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To: Hon. Carmen Messano
Assignment Judges
Hon. Patrick DeAlmeida

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

Subj: **Directive #06-14**
(Supplements and Modifies
in Part Directive #03-01)

(A) Records Retention Schedules – New (Judiciary Volunteer Programs) and Revised (Financial Records; Legal Counsel to the Administrative Director; Appellate Division; Purchase and Property)

(B) Judiciary Request and Authorization for Records Disposal Form -- Revised

Date: **October 24, 2014**

A. Records Retention Schedules (New and Revised)

This directive promulgates the following additions and revisions to Judiciary Records Retention Schedules (copies attached), to be effective immediately:

- (1) Judiciary Volunteer Programs Records Retention Schedule #40 (1 page) – Adds new schedule.
- (2) Financial Records Retention Schedule #11 (15 pages) – Revises Series 11-42-00, Batch Slips, to reduce the retention period from seven (7) years to one (1) year.
- (3) Legal Counsel to the Administrative Director Records Retention Schedule #20 (1 page) – Revises schedule to provide separate series numbers for each litigation file category: Judiciary, Judges, and Judiciary Employee, and to specify a retention period of twenty (20) years after final disposition for each. Transfers Series 20-01-00, Case Cards – Committee on Opinions, to Retention Schedule #02, Appellate Division.
- (4) Appellate Division Records Retention Schedule #02 (13 pages) – Adds Series 02-13-02, Case Cards – Committee on Opinions, to accommodate transfer of same from Retention Schedule #20, Legal Counsel to the Administrative Director.

(5) Purchase and Property Retention Schedule #32 (4 pages) – Revises Series 32-01-00, Declaration of Property Transfer/Surplus, to add Series 32-01-01, Information Assets and to specify a retention period of five (5) years after disposal or transfer for declarations regarding information assets. Revises Series 32-01-02, Non-Information Assets, to specify a retention period of three (3) years after disposal or transfer for declarations regarding non-information assets. Formerly, all declarations of property transfer/surplus were retained for three (3) years after disposal or transfer.

The revised retention schedules (Financial Records, Legal Counsel to the Administrative Director, Appellate Division, and Purchase and Property) supersede the corresponding sections in Directive #03-01 (Judiciary Records Management Policy). The new schedule (Judiciary Volunteer Programs) supplements Directive #03-01. The vicinages and the relevant central offices should proceed with implementation of these retention schedules as expeditiously as practicable.

B. Revised Records Disposal Form

In addition, this directive supplement promulgates a revision to the Judiciary Request and Authorization for Records Disposal Form (copy attached). The revision deletes the requirement that the Division of Archives and Records Management (DARM) sign the form. The revised form supersedes the version contained in Directive #03-01 (Judiciary Records Management Policy) and should be used effective immediately.

Questions or concerns regarding these schedules or about the records retention process may be directed to Mary B. Patterson, Assistant Chief in the Superior Court Clerk's Office, by telephone at 609-292-0339 or by 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
Clerks of Court
Trial Court Administrators
Gurpreet M. Singh, Special Assistant
Elisabeth Ann Strom, Chief, SCCO
Mary B. Patterson, Assistant Chief, SCCO
Jamar Purnsley, Assistant Chief, SCCO
ATCAs/Operations Managers

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: JUDICIARY VOLUNTEER PROGRAMS | |
|--|--|---|--------------------|
| DIRECTIVE #3-01 | | DATE: ISSUED October 24, 2014 (by Directive # 06-14) | |
| 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 |
| 40-01-01 | Volunteer Personnel File | 6 years after appointment termination | Destroy |
| 40-02-01 | Applicant File (Non-Selected Candidates) | 2 years after decision date | Destroy |
| 40-03-01 | Service Hour Records | 4 years | Destroy |
| 40-04-01 | Training Event File | 4 years | Destroy |
| 40-05-01 | Recognition Event File | 2 years | Destroy |
| 40-06-01 | Recruitment File | 2 years | Destroy |
| 40-07-01 | Volunteer Management Information System (VMIS) | Permanent | Permanent |

Historical Note:

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

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|--|---|---|-------------|
| DIRECTIVE #3-01 | | DATE: Issued March 16, 2001 REVISED: October 24, 2014 (by Directive # 06-14) | |
| 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 |
| | <p>FINANCIAL RECORDS</p> <p>New Jersey Comprehensive Financial System (NJCFs) / New Jersey Management Control System Enhanced (NJMACS-E)</p> <p>These records reflect the financial transactions of state agencies in accordance with the Department of the Treasury's NJCFs and NJMACS-E systems, and are retained in electronic and/or paper format.</p> | | |
| 11-01-00 | <p>Invoice/Quick Invoice (In/QI)</p> <p>Usage: to establish an account(s) receivable file. Formerly known as Accounts Receivable Request. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |

