

**NATIONAL CENTER FOR STATE COURTS**  
**RECORDS MANAGEMENT POLICY**

**RETENTION AND DISPOSITION GUIDELINES FOR**  
**Records created by the various divisions, departments, offices and units**  
**of the National Center for State Courts**  
**And records stored by the National Center for State**  
**Courts under contract with affiliated organizations.**

**ADOPTED**

**APRIL 30, 2001**

**National Center for State Courts**  
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## PREFACE

This policy is published by the National Center for State Courts for use by the various divisions within the National Center. It is designed to apply to all records received, created and stored by the National Center, including records received from organizations under contract with the National Center for Association Services. This policy has been developed and reviewed by representatives of all affected divisions and associations.

This policy was drafted in accordance with generally accepted accounting, auditing, and record keeping standards in use throughout the United States. It includes retention and disposition guidelines common to courts and agencies operating under both federal and state codes. As an internal matter, and as an interim policy, senior managers should approve all destruction of NCSC records, files and material before they are to be destroyed. Destruction of records contained in this policy is to be carried out only by the Facilities Manager after an inventory has been completed by the Facilities Manager of the records to be destroyed.

This policy includes as many categories of records as the divisions' felt was reasonably necessary. It was determined that each specific record did not need to be identified. Managers who do not find a particular record listed should equate that record to something in the policy guideline when requesting authority for destruction. The intention of this policy is to retain only those documents and records that have permanent or long-term value for the National Center and its affiliated associations. All other documents and materials should be disposed of within reasonable time periods. Storage of NCSC records will be done ONLY at a designated storage site. It is intended that the NCSC Library should be the official repository of all official publications, reports and studies.

The retention periods are the MINIMUM amount of time that the records should be marked for destruction.

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**ACCOUNTING DIVISION**

<b><u>Record Type</u></b>	<b><u>Retention Period</u></b>	<b><u>Disposition</u></b>
W-2 Forms/Employer Copy	Permanent	Vital
Financial Reports/Mgmt Rpts	Permanent	Retain
Financial Reports Pension Plan	Permanent	Retain
Pension Records	Retain 10 years	Destroy
403b Records	Retain 5 years	Destroy
Capitoline/Investment Records	Retain 10 years	Destroy
Endowment Records	"	"
Fed/State/Local Tax Returns	"	Retain Permanently
System Files: Gen Ledger etc	"	Vital
Accounts Payable Records	"	"
1099 Forms	Retain 7 years	Destroy
Accounts Payable Vouchers*	Retain 6 years	Destroy
Audit Work Papers	"	"
Bank Statements*	"	"
Bank Reconciliations*	"	"
Charitable Registration Records	"	Destroy
Cancelled Checks*	"	"
Check Registers*	"	"
Deposit Slips/Records*	"	"
Invoices	"	"
Journal Entries	"	"
Purchase Orders*	"	"
Tax Withholding Records*	"	"
Travel Vouchers*	"	"
Section 125 Plan Records	"	"
Sales and Use Tax Records	"	"
Virginia Income Tax Withholding	Retain 5 years	"
Maryland Quarterly Empl Tax	"	"
Virginia Employment Comm Rpt	"	"
Unemployment Tax Return	Retain 4 years	Destroy
Federal Quarterly & Annual Employ. Tax Return	"	"
Child Support & Creditor Garnishments	Retain 3 years	Destroy
Correspondence (General)	"	"

<b>Time Sheets</b>	<b>Retain 2 years</b>	<b>Destroy</b>
<b>Audit Reports</b>	<b>As Needed</b>	<b>Destroy</b>
<b>Grant/Contracts Financial Rpts</b>	<b>Retain 5 years</b>	<b>Destroy (per Research)</b>
<b>Insurance Policies &amp; Files</b>	<b>Retain 2 years</b>	<b>Destroy</b>
<b>Financial Committee Records</b>	<b>Retain 5 years</b>	<b>Destroy</b>

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\* These records should be audited prior to destruction.

## I. ASSOCIATION SERVICES DIVISION

<u>Record Type</u>	<u>Retention Period</u>	<u>Disposition</u>
AJA		
CCJ		
COSCA		
NACM		
NASJE		
NAWJ		
NCACC		
NCCPIO		
NCPJ		
NCTFCREBC		

Subject to NCSC and specific association agreement. The below disposition/retention schedule is recommended.

