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To: Hon. Ariel A. Rodriguez
Assignment Judges
Hon. Patrick DeAlmeida

From: Glenn A. Grant, J.A.D.

Subj: **RECORDS RETENTION SCHEDULES – NEW (OMBUDSMAN); REVISED (JURY; TAX COURT; EEO/AA; PROFESSIONAL SERVICES)**

Date: April 12, 2012

Directive # 01-12
[Modifies Directive #03-01 in Part]

This directive promulgates the following additions and revisions to Judiciary Records Retention Schedules as approved by the Supreme Court, to be effective immediately: (a) new Ombudsman Records Retention Schedule (Schedule #39) (1 page); (b) revised Jury Management Records Retention Schedule (Scheduled #15) (4 pages); (c) revised Tax Court Records Retention Schedule (Scheduled #37) (3 pages); (d) revised EEO/AA Records Retention Schedule (Schedule #01) (3 pages); and (e) revised Professional Services Records Retention Schedule (Scheduled #30) (4 pages). Copies of all are attached.

The revised retention schedules (Jury Management; Tax Court; EEO/AA; Professional Services) supersede the corresponding sections in Directive #03-01 (Judiciary Records Management Policy). The new schedule (Ombudsman) supplements Directive #03-01. The vicinages and the relevant central office offices should proceed with implementation of these retention schedules as expeditiously as practicable. Questions or concerns regarding these schedules or about the records retention process may be directed to Mary Patterson, Assistant Chief in the Superior Court Clerk's Office, by telephone at 609-292-0339 or by Lotus Notes e-mail at Mary.Patterson@judiciary.state.nj.us.

G.A.G.

Attachments

cc: Chief Justice Stuart Rabner
Steven D. Bonville, Chief of Staff
AOC Directors and Assistant Directors
Gurpreet M. Singh, Special Assistant
Clerks of Court
Trial Court Administrators
Beth Ann Strom, Chief, SCCO
Mary Patterson, Assistant Chief, SCCO
ATCAs/Operations Managers

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE	SCHEDULE: OMBUDSMAN
DIRECTIVE #3-01	DATE: ISSUED April 12, 2012 (by Directive #01-12)
This retention schedule has been adopted in accordance with Rule 1:32-2 of the Rules Governing the Courts of the State of New Jersey and N.J.S.A. 2B of the New Jersey Statutes Annotated.	

SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
39-01-00	CASE FILES		
39-01-01	Intake Forms	2 Years	Destroy
39-01-02	Complaint Records	2 years	Destroy
39-01-03	Case Notes	2 years	Destroy
39-02-01	Internal Reference	2 years	Destroy
39-03-01	Correspondence (Includes Litigant letters and responses, correspondence relating to case)	2 years	Destroy
39-04-01	Completed Customer Service Satisfaction Surveys	2 years	Destroy

HISTORICAL NOTE:

This schedule is a compilation of items from the following schedule(s):

- Statewide Ombudsman Committee

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: JURY MANAGEMENT	
DIRECTIVE #3-01		DATE: Issued March 16, 2001 REVISED: April 12, 2012 (by Directive #01-12)	
This retention schedule has been adopted in accordance with Rule 1:32-2 of the Rules Governing the Courts of the State of New Jersey and N.J.S.A. 2B of the New Jersey Statutes Annotated.			
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
15-01-00	State and County Grand Jury		
15-01-01	Attendance Sheets A separate attendance sheet must be retained <u>only in the event</u> that it serves as the only record of grand jurors' attendance and that information is not captured on the Caption or Voting sheets.	10 years after the date on which the grand jury met.	Destroy
15-01-02	Case Caption Sheets The caption sheet is a record of all matters considered by the grand jury in a particular session, no matter their eventual determination by the grand jury as True Bills, no bills, and remands. The Caption Sheet contains the list of cases heard, the jurors in attendance, the voting record of each grand juror for each matter considered, and outcome of the vote for each matter considered. Note: Calendars that double as caption sheets must follow this retention period.	10 years after the date on which the grand jury considered the matters listed.	Destroy

