Review Inquiry File	10
Small Claims Assessment Review Residential Assessment Ratios (RAR) File	10

Small Claims Assessment Review Training Materials Package 10
Statistical Report File (MOSU) 11
Technical Information Operation Procedures File 11