

# **RECORDS RETENTION AND DISPOSITION SCHEDULE**



## **PERSONNEL RECORDS**

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

**MARCH 2001**

# **PERSONNEL RECORDS**

**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 Personnel 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: March 27, 2001

A/O: 61/01

## PERSONNEL RECORDS

### RECORDS RETENTION AND DISPOSITION SCHEDULE

This schedule includes all ***personnel records*** created for and by the New York State's Unified Court System. The retention of these records is based on an appraisal of the administrative, legal, fiscal and/or historical value. Based on these values, the records were divided in two categories: "***office of record***" and "***non record copy***".

The "***office of record***" is the court or department which maintains the "***record copy***" for reasons listed in this schedule. The *record copy* is the *official copy* of the record. The "***non record copy***" is the copy which is retained by courts, offices or individuals other than the "*office of record.*"

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R.S. #	RECORD SERIES	RETENTION
<b>PERSONNEL RECORDS GENERAL</b>		
PRG-1	<p><b>ACKNOWLEDGMENTS OR RECEIPTS OF MANUALS/HANDBOOKS</b></p> <p>Signed statements from employees acknowledging receipt of Unified Court System Booklets/Handbooks/Manuals.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they maintain the "Personnel Folder"</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PRG-2	<p><b>APPOINTMENT LETTERS</b> (also known as <b>CONFIRMATIONS OF APPOINTMENT</b>)</p> <p>Copies of appointment letters sent by Chief Administrator/Deputy Chief Administrator to employees verifying their appointment to a competitive/non-competitive title.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-3	<p><b>CLASSIFICATION REVIEW FORMS (UCS-3A)</b></p> <p>Forms completed by the Office of the Deputy Chief Administrative Judge upon review of <b>RECLASSIFICATION REQUESTS</b> or <b>REALLOCATION OF POSITIONS.</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for ten years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-4	<p><b>DISCIPLINARY ACTION RECORDS</b></p> <p>Records related to disciplinary actions taken by the Unified Court System against an employee. Records include, but are not limited to: notices of charges, responses, appeals, decisions and supporting materials from all levels of the process.</p> <p><b>OFFICES OF RECORD:</b> Office of Court Administration Counsel's Office</p> <p>Any other office involved in the processing of a disciplinary action</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices (duplicates)</p>	<p>Retain permanently.</p> <p>Retain for a minimum of ten years and three months after final resolution of the disciplinary action or for six years and three months after termination of employment, whichever is shorter, then destroy, unless otherwise stipulated per disciplinary settlement or negotiated agreement.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-5	<p><b>EMPLOYEE SUGGESTION FILES</b></p> <p>Files containing copies of employee suggestions, acknowledgments and letters.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Office of Public Affairs</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>To be determined at a later date pending appraisal of Public Affairs Records.</p> <p>Retain until no longer needed, then destroy.</p>
PRG-6	<p><b>EXAMINATION ANNOUNCEMENT FILES</b></p> <p>Files containing copies of all Unified Court System examination announcements.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain permanently for research purposes.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-7	<p><b>INTERN/STUDENT PERSONNEL FOLDERS</b></p> <p>Folders containing information on intern and student personnel.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain for six years after termination of employment, then destroy.</p> <p>-----</p>
PRG-8	<p><b>INTERNAL JOB DESCRIPTIONS</b></p> <p>In-house descriptions of employees' job assignment(s).</p> <p><b>OFFICES OF RECORD:</b> Courts and District Offices when they compose job descriptions</p> <p><b>NON RECORD COPIES:</b> Courts and District Offices when they are not the Offices of Record</p>	<p>Retain until no longer needed, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-9	<p><b>LETTERS OF COMMENDATION/COMPLAINT</b></p> <p>Letters of praise or complaint received from the public, judges or co-workers.</p> <p><b>a) LETTERS OF COMMENDATION</b></p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are recipients of letters</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p> <p><b>b) LETTERS OF COMPLAINT</b></p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are recipients of letters</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for ten years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for ten years or as stipulated per negotiated agreement, whichever is shorter, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-10	<p><b>LINE NUMBER BOOKS</b></p> <p>Books used to track payroll line numbers and employee names. Information also indicates status of line, e.g. filled/vacant.</p> <p><b>OFFICES OF RECORD: Courts</b></p> <p><b>NON RECORD COPY: None</b></p>	<p>Retain until updated, or until no longer needed, whichever is shorter, then destroy.</p> <p>-----</p>
PRG-11	<p><b>PARKING PERMIT RECORDS</b></p> <p>Records submitted by U.C.S. employees to obtain parking permits for reserved areas. Includes copies of Parking Permits and Parking Permit Request Forms.</p> <p><b>OFFICES OF RECORD: New York City:</b>  Office of Court Administration  Division of Administrative Services - Court Transportation Unit</p> <p><b>Outside New York City:</b>  Local Law Enforcement Agency</p> <p><b>NON RECORD COPIES: Courts</b></p>	<p>Retain for two years, then destroy.</p> <p>Retention to be determined by the Local Law Enforcement Agency.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-12	<p><b>PERFORMANCE EVALUATION FILES</b></p> <p>Files containing employee evaluation forms. Information includes, but is not limited to: objectives and goals of the job title, description of the employee's tasks and responsibilities and an evaluation of their performance.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPIES:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p>	<p>Retain for ten years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PRG-13	<p><b>PERMANENCY REQUEST MEMORANDUMS</b></p> <p>Memorandums sent by Chief Clerk to Executive Assistant recommending permanent status for probationary employees.</p> <p><b>OFFICES OF RECORD:</b> District Offices</p> <p><b>NON RECORD COPIES:</b> Originating Courts</p>	<p>Retain for one year, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-14	<p><b>PERMISSION REQUESTS TO VIEW PERSONNEL FOLDERS</b></p> <p>Documents submitted by U.C.S. employees requesting authorization to view personnel file.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are the recipients of the request</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain for one year or until no longer needed, whichever is shorter, then destroy.</p> <p>-----</p>
PRG-15	<p><b>PERSONAL INFORMATION RECORDS</b></p> <p>Reports and memos submitted by employees to report change of name, address, telephone numbers or other personal information.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they maintain the "Personnel Folder"</p> <p>U.C.S. Payroll Offices and Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> District Offices when they are not the Offices of Record</p>	<p>Retain until change is noted, then destroy.</p> <p>Retain until change is noted, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-16	<p><b>PERSONNEL LOGS</b> (also known as <b>STATUS BOOKS</b>)</p> <p>Logs or books containing reference information on Unified Court System employees. Information includes, but is not limited to: employment history, name, social security number, date of birth, title, grade, status, address, telephone number, salary and judicial grade level.</p> <p><b>OFFICES OF RECORD:</b> Courts</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain until updated or until no longer needed, whichever is shorter, then destroy.</p> <p>-----</p>
PRG-17	<p><b>PERSONNEL SCHEDULE DIARIES</b></p> <p>Documents used to track future personnel transactions e.g. pending transfers/leaves, to ensure that necessary positions are covered by replacement personnel.</p> <p><b>OFFICES OF RECORD:</b> Courts</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain until action is completed, then destroy.</p> <p>-----</p>