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: JURY MANAGEMENT	
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
15-01-03	Voting Sheets A separate voting sheet must be retained <u>only in the event</u> that it serves as the only record of grand jurors' votes on each matter considered by the grand jury and that information is not captured on the Caption or Voting sheets.	10 years after the date on which the grand jury voted on the matters listed	Destroy
15-01-04	Names of Cases Returned by the Grand Jury in Court (known as Hand-ups and including True Bills, No Bills, and Remands)	5 years after decision	Destroy
15-01-05	Original Presentment (goes to the Assignment Judge or designee, copy to Administrative Director) [Note: Rarely used.]	10 years (If Grand Jury office is designated by Assignment Judge)	Destroy
15-01-06	Minute Sheets / Audio Recording Logs Also called Session Sheets, the Minute Sheets contain information from the Grand Jury proceedings. The minute sheets include but are not limited to the following information: the stated session and date, names of jurors present, vote tally and outcome, witnesses subpoenaed and sworn in, Prosecutor, case caption, offense and docket number. Cross reference Court Reporters Schedule Grand Jury 07-08-00 which also covers the tapes and log sheets. Note: Calendars that double as minute sheets must follow this retention period.	20 years after session date	Destroy

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: JURY MANAGEMENT	
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
15-01-07	<p>Secrecy Oath</p> <p>Paper signed by jurors after taking the Oath of Secrecy. Signed oaths, e.g., grand jury clerks and other Judiciary staff, are to be retained at the Jury Management Office or in the central personnel file. Oaths required for others are to be done (and properly identified) on the record for each session of the grand jury.</p>	5 years	Destroy
	<p>NOTE:</p> <p>Documents used as a source for entry of data into an automated system may be destroyed, without the usual required authorization, upon entry and verification of data into the automated system.</p>	Retain until no longer needed	Destroy
	<p>NOTE – Calendars:</p> <p>This record is used solely for listing cases to be heard. Calendars that double as minute or caption sheets must follow the retention for those records.</p>		

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: JURY MANAGEMENT	
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
15-02-00	Grand and Petit Jury Lists		
15-02-01	Certified Lists	5 years	Destroy
15-02-02	Uncertified Lists	5 years	Destroy
15-03-00	Uniform Questionnaire for Prospective Jurors		
15-03-01	Eligible	3 years	Destroy
15-03-02	Ineligible	3 years	Destroy

HISTORICAL NOTE:

This schedule is a compilation of items from the following schedule(s):

- County Jury Commission (Rev. 10/17/84)

Directive #01-12 revised the schedule as follows:

Series #15-01-00 -- Title was previously State Grand Jury.

Series #15-01-01—Formerly, specified a retention period of five (5) years for lists of state grand juries and other papers relating to summoning, impaneling and the charging of such juries. It was replaced with newly added Series # 15-01-01 through #15-01-07.

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: TAX COURT	
DIRECTIVE #3-01		DATE: Issued March 16, 2001 REVISED: April 12, 2012 (by Directive #01-12)	
This retention schedule has been adopted in accordance with Rule 1:32-2 of the Rules Governing the Courts of the State of New Jersey and N.J.S.A. 2B of the New Jersey Statutes Annotated.			
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
37-01-00	Administrative Records		
37-01-01	Proof of Payroll	3 years	Destroy
37-01-02	Detailed Applications	3 years	Destroy
37-01-03	Income Statements	3 years	Destroy
37-02-00	Audit Reports	Permanent	Permanent
37-03-00	Calendars, Trial and Pretrial	3 years	Destroy
37-04-00	Case Files		
37-04-01	Complaints, Judgments, Final Orders and Case Disposition Sheets for all state and local property tax appeals	Twenty-five (25) years after final disposition*	Destroy
37-04-02	Supplemental Case Documentation, including correspondence, transcripts, motions, notices of trial hearings, withdrawal letters	3 years after final disposition*	Destroy