(Informal note: Supplies, conference materials, promotional materials, name tags, publications etc. should be physically separated from the actual "records" noted above. These materials should be disposed of when out of date or no longer needed with approval of Association Services.

Correspondence	3 Years	Destroy
Board Minutes, Permanent Resolutions, Bylaws, Policies	Permanent	
Committee Reports and Actions	3 Years	Destroy
Conference hand material, programs	(Retain a full copy)	Permanent
Hotel arrangements	3 years following conference	Destroy
Contracts, Grants	Same as Fed/State Requirements	Destroy
Financial Records (receipts, vouchers, registration, revenue, status reports)	6 Years	Destroy
Cancellation Policies, Liability Policy	1 Year from expiration date	Destroy

## II. ASSOCIATION MANAGEMENT

<u>Record Type</u>	<u>Retention Period</u>	<u>Disposition</u>
Correspondence	3 Years	Destroy
H.R. Record	Retain while employee active	Turn over to H.R.
Budget Material (Vouchers, payables, travel)	3 Years	Destroy

**EXECUTIVE DIVISION**

<b><u>Record Type</u></b>	<b><u>Retention Period</u></b>	<b><u>Disposition</u></b>
Corporate Files (Board minutes, by-laws, amendments, Board election results)	Permanent	Microfilm/CD ROM Then, Destroy
Duplicate Files/Records	1-Year	Destroy
Routine Correspondence	3 Years	Destroy
Personnel Files	Retain until Employee is Terminated	Turn over to HR Dept.

## HUMAN RESOURCES DIVISION

<u>Record Type</u>	<u>Retention Period</u>	<u>Disposition</u>
<b>Personnel Files</b>		
Application for Employment	3 years after employee is terminated.	Destroy
Disciplinary Actions		
Performance Evaluations		
Personnel Activity Forms		
Sick/Annual Leave Requests		
W-4 Forms		
Unemployment Compensation		
<b>Recruitment Files</b>		
Advertisements/Notices re Openings	3 Years	Destroy
Applications for Employment/Rejected Reports/Staffing Pattern	1 Year	Destroy
Employee Complaints	2 Years following Resolution	Destroy
Affirmative Action Records	Permanent	Microfilm/CD ROM Then, Destroy
Employee Benefits/Insurance	1 Year after expiration of benefits or contract	Destroy
Correspondence	2 Years	Destroy
Personnel Rules/Handbook	Retain until superceded	
Salary Schedules/Plans	Retain until superceded	
Workers Compensation Records	Retain 3 years after final disposition of claim	
Classification Material/ Job Descriptions	Permanent	

**INFORMATION SERVICES**

<b><u>Record Type</u></b>	<b><u>Retention Period</u></b>	<b><u>Disposition</u></b>
Clips/Items of National Interest	3 Years	Destroy
Correspondence/Project Related	5 Years	Destroy
Topical Areas (i.e. ADR, Drug Courts, Court Literacy, Judicial Independence)	Same as Research Retention Period	Destroy
Gender Bias Topics		
Non-record material	3 Years	Destroy
All other material	Permanent	
Judicial Salary Surveys		
Final report	Permanent	
Data	5 Years	Destroy
SJI Grant Records	As required by Federal Law	Destroy

## INSTITUTE FOR COURT MANAGEMENT

<u>Record Type</u>	<u>Retention Period</u>	<u>Disposition</u>
Training Materials Manuals, tapes, videos, notebooks, textbooks, study guides.	As Needed	Retain Destroy
Partnership Files	3 years following project	Destroy
Application Materials (CEDP)	3 years	Destroy
Contracts	Check with Accounting	Check with Accounting Destroy
Graduate Records (Except Phase III)	3 years after graduation	May Microfilm or CD-ROM, then destroy
CEDP Phase III Papers	Permanent	
Financial Records (Workshops and Seminars)	1 year following workshop	Destroy (If electronically stored)
Project Files	3-5 years after completion of project	Destroy
Routine Correspondence	3 years	Destroy

## INTERNATIONAL DIVISION

<u>Record Type</u>	<u>Retention Period</u>	<u>Disposition</u>
Country Files (Historical and background information)	As needed	Destroy
Contact persons, addresses, communication numbers, records of visits, reports.	Permanent	
Project Reports	Permanent	
Project files and grant records	3 to 5 years as required by law or contract & after end of Program Period.	Destroy
Financial Records (copies)	3 to 5 years	Destroy if Accounting has copy
Routine Correspondence	3 Years	Destroy

At end of Project, reports could be turned over to Library.