R.S. #	RECORD SERIES	RETENTION
PRG-18	<p><b>RECLASSIFICATION REQUESTS (UCS-3) (also known as REALLOCATION OF POSITIONS)</b></p> <p>Documents submitted by employees of the Unified Court System to request a change in title or salary grade allocation of an existing position.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Deputy Chief Administrative Judges' Offices, Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for ten years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PRG-19	<p><b>RELEASE OF INFORMATION AUTHORIZATIONS</b></p> <p>Documents submitted by Unified Court System employees authorizing release of personal information to requesting parties.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain until action is completed, then destroy.</p> <p>-----</p>

R.S. #	RECORD SERIES	RETENTION
PRG-20	<p><b>RESIGNATION LETTERS and NON DISCIPLINARY TERMINATION LETTERS</b></p> <p>Notification received from/sent to employees indicating the last date of employment.</p> <p><b>OFFICES OF RECORD: U.C.S. Payroll Offices: Appellate Courts, Central Payroll - Albany, Court Of Claims, District Offices 9 and 10, and N.Y.C. Payroll</b></p> <p><b>NON RECORD COPIES: Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</b></p>	<p>Retention to be determined upon the appraisal of Payroll Records.</p> <p>Retain until no longer needed, then destroy.</p>
PRG-21	<p><b>SCHEDULE OF POSITIONS</b></p> <p>Listing of line numbers, titles and salary/grades.</p> <p><b>OFFICE OF RECORD: Office Of Court Administration Division of Financial Management</b></p> <p><b>NON RECORD COPIES: Courts, District Offices and O.C.A. Divisions/Offices</b></p>	<p>Retain until updated, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-22	<p><b>SUPERVISOR'S EMPLOYEE EVALUATION NOTES</b></p> <p>Informal notes on employee performance by U.C.S. Supervisors.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain until no longer needed, then destroy.</p> <p>-----</p>
PRG-23	<p><b>TRANSFER REQUEST FILES</b></p> <p>Files containing employee requests for transfers to other positions within the Unified Court System.</p> <p><b>OFFICES OF RECORD:</b> District Offices and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPIES:</b> Courts</p>	<p>Retain until action is completed, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRG-24	<p><b>VOLUNTEER FILES</b></p> <p>Files containing Requests To Volunteer Services submitted by the public to volunteer their services to the Unified Court System. Information includes, but is not limited to: name of volunteer, court or agency where they would like to volunteer their services, services offered and signed statement that they will not receive any monetary or other compensation for their services.</p> <p><b>a) VOLUNTEERS - ACCEPTED</b></p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are the recipients of requests</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p> <p><b>b) VOLUNTEERS - NOT ACCEPTED</b></p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are the recipients of requests</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for six years after termination of volunteer service, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
<b>PERSONNEL RECORDS CANVASSING AND HIRING</b>		
PCH-1	<p><b>APPLICATIONS FOR EMPLOYMENT (UCS-5)</b></p> <p>Documents submitted by applicants in response to a job announcement. Information includes, but is not limited to: title of position, announcement number, geographic location of position, name of applicant, mailing address, telephone number, date of birth (if not 18) and status of United States citizenship.</p> <p><b>a) INTERVIEWED</b></p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>b) NOT INTERVIEWED</b></p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when position is posted for their location</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices (duplicates)</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for three years, from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-2	<p><b>AVAILABILITY INQUIRIES (UCS-8) (also known as CANVASS LETTERS)</b></p> <p>Documents sent to candidates to inquire about their interest in and availability for employment. Information includes, but is not limited to: eligible list number, rating, rank number, title of position, salary grade, location, approximate starting date, type of employment (permanent/contingent or permanent/temporary), statement of availability, statement of declination and eligible's signature and telephone number(s).</p> <p><b>OFFICE OF RECORD: Office Of Court Administration Division of Human Resources Personnel Unit</b></p> <p><b>NON RECORD COPIES: Courts, District Offices and O.C.A. Divisions/Offices</b></p>	<p>Retain for three years after expiration of eligible list, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-3	<p data-bbox="310 247 1127 281"><b>CERTIFICATION OF ELIGIBLE LISTS (OCA 43)</b></p> <p data-bbox="310 327 1149 827">Lists sent by Division of Human Resources - Personnel Unit to courts and agencies certifying that the persons named on the lists have passed appropriate examinations to qualify for the positions to be filled, that all appropriate special or preferred lists are included, and that, unless otherwise indicated, the qualified eligibles are presently available for appointment. Lists indicate: titles of positions, types of appointments, certified serial numbers, salary grades, names and addresses of candidates, final ratings, rank order, eligibility dates or expiration dates, canvass codes, appointment data and name of person certifying list.</p> <p data-bbox="310 873 1143 978"><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p data-bbox="310 1104 1094 1171"><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p data-bbox="1179 873 1511 1020">Retain for three years after expiration of eligible list, then destroy.</p> <p data-bbox="1179 1104 1511 1171">Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-4	<p><b>DECLINATION LETTERS</b></p> <p>Letters received from prospective job applicants declining a position with the Unified Court System.