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

SCHEDULE:

FINANCIAL RECORDS

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|---|------------------|-------------|
| 11-02-00 | <p>Cash Receipt/Alternate Cash Receipt/Quick Receipt (CR/C1/QR) and associated CFS Print Screens and documents.</p> <p>Usage: record a bank charge representing checks submitted to the State of New Jersey for payment and subsequently dishonored by a bank; to record refunds of disbursements; and to transmit receipts to be recorded in the general journal. Formerly known as Transmittal of Receipts, Refund of Disbursements, and Advice of Dishonored Check. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |
| 11-03-00 | <p>Agency Contract Order/Grant Loan Order (AO/GO)</p> <p>Usage: obligate funds in an appropriation account approved agency contract when an agency has entered into a formal contract without the approval of the Purchase Bureau; to issue purchase orders directly to vendors; and change any open obligation. Formerly known as Invoice, Agency Contract Obligation, and Change/Cancel Agency Obligation - Purchase Bureau. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|--|--------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-04-00 | Allotment (AL) Usage: allocate funds between the reserve and the current allotment of a given account. Formerly known as Allotment Adjustment. File copy, supporting documentation and electronic record. | 3 years | Destroy |
| 11-05-00 | Appropriation Usage: to establish new appropriation accounts and to adjust the accounts. Formerly known as Appropriation Account Number Request and Appropriation Adjustments. File copy, supporting documentation and electronic record. | 7 years | Destroy |
| 11-06-00 | Expense Budget (EB) Usage: to establish new expense budgets and to adjust the accounts. File copy, supporting documentation and electronic record. | 3 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|--|--------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-07-00 | <p>Accounting Bureau Payment Voucher /Using Agency Payment /Payment Voucher / Vendor Invoice (AV/UA/PV/U1/A1)</p> <p>Usage: reimbursements of service charges from the using agency; to submit a request for vendor payment for goods or services supplied through direct agency purchases, formal purchases, or contract obligations; to establish and maintain a change fund and request for payment of revenue refunds and vendor invoices. Formerly known as Revenue Refund Voucher, Petty Cash Fund Reimbursement, Certificate of Debit and Credit, and Invoice. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |
| 11-08-00 | <p>DBC Purchase Order (DO)</p> <p>Usage: to issue or adjust DBC orders or contracts for architectural and engineering designs. Utilized for building construction alterations and maintenance, buildings and equipment repair, and reservation of funds for a contingency fund. Issued in accordance with the requisition form initiated by a state agency. Formerly known as DBC Order and Change/Cancel Obligation. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |

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

SCHEDULE:

FINANCIAL RECORDS

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|---|------------------|-------------|
| 11-09-00 | <p>Revenue Modification/Cash Receipt (RM/CR)</p> <p>Usage: to defer recognition of revenue and undefer revenue when earned. Is used in conjunction with a balance sheet account code. Formerly known as Deferred Revenue Adjustment. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |
| 11-10-00 | <p>Fiscal Notes Worksheet</p> <p>Usage: determine the cost of implementing a legislative bill if put into law. Original retained by the Department of the Treasury, Office of Management and Budget. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |
| 11-11-00 | <p>DBC Requisition (RD)</p> <p>Usage: to reserve appropriation account funds for architectural, engineering design, building construction, alteration, maintenance, and repair of buildings or equipment; to cancel, decrease, or increase outstanding balances and to make adjustments to an outstanding requisition for Division of Building and Construction. Formerly known as Requisition/Requisition Change - Division of Building and Construction (DBC). File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|---|--------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-12-00 | Accounting Bureau Requisition/Purchase Bureau Requisition (RA/RP) Usage: to cancel, increase, decrease, or create an outstanding or open requisition balance. Formerly known as Requisition Change - Purchase Bureau. File copy, supporting documentation and electronic record. | 7 years | Destroy |
| 11-13-00 | Revenue Budget (RB) Usage: to establish new or change a revenue budget. Formerly known as Revenue Account Number - Agency Request and Revenue Anticipation Adjustments. File copy, supporting documentation and electronic record. | 7 years | Destroy |
| 11-14-00 | Journal Voucher (JV) Usage: to record accruals, adjustments, reclassifications, and reversing entries to accounting records. Formerly known as Journal Entries which were manually recorded in a general ledger. File copy, supporting documentation and electronic record. | 7 years | Destroy |