**LIBRARY**

**Record Type**

**Retention Period**

**Disposition**

Reports, NCSC Corporate Materials, Publications, Official or Historical Documents and Minutes, Grant and other Financial Materials.

Permanent/as needed.

Retain/as needed.  
Then, destroy

(Note: The library should be the "official repository" of all NCSC materials, both incoming and that generated by NCSC staff. This section will be completed when Knowledge Management is fully staffed and a records expert is hired. Issues concerning public access and privacy should be addressed before completing this section)

## MANAGEMENT INFORMATION SERVICES

<u>Record Type</u>	<u>Retention Period</u>	<u>Disposition</u>
Software	Retain until replaced	
License	Retain including upgrade until replaced	Destroy
Outdated Documentation	As needed	Destroy
	Same as software	Destroy
Archived Tapes	10 Years (At end of tape)	
Stored Files on System	Until archived	Move from stored to Archive, remove from system
Index of Archived Material	Same as Tape	Destroy
Routine Correspondence	3 Years	Destroy

**RESEARCH DIVISION**

<b><u>Record Type</u></b>	<b><u>Retention Period</u></b>	<b><u>Disposition</u></b>
Routine correspondence	5 Years	Destroy
Project Reports	5 Years	Destroy*
Project Report files financial records and correspondence	5 Years	Destroy
Publications	As needed	Retain 5 copies for Library
Surveys	3 years unless part of project	Destroy
Data Base	Retain 5 years or archived sooner	Archive
Research Department Budget internal material worksheets	2 years following budget year	Destroy
Personnel Files	Retain until employee terminates	Turn over to H.R.
Grants and Financial Records	Check with Accounting	

\*At least one copy of any report or document generated from an NCSC project should be kept on file with the library.

## TECHNOLOGY DIVISION

<u>Record Type</u>	<u>Retention Period</u>	<u>Disposition</u>
CTC Files, Reports, Catalogs, Evaluations, Programs, Timesheets, Financial Info, Publications, Lab Notebooks.	Key Samples/Permanent Duplicates/As Needed	Retain Destroy
System Design and Analysis Documents, Record Conversion Plans/Procedures, Vendor Records re Purchases, Upgrades, Repairs, Software.	As needed	Destroy

(Note: The Technology Division will play and is playing a major role in how future records will be created at NCSC. They will also play a major role in existing records conversion through "back scanning", archiving or other forms of records preservation, such as microfilm. Technology and MIS certainly need to coordinate efforts in this regard, as each division has unique but inter-related responsibilities in the records area. More work and input is needed on this section)

**COURT SERVICES DIVISION/DENVER, CO**

<b><u>Record Type</u></b>	<b><u>Retention Period</u></b>	<b><u>Disposition</u></b>
Project Reports and Publications	5 years	Send to NCSC Library* plus archive on system
Project Files, Evaluations,	3 to 5 years (unless otherwise specified in contract)	Archive (includes contract agreement)
Grants, Financial Records.	Check with Accounting	
Meeting Minutes	As Needed	Destroy
Correspondence, Statistics.	3 years	Destroy

- At least one official copy of any document or report (excluding financial records) created out of the Denver Office should be filed and stored with the NCSC library in Williamsburg.

**\*GOVERNMENTAL RELATIONS DIVISION/WASHINGTON, D.C.**

<b><u>Record Type</u></b>	<b><u>Retention Period</u></b>	<b><u>Disposition</u></b>
Reports, Project Files, Evaluations, Grants, Financial Records.	3 to 5 years Check with Accounting	Destroy*
Meeting Minutes	As Needed	Destroy
Routine Correspondence	3 Years	Destroy
Contract Agreements	3 to 5 years at conclusion of contract	Destroy

\*At least one official copy of any document or report (excluding financial records) created out of the D.C. office is filed and stored with the NCSC library in Williamsburg.

End of Manual