</p> <p><b>a) LIST APPOINTMENTS</b></p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>b) NON LIST APPOINTMENTS</b></p> <p><b>OFFICE OF RECORD:</b> Court or Office Offering Position</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Retain for three years, from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-5	<p><b>EMPLOYMENT ELIGIBILITY VERIFICATION FORMS (I-9)</b></p> <p>Federally mandated documents required for all employees hired after November 6, 1986; used by employers to verify employment eligibility.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of hiring action to which they relate or one year after the termination of the employee, whichever is later, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-6	<p><b>EMPLOYMENT OPPORTUNITY ANNOUNCEMENTS (UCS-23)</b> (also known as <b>JOB ANNOUNCEMENTS</b> and <b>JOB POSTINGS</b>)</p> <p>Documents utilized by the New York State Unified Court System to announce available positions. Documents indicate: announcement numbers, titles of positions, judicial grade levels, locations, salaries, classifications, qualifications, distinguishing features of work, assignment, general information and name and address of person receiving resumes.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain permanently for research purposes.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-7	<p><b>EQUAL EMPLOYMENT OPPORTUNITY DATA COLLECTION FORMS (UCS-19X)</b></p> <p>Data entry worksheets containing race and gender information for all non-judicial applicants and employees. Information may include: the stage of recruitment, title of position, announcement number, social security number, year of birth, gender, education level, race/ethnicity, physical or mental disability, New York State residency and county of residency.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Equal Employment Opportunity Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain until data has been entered and quality control has been conducted, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-8	<p><b>HIRING MEMORANDUMS</b></p> <p>Memorandums sent to District Offices informing them of a new appointment in the courts. Information includes, but is not limited to: name of employee, assignment date, area of assignment and job responsibilities.</p> <p><b>OFFICE OF RECORD:</b> Court Offering Position</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Retain until no longer needed, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-9	<p><b>INTERVIEW CONFIRMATION LETTERS</b></p> <p>Letters sent to prospective job applicants by Courts, District Offices and O.C.A. Divisions/Offices to confirm date and time of interviews.</p> <p><b>OFFICES OF RECORD:</b> Originating Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-10	<p><b>INTERVIEW DATA SHEETS (UCS-19XI)</b></p> <p>Documents completed by court/agency after interview to show compliance with Workforce Diversity Program. Document indicates: job title, salary grade, court/agency, announcement/examination number, serial number (list), number of applicants, total number of applicants interviewed in the first and second interview, ethnicity and gender data of applicants interviewed, ethnicity and gender data of candidate nominated and interviewer's signature, title and date of signature.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-11	<p><b>INTERVIEW PACKAGES</b></p> <p>Sealed packages containing INTERVIEW DATA SHEETS (19-XI), STATEMENTS OF RECRUITMENT AND HIRING EFFORTS (UCS-24A), SELECTION INTERVIEW EVALUATION FORMS (UCS-25) and INTERVIEW SUMMARY SHEETS.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-12	<p><b>INTERVIEW SUMMARY SHEETS (UCS-24)</b></p> <p>Documents completed by interviewer(s) for all candidates interviewed. Information includes, but is not limited to: name of candidate, date of interview, position applied for, location, examination or announcement number, social security number, performance test score (if applicable), competitive test, rank and score, name(s) of interviewer(s) and their titles, level of education, comments and skills and abilities.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-13	<p><b>JUDICIAL OATH FORMS</b> (JC-200 and G 110-232)</p> <p>Judicial oath forms filed by newly elected/re-elected Judges and newly appointed/re-appointed Judges of the New York State Unified Court System.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Education and Training Unit</p> <p><b>NON RECORD COPIES:</b> Office of Court Administration Division of Human Resources Payroll Unit</p> <p>Courts, District Offices and O.C.A. Divisions/Offices not listed above</p>	<p>Retain permanently.</p> <p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-14	<p><b>NOMINATIONS FOR APPOINTMENT</b> (UCS-74 and UCS-74L)</p> <p>Documents completed by candidates who are nominated to fill a position in competitive/non competitive and exempt class titles.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-15	<p><b>OATHS OF OFFICE FOR NON JUDICIAL EMPLOYEES (DOS-193)</b></p> <p>Affidavits signed by non judicial employees pledging to support the constitution of the United States, and the constitution of the State of New York. This record also serves as a signed acknowledgment receipt for a copy of Public Officers Law sections 73 through 78.</p> <p><b>OFFICES OF RECORD:</b> New York  Department of State  Miscellaneous Records</p> <p><b>UCS Payroll Offices:</b>  Albany Central Payroll,  Appellate Courts,  Court Of Claims  District Offices 9 and 10, and  O.C.A. Payroll - N.Y.C.</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they maintain the "Personnel Folder"</p>	<p>Retention to be determined by the New York Department of State.</p> <p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-16	<p><b>REJECTION LETTERS</b></p> <p>Letters sent to job applicants informing them that they have not been chosen to fill a particular vacancy/position.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are the originating Courts/Offices</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-17	<p><b>REQUESTS TO POST FOR POSITIONS</b></p> <p>Memorandums submitted by the Courts to the District Offices requesting permission to post for a position in the courts.