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

SCHEDULE:
FINANCIAL RECORDS

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|--|------------------|-------------|
| 11-15-00 | <p>Transfer Appropriation</p> <p>Usage: to transfer funds between current fiscal year appropriation accounts. Formerly known as Transfer of Appropriation. File copy, supporting documentation and electronic record.</p> | 7 years | Destroy |
| 11-16-00 | <p>Transfer Budget (TB)</p> <p>Usage: to transfer funds between current fiscal year expense budget accounts. Includes file copy, supporting documentation and electronic record.</p> | 3 years | Destroy |
| 11-17-00 | <p>Travel Voucher/Accounting Bureau Payment Voucher/Using Agency Payment (TV/A1/U1)</p> <p>Usage: to reimburse state employees for travel expenses while on official state business. Formerly known as Travel Expense Invoice. Includes file copy, supporting documentation and electronic record.</p> | 7 years | Destroy |
| 11-18-00 | <p>Travel Authorization (TE) - PB141</p> <p>Usage: to authorize travel for state employees while on official state business. Includes file copy and supporting documentation.</p> | 7 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|--|--------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-19-00 | Expenditure Modification (EM) Usage: to modify recorded expenditures. Formerly known as Disbursement/Journal Entry. Includes file copy, supporting documentation and electronic record. | 7 years | Destroy |
| 11-20-00 | Manual Warrant (MW) Usage: to request and record a manual check. Includes file copy, supporting documentation and electronic record. | 7 years | Destroy |
| 11-21-00 | Federal Aid Master Transaction (FM) Usage: to establish and record a new federal grant program. Includes file copy, supporting documentation and electronic record. | 7 years | Destroy |
| | BANK RECORDS | | |
| 11-22-00 | Bank Statement and Reconciliation Statement reflecting the status of an agency's account. | 7 years | Destroy |
| 11-23-00 | Check File | | |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|--|--|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-23-01 | Check File - Cancelled Checks, Voided Checks, Bounced Checks, Lost Check References and copies of Request for Stop Payment forms sent to JCCU. | 7 years | Destroy |
| 11-23-02 | Check File - Check Register Contains: reconciliation sheet, outstanding check lists, and copies of issued/received checks and check stubs. | 7 years | Destroy |
| 11-23-03 | Bank signature cards | 7 years from date of execution of card | Destroy |
| 11-24-00 | Deposit Slip (Bank) and armored car receipt | 7 years | Destroy |
| 11-25-00 | Bank debit / credit memos and advices | 7 years | Destroy |
| | Books of Account | | |
| 11-26-00 | Account Cards A card is prepared for each case in which security has been posted against the cost. This series succeeds the security cards. | 7 years | Destroy |
| 11-27-00 | Journal - Daily Receipts Book of original entry. This includes: journals, books, computer reports, registers, cash receipts, and copies of daily receipt and reconciliation reports that go into the NJCFS General ledger system or that back up transmittals to the State Treasurer. | 7 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|--|--|--------------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-28-00 | Ledger - General Ledger (Central Office) The general ledger is a transactional database kept by the central office of the Judiciary based upon NJCFS transactions. Central control of open and closed accounts. | Permanent | Permanent |
| 11-29-00 | Ledger - Subsidiary Daily transactions that are verified against the controlling accounts in the General Ledger. | 7 years | Destroy |
| 11-30-00 | Reconciliation Reports Daily and Monthly reports for all automated state and local financial processing systems --ACSES, ACMS, CABS, CAPS, FACTS, etc. | 7 years | Destroy |
| BUDGET RECORDS | | | |
| 11-31-00 | Budget Appropriation Handbook (Copy) Indicates the amount of funds allocated for a department's daily operations during a fiscal year. Original retained by the Department of the Treasury. | | |
| 11-31-01 | Budget Appropriation Handbook - Departmental (Copy) | 3 years | Destroy |

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

SCHEDULE:

FINANCIAL RECORDS

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|--|------------------|-------------|
| 11-32-00 | <p>Budget Planning Documents - Departmental, Divisional, and Subdivisional (Copy)</p> <p>Annually prepared planning documents which include: Program Justification (BB 101), Fiscal and Position Request (BB 102), Revenue Statement (BB 103), Revolving Funds (BB 103A), Evaluation Data, Position Data, and Affirmative Action Data (BB 104 [Diskette]), Priority Request (PD 206), Appropriations Data - Minor Object Detail (IPB Report - IBN311OR [Diskette]), Personnel Data (IPB Report - 1739A), objectives and program descriptions, organization charts, and supporting documentation. Original retained by the Department of the Treasury, Office of Management and Budget.</p> | 3 years | Destroy |
| 11-33-00 | <p>Budget Request - Departmental (Copy)</p> <p>Annual request made to the Department of the Treasury for the allocation of funds for operations during the upcoming fiscal year. Original retained by the Department of the Treasury.</p> | | |
| 11-33-01 | Budget Request - Departmental (Copy) | 3 years | Destroy |
| 11-33-02 | Budget Request - Departmental Work Papers | 3 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|---|--------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-34-00 | Budget Request - Divisional and Subdivisional (Copy) Annual request made to the department's fiscal office for the allocation of funds for operations during the upcoming fiscal year. Original retained by the Department of the Treasury. | | |
| 11-34-01 | Budget Request - Divisional and Subdivisional (Copy) | 3 years | Destroy |
| 11-34-02 | Budget Request - Divisional and Subdivisional (Additional Copy) | 1 year | Destroy |
| 11-34-03 | Budget Request - Divisional and Subdivisional Work papers | 3 years | Destroy |
| | MISCELLANEOUS FINANCIAL RECORDS | | |
| 11-35-00 | Audit Reports | | |
| 11-35-01 | State Agency copy of report prepared by the Office of Legislative Services (OLS), Office of the State Auditor. (Original retained by OLS.) | 3 years | Destroy |
| 11-35-02 | State Agency copy of report prepared by a non-state auditor. | Permanent | Permanent |
| 11-35-03 | Internal Audit Report - Original | 7 years | Destroy |

(The original report is maintained by the Internal Audit Office.)

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

SCHEDULE:

FINANCIAL RECORDS

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|--|------------------|-------------|
| 11-35-04 | Internal Audit Report - Copy | 3 years | Destroy |
| 11-36-00 | <p>Grant File Agreements between state agencies and federal, state, and private institutions for the award of monies to finance operations for state, county, municipal, or private agencies.</p> | | |
| 11-36-01 | <p>Grant File - Approved (Original)</p> <p>File pertains to original documentation for a state agency receiving federal grant monies or for a state agency issuing grant monies.</p> | 7 years | Destroy |
| 11-36-02 | Grant File - Denied (Original and Copy) | 3 years | Destroy |
| 11-37-00 | <p>Off-System Funds/Non-Appropriated Accounts File</p> <p>State agency funds not appropriated by the State Treasurer. File contains: transaction records, receipts/expenditures, banking records, Division of Investment - Fund Investment Reports (copy), and supporting documentation.</p> | 7 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|--|-------------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| | OTHER | | |
| 11-38-00 | Request forms to Judicial Cash Control Unit (JCCU) for funding of local disbursement accounts | 7 years | Destroy |
| 11-39-00 | Escheat Funds Detail file containing reports and information regarding the transfer of unclaimed monies to the State Treasurer | Permanent | Permanent |
| 11-40-00 | Monthly reports JCCU - 004 (copy) | 3 years | Destroy |
| 11-41-00 | Probation Individual Payment Histories These are manually recorded individual payment histories for fines, fees, restitution and support payment made. Includes dates and list of all payments made, check number, balance, receipt copy, etc. which predate the Automated Child Support Enforcement Systems (ACSES) and Comprehensive Adult Probation System (CAPS). | 20 years from last payment recorded | Destroy |
| 11-42-00 | Batch Slips | 1 year | Destroy |
| 11-43-00 | Reports on Filing Fee Revenues and / or statistics. | 10 years | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: FINANCIAL RECORDS | |
|---|---|--------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 11-44-00 | Reports that support the receipt of monies by the court and / or monies owed to the court by attorneys or the general public. Examples could be but are not limited to: NSF computer reports that reflect money due to the courts; computer reports that reflect miscellaneous receipts (writs, copies, exemplifications, etc.); computer reports that track court officer receipts or disbursements. | 7 years | Destroy |

HISTORICAL NOTE:

This schedule contains a compilation of items from the following schedules:

- Financial Records - Management Services
- State of New Jersey - General Schedule
- Law Division - Civil
- Law Division - Criminal
- Law Division - Special Civil Part
- Probation

>Directive # 06-14 revised the schedule as follows: Series #11-42-00, Batch Slips, formerly had a retention period of 7 years.

