



<b>Title:</b> <b>Records Retention and Disposition Policy</b>	<b>Policy Category:</b> <b>Administrative</b>
<b>Issuing Authority:</b> <b>Administration &amp; Finance</b>	<b>Responsibility:</b> <b>Audit &amp; Management Advisory Services</b>
<b>Publication Date:</b> <b>11/15/2022</b>	<b>Next Review Date:</b> <b>11/15/2025</b>

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### **Policy Statement/Background:**

In accordance with Section 57.05 of the NYS Arts and Cultural Affairs Law, official records of state-operated campuses of the State University of New York (SUNY) and SUNY System Administration must be retained and may not be destroyed unless in accordance with applicable records retention schedules. SUNY's Records Retention Policy codifies the retention periods for the various records housed by SUNY campuses, including Stony Brook University. SUNY Policy 6609 has a series of appendices (available through the policy itself) that lists all the various records, the specific period that a campus must retain them, and what records must be kept permanently. When the SUNY schedule does not cover a particular record, Stony Brook University will defer to the New York State schedule (available on the State Archives website, visit: <http://www.archives.nysed.gov>) for the proper retention period.

### **Policy:**

Information that no longer serves a legal, operational, or historic value to Stony Brook University should be disposed of in accordance with the SUNY Records Retention Schedules (found in SUNY Policy 6609 provided below). Departments are required to manage those records for which they are the "official record custodian". It is recommended that departments do not retain secondary copies of records otherwise managed by the official owner.

Stony Brook University shall utilize appropriate means to ensure compliance with the applicable schedules and retention periods. Records that have reached the end of their retention period shall be destroyed by appropriate means depending on the contents and nature of the records, giving due consideration to the confidentiality of the information contained therein. SUNY Policy requires campuses to report annually on records disposition activities. In order to support this reporting, departments are required to submit a [disposition log](#) to the Campus Records Management Officer anytime records are destroyed, within 30 days of such destruction.

Once notification that the records are subject to a litigation hold or if records are otherwise relevant to a legal action or audit, shall result in suspension of routine destruction activities until the records are no longer needed, as determined by the Office of General Counsel. For further information, see [SUNY Policy 6610 Legal Proceeding Preparation \(E-Discovery\) Procedure](#).

When campus related entities such as Stony Brook Foundation, Faculty Staff Association, etc., are acting as custodians of SUNY records, they should follow SUNY's Records Policy and schedule, unless otherwise directed by SUNY. Additionally, the Research Foundation has established its own retention policy for RF records. For further information, see [Records Management Policy](#)

## **Related Procedure**

### **Electronic Imaging**

Unless otherwise specified, records that are listed on the SUNY and NYS schedules may be converted to electronic format and the originals may be destroyed if the imaged copy meets the following requirements:

- the images will accurately and completely reproduce all the information in the records being imaged;
- the imaged records will not be rendered unusable due to changing or proprietary technology before their retention and preservation requirements are met;
- the imaging system will not permit additions, deletions, or changes to the images without leaving a record of such additions, deletions, or changes; and
- designees of the State University of New York will be able to authenticate the imaged records by competent testimony or affidavit which shall include the manner or method by which tampering or degradation of the reproduction is prevented.

## **Warehouse Storage**

Paper records that require warehouse storage must, at a minimum, contain the following information on the exterior of the box (note: Central Stores Warehouse is under no obligation to retrieve and/or store improperly labeled boxes):

- Department Name
- Brief Content Description
- Date of Destruction
- Departmental Numbering (box # 1, 2, 3, etc.)

Request for viewing or retrieval of stored records must be submitted in writing to the Central Stores Warehouse Manager accompanied by department head approval of such review.

### **Definitions:**

None

### **Contact:**

Additional information about this policy is available here:

### **Office of Audit & Management Advisory Services**

291 Administration Building

Stony Brook, NY 11794

(631) 632-1439

[Recordsmanagementofficer@stonybrook.edu](mailto:Recordsmanagementofficer@stonybrook.edu)

### **Relevant Standards, Codes, Rules, Regulations, Statutes and Policies:**

- [NYS Arts and Cultural Affairs Law, Section 57.05](#)
- [SUNY Policy 6609: Records Retention and Disposition](#)
- [SUNY Policy 6610: Legal Proceeding Preparation \(E-Discovery\) Procedure](#)
- [SUNY Research Foundation Records Management Policy](#)
- [Stony Brook Audit & Management Advisory Services Website, Records Management](#)
- [Disposition Log](#)