</p> <p><b>OFFICES OF RECORD:</b> Originating Courts</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Retain until position is filled, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-18	<p><b>RESUMES</b></p> <p>Documents submitted by prospective job applicants summarizing their personal histories and job qualifications.</p> <p><b>a) SOLICITED RESUMES</b></p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices (originals)</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices (duplicates)</p> <p><b>b) UNSOLICITED RESUMES</b></p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices (originals)</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices (duplicates)</p>	<p>Retain for three years from date position is filled, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-19	<p><b>SELECTION INTERVIEW EVALUATION FORMS (UCS-25)</b></p> <p>Interview evaluations completed by panel. Information includes, but is not limited to: name of applicant, date of interview, strengths and weaknesses that are relevant to the position and evaluation of candidate. Candidates are evaluated in the following areas: organization and planning, problem analysis, leadership/supervision, technical and professional knowledge, oral communication, written communication and interpersonal relations. Document also contains signature of interviewer(s) and date signed.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-20	<p><b>SELECTION INTERVIEW EVALUATION FORMS CONSENSUS EVALUATIONS</b></p> <p>Consensus evaluations completed by interview panel. Information includes, but is not limited to: name of applicant, date of interview, strengths and weaknesses relevant to the position and evaluation of candidate.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PCH-21	<p><b>SELECTION INTERVIEW EVALUATION FORMS FOR INDIVIDUAL INTERVIEWERS</b></p> <p>Evaluation forms completed by individual interviewer. Information includes, but is not limited to: name of applicant, date of interview, strengths and weaknesses relevant to the position and evaluation of candidate.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PCH-22	<p><b>STATEMENTS OF RECRUITMENT AND HIRING EFFORTS (UCS-24A)</b></p> <p>Documents completed by all courts/offices to certify recruitment efforts as outlined by the Workforce Diversity Program. Information includes, but is not limited to: name of district/court/office, employment announcement number, title/judicial grade, location, posting period, recruitment efforts, number of applicants, number of applicants contacted, number of applicants interviewed on first and second interview, number of minorities interviewed on first and second interview, number of women interviewed on first and second interview, name(s) of interviewer(s), name(s) of candidate(s) nominated and a brief statement describing the recruitment efforts, the results of those efforts and the reasons for selection of candidate(s).</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices</p>	<p>Retain for three years from date of related hiring action, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
<b>PERSONNEL RECORDS PER DIEM</b>		
PPD-1	<p><b>PER DIEM COURT INTERPRETERS APPLICATIONS FOR EMPLOYMENT</b></p> <p>Documents submitted by applicants to become a Per Diem Court Interpreter. Information includes, but is not limited to: language spoken, name, address, home and business telephone numbers, social security number, citizenship status, age (if under 18 years of age), criminal history, employment history, education and references.</p> <p><b>a) NON QUALIFIED PER DIEM COURT INTERPRETERS</b></p> <p><b>OFFICES OF RECORD:</b> District Offices and Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts and District Offices</p> <p><b>b) QUALIFIED PER DIEM COURT INTERPRETERS</b></p> <p><b>OFFICES OF RECORD:</b> District Offices and Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts and District Offices</p>	<p>Considered part of <b>PER DIEM COURT INTERPRETERS QUALIFICATIONS REVIEW RECORDS.</b></p> <p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PPD-2	<p><b>PER DIEM COURT INTERPRETERS INSTRUCTIONS TO CANDIDATES</b></p> <p>Instructions given to per diem interpreter applicants prior to taking the qualifying oral examination. Contains acknowledgment that applicant has read and understood the instructions. Information includes, but is not limited to: name of applicant, address, social security number, date of examination, candidate's signature, test room number and judicial district.</p> <p><b>a) NON QUALIFIED PER DIEM COURT INTERPRETERS</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> District Offices</p> <p><b>b) QUALIFIED PER DIEM COURT INTERPRETERS</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Considered part of <b>PER DIEM COURT INTERPRETERS QUALIFICATIONS REVIEW RECORDS.</b></p> <p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PPD-3	<p><b>PER DIEM COURT INTERPRETERS OATHS OF OFFICE</b></p> <p>Documents signed by Per Diem Court Interpreters pledging support for the United States Constitution and New York State Constitution.</p> <p><b>a) NON QUALIFIED PER DIEM COURT INTERPRETERS</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division Of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts and District Offices</p> <p><b>b) QUALIFIED PER DIEM COURT INTERPRETERS</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division Of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts and District Offices</p>	<p>Considered part of <b>PER DIEM COURT INTERPRETERS QUALIFICATIONS REVIEW RECORDS.</b></p> <p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PPD-4	<p><b>PER DIEM COURT INTERPRETERS ORAL EXAMINATION TAPES</b></p> <p>Tapes containing oral examinations administered to Per Diem Court Interpreter applicants.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PPD-5	<p><b>PER DIEM COURT INTERPRETERS ORIENTATION CONFIRMATIONS</b></p> <p>Documents used to confirm that the Interpreter Orientation Video has been viewed by the Court Interpreter.</p> <p><b>OFFICES OF RECORD:</b> District Offices</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain for fifty years, then destroy.</p> <p>-----</p>