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: LEGAL COUNSEL TO THE ADMINISTRATIVE DIRECTOR | |
|--|--|---|-------------|
| DIRECTIVE #3-01 | | DATE: Issued March 16, 2001 REVISED: October 24, 2014 (by Directive # 06-14) | |
| 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 |
| 20-01-00 | Litigation Files | | |
| 20-01-01 | Judiciary Files concerning litigation and related information brought against the Judiciary. | 20 years after final disposition | Destroy |
| 20-01-02 | Judges Files concerning litigation and related information brought against and involving Judges. | 20 years after final disposition | Destroy |
| 20-01-03 | Judiciary Employee Files and related information involving Judiciary employee related matters. | 20 years after final disposition | Destroy |

HISTORICAL NOTE:

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

> Administrative Office of the Courts - Director - Legal Research (Rev. 2/19/87)

Directive # 06-14 revised the schedule as follows:

>Series 20-01-00, Case Cards - Committee on Opinions, moved to Retention Schedule #02 - Appellate Division

>Series 20-02-00, Litigation Files -- Judicial employees, was renumbered as Series 20-01-00 through 20-01-03 to provide a 20-year retention

for files concerning litigation brought against the Judiciary, Judges and Judiciary employees. Formerly, litigation files for Judges and judiciary employees had been periodically reviewed; no retention was specified for litigation brought against the Judiciary

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: APPELLATE DIVISION | |
|--|---|---|-------------|
| DIRECTIVE #3-01 | | DATE: Issued March 16, 2001 REVISED: October 24, 2014 (by Directive # 06-14) | |
| 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 |
| 02-01-00 | Briefs, Appendices, and Transcripts on Appeal | | |
| 02-01-01 | Briefs, Appendices, & Criminal Transcripts for calendared cases (Record Copies) Original papers are microfilmed after 75 days and then destroyed after microfilm verification. Impounded and non-impounded cases are filmed on separate reels to insure confidentiality. Microfilm masters are retained permanently in the Division of Archives and Records Management's microfilm vault. | Permanent (Microfilm Vault) | Permanent |
| 02-01-02 | Civil Transcripts | 4 months | Destroy |
| 02-01-03 | Briefs, Appendices & Transcripts for dismissed cases (Original and Copies) | 3 months If not reinstated or retrieved, destroy. | Destroy |
| 02-01-04 | Briefs, Appendices, & Criminal Transcripts (Duplicate | Periodic Review | Destroy |

| | Copies) | (Paper destroyed after record copy sent for microfilming.) | |
|---|---|--|-------------|
| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: APPELLATE DIVISION | |
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 02-01-05 | Briefs, Appendices & Criminal Transcripts (Microfilm copies) For non-impounded cases, one copy of the microfilm is retained in the State Library and the State Archives at their option. For impounded cases, one copy is retained by the Appellate Division. | Periodic Review (Obtain new copies when necessary.) | Destroy |
| 02-02-00 | Case Files Case files are divided into two categories: "A"--appeals as of right, "AM"--motions for leave to appeal. Both of these categories are further subdivided into files that are impounded or non-impounded. "A" files contain all records of filed pleadings and court opinions. "AM" files include briefs, appendices, and transcripts in support of motion. | | |
| 02-02-01 | "A" Case Files (Record Copies) Three years after disposition of appeal, selected docketed | Permanent (Microfilm Vault) | Permanent |

pleadings are microfilmed and then destroyed. (See RETENTION LIST at the end of this schedule to see which docketed pleadings are retained.) Microfilm masters are stored permanently in the Division of Archives and Records Management's microfilm vault.

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

SCHEDULE:

APPELLATE DIVISION

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|---|--|-------------|
| 02-02-02 | "A" Case Files (Copies) Microfilm working copies used in the Appellate Division. | Periodic review (Obtain a replacement microfilm when necessary.) | Destroy |
| 02-02-03 | "AM" Case Files | 5 years | Destroy |
| 02-03-00 | Docket Records Information includes: docket number, name of appellant, name of respondent, names of attorneys, and a summary of all case dates and actions. Formerly entered into "docket books," this information is now recorded in a computer file and converted into computer output microfilm. | | |

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

SCHEDULE:

APPELLATE DIVISION

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|---|---|-------------|
| 02-03-01 | <p>Docket Records - (Record Copies)</p> <p>From 1948 to 1975 Docket Records are in Docket Books. From 1976 through 1989, cumulative data was purged from the automated, docketing system and converted into microfiche of archival quality. Fiche masters are stored permanently in the microfilm vault of the Division of Archives and Records Management.</p> <p>Since September 1989, the Automated Case Management System (ACMS) has been used to docket all appeals. All data since then is still on line and will be archived to a permanent medium per ISD archiving schedule.</p> | Permanent | Permanent |
| 02-03-02 | <p>Docket Records - (End of term purge Microfiche Copies) 1976 to 1989</p> <p>Microfilm working copies used in the Appellate Division.</p> | Periodic review (Obtain a replacement microfilm when necessary.) | Destroy |
| 02-03-03 | <p>OBSOLETE ITEM. NOT IN USE ANYMORE. Docket Records - (Weekly Microfiche Copies) 1976 to 1989</p> | | |