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: TAX COURT	
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
37-04-03	Local Property Tax Appeals - Stipulations of Settlement	Three (3) years after final disposition *	Destroy
37-04-04	State Tax Appeals – Stipulations of Settlement	Twenty-five (25) years after final disposition *	Destroy
37-05-00	Docket Docket cards are now obsolete. The docket is now maintained electronically. The retention applies regardless of the media used to record the information.	Fifty (50) years after final disposition *	Destroy
37-06-00	Judgment Index – contains information to identify the location of each microfilmed record or original document stored in off-site facility.	Twenty-five (25) years after final disposition *	Destroy
37-07-00	Unpublished Opinions - Division of Tax Appeals and Tax Court Master Set – regardless of media.	Permanent	Permanent
37-08-00	Requests and Authorization for Records Disposal	Fifty (50) years	Destroy
37-09-00	Statistical Reports to the Administrative Office of the Courts	3 years	Destroy
37-10-00	Tapes Sound recordings of Tax Court proceedings	Five (5) years	Destroy
37-11-00	Financial Records	See FINANCIAL RECORDS schedule.	

**JUDICIARY - STATE OF NEW JERSEY
RECORDS RETENTION SCHEDULE**

SCHEDULE:

TAX COURT

*** Final disposition occurs when all appeal time periods have expired or appeals to all courts have been exhausted and disposed.**

NEW PROCEDURE FOR STORING RECORDS: Cases with a final disposition date * of 2000 or later are no longer microfilmed. Case files are retained on-site for three years after final disposition by the highest court. Original documents are then stored in an off-site records storage facility.

HISTORICAL NOTE:

This schedule is a compilation of items from the following schedule(s):

- Clerk of the Tax Court (Rev. 1/23/85)

Directive #01-12 revised the schedule as follows:

Series 37-04-01 – Formerly, Complaints, Judgments and Final Orders were retained permanently; there was no specification for Case Disposition Sheets.

Series 37-04-02 – Formerly, retained three (3) years.

Series 37-04-03 and 37-04-04 were added.

Series 37-05-00 – Formerly, retained permanently.

Series 37-06-00 – Formerly, referred to the Docket Ledger of closed cases which was retained permanently.

Series 37-07-00 – Revised to specify Unpublished Opinions

Series 37-08-00 – Formerly, retained permanently.

Series 37-10-00 – Formerly, retained 6 months (Agency) and 4 ½ years (Records Center).

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: AFFIRMATIVE ACTION / EQUAL EMPLOYMENT OPPORTUNITY	
DIRECTIVE #3-01		DATE: Issued March 16, 2001 REVISED: April 12, 2012 (by Directive #01-12)	
This retention schedule has been adopted in accordance with Rule 1:32-2 of the Rules Governing the Courts of the State of New Jersey and N.J.S.A. 2B of the New Jersey Statutes Annotated.			
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
01-01-00	EEO / Affirmative Action Complaint Case File Contains: Investigation report, correspondence, and relevant case material.	10 years after disposition of complaint is issued	Destroy
01-02-00	Affirmative Action Plan (Copy) Agency's annual goals regarding federal and state Affirmative Action requirements and guidelines mandating equal employment regardless of race, gender, religion, age, national origin, sexual orientation, or physically / mentally challenged. Original retained by the AOC and vicinage EEO/AA Unit / staff.	Retain until superseded.	Destroy
01-03-00	Current Agency Work Force Analysis File (Copy) File contains: Current Agency Work Force Analysis and Current Agency Work Force Analysis by Salary. Original retained by the AOC and vicinage EEO/AA Unit / staff.	3 years	Destroy

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: AFFIRMATIVE ACTION / EQUAL EMPLOYMENT OPPORTUNITY	
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
01-04-00	Affirmative Action Goals by Equal Employment Opportunity Job Category (Copy) Original retained by the AOC and vicinage EEO/AA Unit / staff.	3 years	Destroy
01-05-00	Agency Profile File (Copy) Contains: Current and Projected Employee Profile, Current Agency Profile and Projected RIF by EEOC Category, Current Agency Profile and Projected RIF (Demoted) by EEOC Category, and Current Agency Profile and Projected RIF (Laid Off) by EEOC Category. Original retained by the AOC and vicinage EEO/AA Unit / staff.	3 years	Destroy
01-06-00	Discrimination Complaint Processing Form (Copy) Form to process an informal and formal discrimination complaint. Original retained by the AOC and vicinage EEO/AA Unit / staff.	3 years	Destroy
01-07-00	Applicant Selection Disposition Form (Copy) The original form is kept in Human Resources.	3 years	Destroy