R.S. #	RECORD SERIES	RETENTION
PPD-6	<p><b>PER DIEM COURT INTERPRETERS QUALIFICATION REVIEW RECORDS</b></p> <p>Files containing PER DIEM COURT INTERPRETERS APPLICATIONS FOR EMPLOYMENT, PER DIEM COURT INTERPRETERS INSTRUCTIONS TO CANDIDATES, PER DIEM COURT INTERPRETERS ORAL TEST RATING SHEETS and PER DIEM COURT INTERPRETERS PASS/FAIL LETTERS. Files may also contain PER DIEM COURT INTERPRETERS OATHS OF OFFICE.</p> <p>a) <b>FOR NON QUALIFIED PER DIEM COURT INTERPRETERS:</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> District Offices</p> <p>b) <b>FOR QUALIFIED PER DIEM COURT INTERPRETERS</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Retain for three years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PPD-7	<p><b>PER DIEM COURT INTERPRETERS REGISTRY</b></p> <p>Perpetual list of all qualified Per Diem Court Interpreters. List is updated periodically and sent to all New York City Courts and Administrative Offices outside New York City. Registry indicates name and address of qualified court interpreter, court/judicial district, home and business telephone numbers.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Personnel Unit</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Retain until updated, then destroy.</p> <p>Retain until updated, then destroy.</p>
PPD-8	<p><b>PER DIEM COURT INTERPRETERS SCHEDULES</b></p> <p>Monthly schedules of assignments for Court Interpreters. Schedule indicates date and type of interpreter needed.</p> <p><b>OFFICES OF RECORD:</b> Courts and District Offices when they schedule assignments</p> <p><b>NON RECORD COPIES:</b> Courts and District Offices when they are not the Offices of Record</p>	<p>Retain until updated, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
<b>PERSONNEL RECORDS TIME AND LEAVE</b>		
<b>PTL-1</b>	<p><b>ACCRUAL/OVERTIME RECORDS</b></p> <p>Records that document the accrual and/or overtime process for U.C.S. employee(s). Includes, but is not limited to: Overtime and Holiday Pay Reimbursement Request Forms (UCS-38), Hospital Arraignment Reports, Employee Organizational Leave - Monthly Reporting Forms, compensatory time records and any additional overtime records other than time sheets and/or time cards.</p> <p><b>OFFICES OF RECORD: Time and Leave Offices:</b>  Appellate Courts,  Court of Claims,  District Offices 3 to 10 and  O.C.A. Payroll - N.Y.C.  (Time and Leave Unit)</p> <p><b>NON RECORD COPIES: Courts other than those listed above,</b>  N.Y.C. County Clerks and  O.C.A. Divisions/Offices</p>	<p>Retain for six years, then destroy.</p> <p>Retain for one year, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PTL-2	<p><b>ALTERNATIVE WORK SCHEDULE DOCUMENTATION</b></p> <p>Documents used to record alternative work schedules, e.g. Alternative Work Schedule Option Request Forms.</p> <p><b>a) CHANGE IN STATUS</b> (e.g., full time to part time)</p> <p><b>OFFICES OF RECORD: Payroll Offices:</b> Albany Central Payroll, Appellate Courts, Court of Claims, District Offices 9 and 10 and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices (duplicates)</b></p> <p><b>b) CHANGE IN HOURS, NO CHANGE IN STATUS</b></p> <p><b>OFFICES OF RECORD: Time and Leave Offices:</b> Appellate Courts, Court of Claims District Offices 3 to 10 and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices (duplicates)</b></p>	<p>Retain for three years or until status is changed again, whichever is longer, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain until hours are changed again, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PTL-3	<p><b>CHARGE/LEAVE RECORDS</b></p> <p>Records that document the leave process for U.C.S. employees. Includes, but is not limited to: leave of absence records, military leave service records, Applications for Leave (UCS-48), Applications for Voluntary Leave Without Pay Program - 10 days' Maximum (UCS-48 SPEC), Leave Applications, Applications for Family and Medical Leave (FMLA-2), Designations of Family and Medical Leave (FMLA-1), Certificates of Physician form (WH-38C), Certifications of Health Provider (WH-380), Responses to Family and Medical Leave Act Requests (FMLA-3), and Family and Medical Leave Act Employee Files (containing FMLA 1-3 and related materials).</p> <p><b>OFFICES OF RECORD: Time and Leave Offices:</b>  Appellate Courts,  Court of Claims,  District Offices 3 to 10 and  O.C.A. Payroll - N.Y.C.  (Time and Leave Unit)</p> <p>Office of Court Administration  Division of Human Resources  Personnel Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices,  N.Y.C. County Clerks and  O.C.A. Divisions/Offices  (duplicates)</p>	<p>Retain for six years,  then destroy.</p> <p>Retain for three years,  then destroy.</p> <p>Retain for one year,  then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PTL-4	<p><b>MANAGEMENT RECORDS FOR TIME AND LEAVE</b></p> <p>Records used to manage time and leave processes. Includes, but is not limited to: reports, employee control records and scheduling records.</p> <p><b>a) CONTROL RECORDS**</b></p> <p>Detailed account or statement used for managing the time and leave processes. Includes, but is not limited to: Master Leave Control Records and Family and Medical Leave Act Tracker Records.</p> <p><b>OFFICES OF RECORD: Originating Offices:</b> Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPIES: Non Originating Offices (duplicates)</b></p> <p><b>b) SCHEDULING RECORDS</b></p> <p>Records used to schedule staff assignments and work related activities. Includes, but is not limited to: Time and Leave Scheduling Books, Court Reporter Scheduling Records, Annual Vacation Request Forms and Daily Time Off Request Forms.</p> <p><b>OFFICES OF RECORD: Originating Offices:</b> Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPIES: Non Originating Offices (duplicates)</b></p>	<p>Retain for six years, then destroy.</p> <p>Retain for one year, then destroy.</p> <p>Retain for one year, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