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

SCHEDULE:

APPELLATE DIVISION

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|--|--|-------------|
| 02-04-00 | <p>Indices</p> <p>Annual alphabetical listing of cases which have been disposed.</p> | Permanent | Permanent |
| 02-04-01 | <p>Indices (Record Copies)</p> <p>From 1948 to 1975 Docket Records in Docket Books. From 1976 through 1989 permanent records preserved on microfiche and stored in the microfilm vault of the Division of Archives and Records Management. Since 1989 all data on line. Archiving will take place according to ISD schedule.</p> | Permanent | Permanent |
| 02-04-02 | <p>Indices (Copies)</p> <p>Microfiche copy retained by the Appellate Division for reference.</p> | Periodic review (Obtain replacement microfiche as necessary.) | Destroy |
| 02-05-00 | <p>Opinions (Master)</p> <p>The master is the original document from which the record & subsequent copies are made. The record (docket) copy is retained permanently as part of the case file. (See record series item 02-02-00.)</p> | 3 years | Destroy |

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

SCHEDULE:

APPELLATE DIVISION

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|--|------------------|-------------|
| 02-06-00 | <p>Sentencing Oral Argument (SOA) Tape Recordings</p> <p>Tape recording of oral arguments in SOA cases are transcribed to hard copy transcripts and placed in the case file of each case.</p> | | |
| 02-06-01 | Tapes | Current year | Destroy |
| 02-06-02 | Transcripts | Permanent | Permanent |
| 02-07-00 | Central Research | | |
| 02-07-01 | Year end completed memoranda report (CVC640 & 641) | 5 years | Destroy |
| 02-07-02 | Research reference files including memoranda | 5 years | Destroy |
| 02-07-03 | Monthly production reports to judges | 5 years | Destroy |

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

SCHEDULE:

APPELLATE DIVISION

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|--|--------------------------|-------------|
| 02-07-04 | Comment sheets from judges to attorneys | 5 years | Destroy |
| 02-07-05 | Monthly worksheets and timesheets | Current year | Destroy |
| 02-07-06 | Delivery records to Clerk's Office | 6 months | Destroy |
| 02-08-00 | Calendaring | | |
| 02-08-01 | Calendars, court agendas, notices, worksheets, memos to and from court | 1 year plus current term | Destroy |
| 02-08-02 | Logs of deliveries to court and Central Research, logs of sua sponte cases. | 1 year plus current term | Destroy |
| 02-09-00 | Intake Unit | | |
| 02-09-01 | Copies of fee reports, check return letters, weekly status reports, fee reject letters, letters requesting payment of fees, and letters returning unfiled documents. | 1 year plus current term | Destroy |
| 02-10-00 | Paralegal Review | | |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: APPELLATE DIVISION | |
|---|---|---------------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 02-10-01 | Notice of Appeal(NOA)/Motion for Leave to Appeal(MLA) logs and reject logs, Pro Se kit dist. log, and Paralegal Review Deficient (PRD) log. | 3 years | Destroy |
| 02-10-02 | NOA and MLA reject letters | 2 years | Destroy |
| 02-11-00 | Team 4 | | |
| 02-11-01 | Sentencing Oral Argument (SOA) agendas, C/S/R proceeding list, notices to counsel, AG case assignments. | 1 year plus current year | Destroy |
| 02-12-00 | Civil Appeals Settlement Program (CASP) | | |
| 02-12-01 | Copies of Orders | Current year | Destroy |
| 02-12-02 | Monthly disposition and inventory reports | Maintain year end reports for 5 years | Destroy |
| 02-13-00 | Final Disposition | | |
| 02-13-01 | Confidential judge assignments, opinion publication lists, opinion log, confidential memo to press. | 1 year plus current year | Destroy |

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

SCHEDULE:

APPELLATE DIVISION

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|---|---------------------------|-------------|
| 02-13-02 | <p>Case Cards - Committee on Opinions</p> <p>Each card contains the name of a particular case, court, and judge, where a formal written opinion has been approved for publication by the Committee on Opinions. See, Rules of General Application 1:36 in Rules Governing the Courts of New Jersey.</p> | Periodic Review | Destroy |
| 02-14-00 | Records Management Unit | | |
| 02-14-01 | Term books | Permanent | Permanent |
| 02-14-02 | Box sheets with reel numbers | 10 years | Destroy |
| 02-14-03 | Warehouse & Records Center Logs | Permanent | Permanent |
| 02-14-04 | Vehicle mileage charts | 2 years plus current year | Destroy |
| 02-15-00 | Reporting Services | | |
| 02-15-01 | Receipts log of audio/video tapes sold | 5 years plus current year | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: APPELLATE DIVISION | |
|---|---|---------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 02-15-02 | Video tapes sent used for transcription | 1 year plus current year | Destroy |
| 02-15-03 | Out-of-court time log for supervisor and assistant supervisor | 3 years | Destroy |
| 02-15-04 | Transcripts paid for by Reporting Services | 1 year plus current year | Destroy |
| 02-15-05 | Transcripts monitoring data | 5 years plus current year | Destroy |
| 02-15-06 | Court Reporter evaluations | 7 years after final rating | Destroy |
| 02-15-07 | Court Reporter furlough requests | 2 years plus current term | Destroy |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: APPELLATE DIVISION | |
|---|--|------------------------------------|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| 02-15-08 | Official Court Reporter (OCR) Financial Report Data Yearly report of fees charged and the fees collected for transcripts as required per N.J.S.A. 2B:7-6. | 7 years | Destroy |
| 02-16-00 | Automated Reports Case management and statistical reports produced from the automated docket. | | |
| 02-16-01 | Weekly Reports | One week | Destroy |
| 02-16-02 | Weekly Summary (CVC606) | Maintain summary page for 10 years | Destroy |
| 02-16-03 | Selected monthly stat reports (Record Copies). CVCM616, 619, 623, 626 (Aug only), 645, 662 and 677. | 10 years | Destroy |
| 02-17-00 | Judge Disqualification Lists & Judge Motion Dist. Lists | 1 year plus current year | Destroy |
| 02-18-00 | Attendance Records | | |
| 02-18-01 | Daily sign-in sheets, daily attendance report, bi-weekly reports, and attendance detail report. | 1 year plus current year | Destroy |
| 02-18-02 | Yearly attendance schedule. | 3 years plus current year | Destroy |

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

SCHEDULE:

APPELLATE DIVISION

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------------------|--|--|-------------|
| Retention List | <p>The following documents are to be <u>retained</u> in the case file for microfilming.</p> <ul style="list-style-type: none"> - All case initiating documents and associated documents - Motion orders excluding judge orders that either only extend time to file a brief or only extend time to file a brief nunc pro tunc - Orders extending time to file an appeal - All trial judge submissions - Letters of non-participation - Letters relying on briefs of co-respondent - Bill of Taxed Costs - All opinions - Orders to Show Cause or any order that involves a sanction - Stipulations of dismissal - All other case disposing documents including case disposing motion orders. Other motion papers will not be retained except for the following two exceptions: - If a motion to supplement the record is granted, the motion and supporting documents will be retained. - When any motion order summarily disposes of a case, a copy of the motion papers will be retained as merits briefs. | <p>Permanent Retain in the case file for microfilming.</p> | |

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: APPELLATE DIVISION | |
|---|---|---|-------------|
| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
| | All other documents, filed and unfiled, will be purged from the case file at the time of microfilm preparation. These include the Case Information Statement, non case dispositional motions, extension letters, all notices, scheduling orders, transcript order forms, Supreme Court documents, and other miscellaneous correspondence. | Purge documents during preparation of case file for microfilming. | Destroy |

HISTORICAL NOTE:

This schedule is a compilation of items from the following schedules:

- > Superior Court - Appellate Division 02/10/98
- > Trial Court Support Operations - Sound Recording Services (2/19/87)
- > Trial Court Support Operations - Court Reporting Services (7/27/88)

Directive # 06-14, revised the schedule as follows:

- > Series #02-13-02, Case Cards- Committee on Opinions, added after being transferred from Retention Schedule #20 - Legal Counsel to the Director

| JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE | | SCHEDULE: PURCHASE & PROPERTY | |
|--|---|--|-------------|
| DIRECTIVE #3-01 | | DATE: March 16, 2001 REVISED: October 24, 2014 (by Directive # 06-14) | |
| 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 |
| 32-01-00 | Declaration of Property Transfer/Surplus | | |
| 32-01-01 | Information Assets | 5 years after disposal or transfer | Destroy |
| 32-01-02 | Non-Information Assets | 3 years after disposal or transfer | Destroy |
| 32-02-00 | Property Removal Pass (AD0219) Authorization signed by authorized Purchase and Property staff when removing assets from the Hughes Justice Complex. | 1 year after property has been returned | Destroy |
| 32-03-00 | Surplus Property File Excess/Surplus Property Notice to state agencies and outside vendors. | Three (3) years and audit | Destroy |
| 32-04-00 | Authorization for Transfer of Surplus Property Authorization for the transfer of surplus property to another State agency or private vendor in accordance with established Treasury surplus procedures. | 3 years after the transfer of the asset | Destroy |

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|---|------------------|-------------|
| 32-05-00 | <p>Fixed Asset Inventory Report Annual listing of all Judiciary Fixed Assets that have been physically inventoried.</p> | 3 years | Destroy |
| 32-06-00 | <p>NJ Judiciary Purchasing Requisition PPI (AD0240) Initial requisition form (plus supporting documents) requesting the purchase of goods and services. Form is used to generate standard Department of Treasury PB- series purchase orders and requisitions.</p> | | |
| 32-06-01 | <p>NJ Judiciary Purchasing Requisition PPI (AD0240) (White copy) This is the original, signed copy of the requisition retained by Purchase and Property within the purchase order file.</p> | 7 years | Destroy |
| 32-06-02 | <p>NJ Judiciary Purchasing Requisition PPI (AD0240) (Copies) The yellow and pink copies are retained by Purchase and Property for purpose of supporting multiple purchase orders and numeric file by requisition number. The goldenrod copy is retained by the requestor.</p> | 3 years | Destroy |
| 32-07-00 | <p>Summary of Telephone Quotations Used to document informal vendor quotations received for smaller purchase requests. Completed by buyer and filed with Agency Purchase Order.</p> | 7 years | Destroy |

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|--|------------------|-------------|
| 32-08-00 | <p>Recommendation for Award without Competitive Bidding Used to document sole source purchases valued under the formal bidding dollar threshold. Completed by buyer and filed with Agency Purchase Order.</p> | 7 years | Destroy |
| 32-09-00 | <p>Agency Purchase Order PB-2 Used to encumber funds and issue to vendor to order goods and services. Agency copy maintained in Agency Purchase Order file.</p> | 7 years | Destroy |
| 32-10-00 | <p>Requisition - Purchase Bureau PB-6 Used to reserve funds in anticipation of the Purchase Bureau's issuance of a purchase order. Original retained by the Purchase Bureau. Agency copy maintained with agency copy of Purchase Order (PB-5)</p> | 3 years | Destroy |
| 32-11-00 | <p>Purchase Order PB-5 Purchase order issued by the Purchase Bureau to vendors. Record copy maintained by the Purchase Bureau. Agency copy maintained in Agency Purchase Order (PB-2) file.</p> | 7 years | Destroy |
| 32-12-00 | <p>Professional Service Agreement Contract form completed between the Judiciary and professional service providers, typically for sole source purchases.</p> | 3 years | Destroy |

| SERIES NO | RECORD TITLE AND DESCRIPTION | RETENTION PERIOD | DISPOSITION |
|-----------|---|---|-------------|
| 32-13-00 | Software License Agreements and Contract Forms Agreements and contracts with vendors that specify terms in addition to standard terms incorporated with Agency Purchase Order. One year agreements maintained with Agency Purchase Order. Multi-year agreements maintained in separate contract file. | 7 years from termination of agreement or contract | Destroy |
| 32-14-00 | Request for Waiver of Advertising (Copy) Used to forgo bid advertising in the event that there is only one supplier, and/or an immediate delivery of an item is necessary. Original retained by the Department of the Treasury. | 7 years | Destroy |

HISTORICAL NOTE:

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

- > Management Services - Purchase and Property (Rev. 5/27/87)
- > State of New Jersey - General Schedule

Directive # 06-14 revised the schedule as follows:

Series 32-01-00, Declaration of Property Transfer/ Surplus, was revised to align with Executive Branch Circular Letter #13-18-DPP, Disposition of Excess and Surplus Computer Equipment, Section IV. Procedure, Subsection O. Therefore, Series 32-01-01 was added to specify a retention period of 5 years after disposal or transfer for declarations regarding information assets, and Series 32-01-02 was added to specify a retention period of 3 years after disposal or transfer for declarations regarding non-information assets. Formerly, all declarations of property transfer/surplus were retained for 3 years after disposal or transfer.