**JUDICIARY - STATE OF NEW JERSEY
RECORDS RETENTION SCHEDULE**

SCHEDULE:
**AFFIRMATIVE ACTION / EQUAL EMPLOYMENT
OPPORTUNITY**

HISTORICAL NOTE:

This schedule is a compilation of items from the following schedule(s):

- State of New Jersey - General Schedule

Directive #01-12 revised the schedule as follows:

Series 01-01-00 – Formerly, retention period was four years after notification of complaint was issued and/or 3 years after appeal and/or court action finalized.

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: PROFESSIONAL SERVICES	
DIRECTIVE #3-01		DATE: Issued March 16, 2001 REVISED: April 12, 2012 (by Directive #01-12)	
This retention schedule has been adopted in accordance with Rule 1:32-2 of the Rules Governing the Courts of the State of New Jersey and <u>N.J.S.A. 2B</u> of the New Jersey Statutes Annotated.			
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
30-01-00	Complaints and Inquiries - Committee Case Files		
30-01-01	Advisory Committee on Judicial Conduct Case Files Confidential case files of the Advisory Committee on Judicial Conduct. Contains letters of complaint against judges. Cases are filed by docket number. Includes: correspondence, notices, and investigator records i.e. subpoenas, depositions, and reports. A summary index file is also maintained. See Rule Governing the Courts 2:15.	30 years	Destroy
30-01-02	Advisory Committee on Professional Ethics Files Files of the Advisory Committee on Professional Ethics Conduct. Contains inquiries to the Committee, correspondence, and the Committee's response to the inquiry. Inquiries are filed by docket number. A summary index file is also maintained. See Rule Governing the Courts: 1:19-1 et seq.	10 years	Destroy

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: PROFESSIONAL SERVICES	
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
30-01-03	Committee on the Unauthorized Practice of Law Files Files of the Committee on the Unauthorized Practice of Law. Contains inquiries to the Committee, correspondence, and the Committee's response to the inquiry. Also contains grievances about unauthorized practice of law by nonlawyers or out-of-state lawyers, investigation, correspondence, and the Committee's disposition. Inquiries and grievances are filed by docket number. A summary index file is also maintained. See Rules Governing the Courts: 1:22-1 et seq.	10 years	Destroy
30-01-04	Committee on Attorney Advertising Files Files of the Committee on Attorney Advertising. Contains inquiries to the Committee, correspondence, and the Committee's response to the inquiry. Also contains grievances about attorney advertising, investigation, correspondence, and the Committee's disposition. Inquiries and grievances are filed by docket number. A summary index file is also maintained. See Rules Governing the Courts: 1:19A-1 et seq.	10 years	Destroy

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: PROFESSIONAL SERVICES	
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
30-02-00	COMMITTEE OPINION FILES		
30-02-01	Opinions Record copies of published opinions by the Advisory Committee on Professional Ethics and the Committee on the Unauthorized Practice of Law.	Permanent	Permanent
30-02-02	Work papers - Opinions	Periodic review	Destroy
30-03-00	LEGAL SERVICE PLANS		
30-03-01	Legal Service Plans Files containing annual registration for legal service plans. See RPC 7.3(e) (4) (vii). Contains legal service plans, correspondence assigning a registration number, annual updates of the plans, and acknowledgement of annual registration.	5 years from most recent annual registration	Destroy

**JUDICIARY - STATE OF NEW JERSEY
RECORDS RETENTION SCHEDULE**

SCHEDULE:

PROFESSIONAL SERVICES

HISTORICAL NOTE:

This schedule is a compilation of items from the following schedule(s):

- Administrative Office of the Courts - Director - Professional Services (Rev. 3/18/87)

Directive #01-12 revised the retention schedule as follows:

Series # 30-01-00 – Formerly, retention period was 60 years for case files of the Advisory Committees on Judicial Conduct, Professional Ethics, and the Unauthorized Practice of Law. Series #30-01-01 through 30-01-03 were added to reduce the retention periods for these case files.

Series # 30-01-04, 30-03-00 and 30-03-01 were added also.