\*\* Does not include records maintained for Workers' Compensation Case files.  
(See PERSONNEL RECORDS - WORKERS' COMPENSATION)

R.S. #	RECORD SERIES	RETENTION
PTL-5	<p><b>SICK LEAVE PROGRAM RECORDS</b></p> <p>Records created to document employee participation in the Sick Leave Bank or Sick Leave Donation Program.</p> <p><b>a) SICK LEAVE BANK COMMITTEE MEMORANDUMS</b></p> <p>Memorandum sent by the Deputy Chief Administrative Judge's Office indicating the approval or denial for Sick Leave Bank Credits.</p> <p><b>OFFICES OF RECORD: Pending future appraisal.</b></p> <p><b>NON RECORD COPIES: Pending future appraisal.</b></p> <p><b>b) SICK LEAVE BANK COURT SYSTEM MEMBERS LISTS</b></p> <p>List of current Unified Court System employees enrolled in the Sick Leave Banks.</p> <p><b>OFFICE OF RECORD: Office of Court Administration Division of Human Resources Employee Relations Unit</b></p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices</b></p>	<p>Pending future appraisal.</p> <p>Pending future appraisal.</p> <p>Pending future appraisal.</p> <p>Retain until an updated list is received, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PTL-5	<p><b>SICK LEAVE PROGRAM RECORDS (continued)</b></p> <p><b>C) SICK LEAVE BANK MEMBERSHIP REPORTS</b></p> <p>Reports listing the names of Sick Leave Bank Members and number of sick leave credits donated.</p> <p><b>OFFICE OF RECORD: Office of Court Administration Division of Human Resources Employee Relations Unit</b></p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices</b></p>	<p>Retain until information is data entered and quality control has been conducted, then destroy.</p> <p>Retain for two years, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PTL-5	<p><b>SICK LEAVE PROGRAM RECORDS (continued)</b></p> <p><b>d) SICK LEAVE DONATION PROGRAMS' ENROLLMENT FORMS</b></p> <p><b>Includes: Sick Leave Bank - Election Donation Participation Forms and Sick Leave Donation Program Forms (UCS-39).</b></p> <p><b>1) SICK LEAVE BANK ELECTION DONATION PARTICIPATION FORMS</b></p> <p><b>OFFICES OF RECORD: N.Y.S. Uniform Court Officers Association and Ninth Judicial District Court Employees Association</b></p> <p><b>Office of Court Administration Division of Human Resources Employee Relations Unit</b></p> <p><b>Time and Leave Offices: Appellate Courts, Court of Claims, District Offices 3 to 10 and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</b></p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Payroll - N.Y.C. (Time and Leave Unit) (duplicates)</b></p>	<p><b>To be determined by the Associations.</b></p> <p><b>Pending future appraisal.</b></p> <p><b>Retain until SICK LEAVE BANK MEMBERSHIP REPORT is completed, then destroy.</b></p> <p><b>Retain until no longer needed, then destroy.</b></p>

R.S. #	RECORD SERIES	RETENTION
PTL-5	<p><b>SICK LEAVE PROGRAM RECORDS (continued)</b></p> <p><b>d) SICK LEAVE DONATION PROGRAMS' ENROLLMENT FORMS (continued)</b></p> <p><b>2) SICK LEAVE DONATION PROGRAM FORMS</b></p> <p><b>OFFICES OF RECORD: Time and Leave Offices: Appellate Courts, Court of Claims, District Offices 3 to 10 and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</b></p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices (duplicates)</b></p>	<p><b>Retain for three years, then destroy.</b></p> <p><b>Retain until no longer needed, then destroy.</b></p>

R.S. #	RECORD SERIES	RETENTION
PTL-6	<p><b>SUPPORTING DOCUMENTATION FOR ABSENCES</b></p> <p>Documents submitted by U.C.S. employees to verify absences from work.</p> <p>a) <b>PRIOR TO JULY 1999</b></p> <p><b>OFFICES OF RECORD:</b> Time and Leave Offices: Appellate Courts, Court of Claims, District Offices 3 to 10 and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices (duplicates)</p> <p>b) <b>AFTER JUNE 1999</b></p> <p><b>OFFICES OF RECORD:</b> Appellate Courts, Court of Claims, District Offices 3 to 10, N.Y.C. Courts, N.Y.C. County Clerks and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices (duplicates)</p>	<p>Retain for three years or until no longer needed, whichever is shorter, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for three years or until no longer needed, whichever is shorter, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PTL-7	<p><b>TIME SHEETS/CARDS (CP-8, UCS-36, UCS-37and UCS-37A)</b></p> <p>Records that document employee accruals and charges to personal time. Includes, but is not limited to: employee time sheets, N.Y.C. Courts Attendance Reports and time cards*.</p> <p>a) PRIOR TO JANUARY 1978</p> <p><b>OFFICES OF RECORD: Courts, District Offices 3 to 10, N.Y.C. County Clerks and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</b></p> <p><b>NON RECORD COPIES: None</b></p>	<p>Retain time sheets/cards for fifty-five years, then destroy. If employee is still on an active payroll after fifty-five years, retain for an additional six years after separation, then destroy.</p> <p>-----</p>

\* No longer created.

R.S. #	RECORD SERIES	RETENTION
PTL-7	<p><b>TIME SHEETS/CARDS (continued)</b></p> <p><b>b) JANUARY 1, 1978 TO PRESENT: EMPLOYEES ELIGIBLE FOR TERMINAL LEAVE</b></p> <p><b>OFFICES OF RECORD: Time and Leave Offices: Appellate Courts, Court of Claims, District Offices 3 to 10, and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</b></p> <p><b>N.Y.C. County Clerks and N.Y.C. Surrogate's Courts (January 1, 1978 through August 2, 1990 only)</b></p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices (duplicates)</b></p>	<p><b>Retain time sheets/cards for fifty- five years, then destroy. If employee is still on an active payroll after fifty-five years, retain for an additional six years after separation, then destroy.</b></p> <p><b>Retain time sheets/cards for fifty- five years, then destroy. If employee is still on an active payroll after fifty-five years, retain for an additional six years after separation, then destroy.</b></p> <p><b>Retain for one year, then destroy.</b></p>

R.S. #	RECORD SERIES	RETENTION
PTL-7	<p><b>TIME SHEETS/CARDS (continued)</b></p> <p><b>c) JANUARY 1, 1978 TO PRESENT: EMPLOYEES NOT ELIGIBLE FOR TERMINAL LEAVE</b></p> <p><b>OFFICES OF RECORD: Time and Leave Offices: Appellate Courts, Court of Claims, District Offices 3 to 10, and O.C.A. Payroll - N.Y.C. (Time and Leave Unit)</b></p> <p><b>N.Y.C. County Clerks and N.Y.C. Surrogate's Courts (January 1, 1978 through August 2, 1990 only)</b></p> <p><b>NON RECORD COPIES: Courts, District Offices, N.Y.C. County Clerks and O.C.A. Divisions/Offices (duplicates)</b></p>	<p><b>Retain for six years, then destroy, except for the last time sheet/card which should be retained for fifty-five years after separation from employment, then destroy.</b></p> <p><b>Retain for six years, then destroy, except for the last time sheet/card which should be retained for fifty-five years after separation from employment, then destroy.</b></p> <p><b>Retain for one year, then destroy.</b></p>

R.S. #	RECORD SERIES	RETENTION
<b>PERSONNEL RECORDS TRAINING</b>		
PRT-1	<p><b>COURT OFFICER UNIT TRAINING CERTIFICATIONS</b></p> <p>Certifications that the unit training program, as set forth in the Court Officers Academy Syllabus, has been conducted for the newly assigned Court Officers in the Unit Training Officers command.</p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Court Operations Security Operations Unit</p> <p><b>NON RECORD COPIES:</b> Courts</p>	<p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PRT-2	<p><b>EMPLOYEE TRAINING ATTENDANCE RECORDS</b></p> <p>Records used to track attendance of employees at meetings and training seminars held in the judicial district.</p> <p><b>OFFICES OF RECORD:</b> District Offices</p> <p><b>NON RECORD COPY:</b> None</p>	<p>Retain until no longer needed, then destroy.</p> <hr/>

R.S. #	RECORD SERIES	RETENTION
PRT-3	<p><b>EMPLOYEE TRAINING CLASS ATTENDANCE SHEETS</b></p> <p>Documents used by the Unified Court System to track attendance at Non Judicial training sessions. Information includes, but is not limited to: course name, date(s) held, location, name(s) of trainer(s), name(s) of participant(s), social security number(s), title(s), court name, court address, room number, city and zip code, work telephone number(s), date(s) of attendance and signature(s) of participant.</p> <p><b>a) ATTENDANCE SHEETS FOR NON PEACE OFFICER TRAINING CLASSES</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Human Resources Education and Training Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p> <p><b>b) ATTENDANCE SHEETS FOR PEACE OFFICER TRAINING CLASSES</b></p> <p><b>OFFICE OF RECORD:</b> Office of Court Administration Division of Court Operations Security Operations Unit</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for three years or until no longer needed, then destroy.</p> <p>Retain until no longer needed, then destroy.</p> <p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PRT-4	<p><b>STATE OF NEW YORK TUBERCULOSIS CONTROL PLAN TRAINING RECORDS</b></p> <p>Certifications by training instructor that the training program conducted on the stated date for the list of employees indicated covered all required information in section III B of the Unified Court System's Tuberculosis Control Plan.</p> <p><b>OFFICE OF RECORD:</b> Office Of Court Administration Division of Court Operations Security Operations Unit</p> <p><b>NON RECORD COPIES:</b> District Offices</p>	<p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PRT-5	<p><b>TRAINING CERTIFICATES</b></p> <p>Certificates issued to Unified Court System employees upon completion of training programs, e.g. Certificates for Right To Know, Hazardous Waste Management and Respirator Fitting - Use and Care. Information includes, but is not limited to: employee name, social security number, court/agency, training program attended, date of training, place of training, trainer's signature and employee's signature.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they maintain the "Personnel Folder"</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for fifty years, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
<b>PERSONNEL RECORDS WORKERS' COMPENSATION</b>		
<b>PWC-1</b>	<b>ADVISEMENT LETTERS</b>  Form letters sent to potential Workers' Compensation claimants. Letter used to inform employees of available benefits and forms that must be completed.  <b>OFFICES OF RECORD:</b> Originating Courts, District Offices and O.C.A. Divisions/Offices  <b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record	Retain for three years after deadline for filing claim, then destroy.  Retain until no longer needed, then destroy.

R.S. #	RECORD SERIES	RETENTION
PWC-2	<p><b>CERTIFICATES OF ATTENDING PHYSICIANS (UCS-58)</b></p> <p><b>Certificates submitted by physicians for line of duty injuries sustained by employees of the Unified Court System. Certificate indicates employee's condition, treatment and prognosis for recovery.</b></p> <p><b>OFFICES OF RECORD: Office of Court Administration Division of Human Resources Employee Relations Unit, Courts, District Offices and O.C.A. Divisions/Offices when they maintain the "Workers' Compensation Case File"</b></p> <p><b>NON RECORD COPIES: Courts, District Offices and O.C.A. Divisions/Offices</b></p>	<p><b>Retain for 18 years from date of injury or death, then destroy.</b></p> <p><b>OR</b></p> <p><b>Retain for 8 years from date of last payment of compensation, then destroy.</b></p> <p><b>OR</b></p> <p><b>Retain for 7 years after case closed without an award or trial, then destroy.</b></p> <p><b>Retain until no longer needed, then destroy.</b></p>

R.S. #	RECORD SERIES	RETENTION
PWC-3	<p><b>EMPLOYEE'S CLAIM FOR COMPENSATION FORMS (C-3)</b></p> <p>Claim forms submitted by employees to the Workers' Compensation Board, for compensation of a disability resulting from an accidental injury or occupational disease arising out of and in the course of the employees employment.</p> <p><b>OFFICES OF RECORD: New York State Workers' Compensation Board</b></p> <p><b>Office of Court Administration Division of Human Resources Employee Relations Unit, Courts, District Offices and O.C.A. Divisions/Offices when they maintain the forms</b></p> <p><b>NON RECORD COPIES: Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</b></p>	<p>To be determined by New York State Workers' Compensation Board</p> <p>Retain for 18 years from date of injury or death, then destroy. OR Retain for 8 years from date of last payment of compensation, then destroy. OR Retain for 7 years after case closed without an award or trial, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PWC-4	<p><b>STATUTORY WORKERS' COMPENSATION BENEFITS FORMS</b></p> <p>Forms used to record receipt of <b>ADVISEMENT LETTERS</b> by Unified Court System employees.</p> <p><b>OFFICES OF RECORD:</b> Originating Courts, District Offices and O.C.A. Divisions/Offices</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for three years after deadline for filing claim, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>
PWC-5	<p><b>WORKERS' COMPENSATION CASE FILES</b></p> <p>Records of reports and/or claims related to Workers' Compensation. Includes, but is not limited to: leave applications, medical records, correspondence and Workers' Compensation Board decision.</p> <p><b>OFFICES OF RECORD:</b> Office of Court Administration Division of Human Resources Employee Relations Unit, Courts, District Offices and O.C.A. Divisions/Offices when they maintain the "Workers' Compensation Case File"</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for 18 years from date of injury or death, then destroy.</p> <p>OR</p> <p>Retain for 8 years from date of last payment of compensation, then destroy.</p> <p>OR</p> <p>Retain for 7 years after case closed without an award or trial, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

R.S. #	RECORD SERIES	RETENTION
PWC-6	<p><b>WORKERS' COMPENSATION STATUS REPORTS</b></p> <p>Status reports completed by Unified Court System employees that have filed a Workers' Compensation Claim. Report indicates: employee's name, social security number, title, work location, negotiating unit code, nature of illness and part of body affected, hospitalization information, State Insurance Fund information, Workers' Compensation award information, number of days employee was absent, of the days absent how many days were charged to sick leave, annual leave or Workers' Compensation leave with pay, date employee returned to work or last date employee was absent due to the injury or illness, additional relevant information (if necessary), date and signature of employee.</p> <p><b>OFFICES OF RECORD:</b> Courts, District Offices and O.C.A. Divisions/Offices when they maintain the reports</p> <p><b>NON RECORD COPIES:</b> Courts, District Offices and O.C.A. Divisions/Offices when they are not the Offices of Record</p>	<p>Retain for 18 years from date of injury or death, then destroy.</p> <p>OR</p> <p>Retain for 8 years from date of last payment of compensation, then destroy.</p> <p>OR</p> <p>Retain for 7 years after case closed without an award or trial, then destroy.</p> <p>Retain until no longer needed, then destroy.</p>

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