

# **BURRELL COLLEGE OF OSTEOPATHIC MEDICINE**

## **STANDARD OPERATING PROCEDURES**

<b>Record Retention – Graded Assessment Tools Archiving</b>		<b>SOP #: AA.021.01</b>
Effective Date	7/1/2019	
Last Revision/Review	5/26/2023	

### **1. Purpose**

This SOP outlines the process by which recorded graded documents (to include exams, quizzes, and sign-in sheets) are filed, retired, and archived during the academic year.

### **2. Related Policy/Authority**

This SOP references the guidelines of the AAMC Committee on Students Record at

<https://www.aamc.org/download/448950/data/guidelinesformaintainingactiveandpermanent.pdf>

This SOP references the guidelines of the procedure for “**Student Requests for Grade Review(s)**” (SOP #: **AA.004**)

New Mexico Administrative Code 1.21.2

### **3. Faculty/Staff Responsibilities**

The responsibility for submission of the recorded graded documents (to include exams, quizzes, and sign-in sheets) to their departmental Administrative Assistant falls to the course faculty and the Course Director.

The responsibility for submission of recorded graded documents (to include exams, quizzes, and sign-in sheets) *alphabetized* and labeled with course, name of exam, date, and the AA’s signature falls to the departmental Administrative Assistants. There is a marked box in the office of Academic Affairs for the submissions.

The responsibility for maintaining the master files of recorded graded documents (to include exams, quizzes, and sign-in sheets) for the academic year lies with the administrative support of the Academic Affairs Office. It is also the Academic Affairs Administrative support’s responsibility to ensure the files are secured in locked file cabinets. The two (2) sets of keys to the file cabinets belong to the Department Head of Academic Affairs and administrative support.

The responsibility for retiring the academic year’s master files lies with the administrative support in the Academic Affairs Office.

### **4. Definitions/Abbreviations**

Recorded graded documents include exams, quizzes, competency certifications, assignment completion verifications, and sign-in sheets (as appropriate).

AA is an abbreviation for the departmental Administrative Assistants

### **5. Procedural Steps**

# **BURRELL COLLEGE OF OSTEOPATHIC MEDICINE**

## **STANDARD OPERATING PROCEDURES**

1. Recorded graded documents – electronic copies
  - 1.1. Electronic records of recorded graded assessments delivered through ExamSoft are stored and archived by the Testing Center, under the supervision of the Department Head of Curriculum Effectiveness and Evaluation (CEE).
  - 1.2. The Department Head of CEE will archive the electronic files in a secured electronic storage system (secured computer drive/folder, with specific limited permissions).
  - 1.3. These records will be maintained for at least 2 years from close of calendar year in which the file was created.
2. Recorded graded papers – hard copies
  - 2.1. Recorded graded papers are given to departmental Administrative Assistants by teaching faculty and/or the Course Director for submission to the Office of Academic Affairs.
  - 2.2. Departmental Administrative Assistants prepare the recorded graded papers for submission to the Academic Affairs Administrative support. The grouping of *alphabetized* recorded graded papers will be labeled with the following information;
    - 2.2.1.Course
    - 2.2.2.Exam/quiz name
    - 2.2.3.Date of exam
    - 2.2.4.Departmental Administrative Assistant name
  - 2.3. The Academic Affairs Administrative support will label and file the information by course and academic year in locked filing cabinets which are in the Academic Affairs suite.
  - 2.4. The Academic Affairs Administrative support will, at the end of the academic year, retire the Academic School Year files to a holding area designated by the Coordinator of Operations.
  - 2.5. These records will be maintained for at least 2 years from close of calendar year in which the file was created.
  - 2.6.
3. Recorded graded papers – scanned electronic copies
  - 3.1. Recorded graded papers (hard copies) are given to departmental Administrative Assistants by teaching faculty and/or the Course Director and are scanned and stored as electronic files.
  - 3.2. Departmental Administrative Assistants prepare the electronic files for submission to the Office of Academic Affairs, specifically the Department Head of Student Assessment.
  - 3.3. The Department Head of Student Assessment will archive the electronic files in a secured electronic storage system (secured computer drive/folder, with specific limited permissions).
  - 3.4. These records will be maintained for at least 2 years from close of calendar year in which the file was created.
  - 3.5.
4. Grade Review Request Documents
  - 4.1. Upon completion of the review process, the documents prepared in response to the request will be archived.
    - 4.1.1.The final decision document from the Department Head of Academic Affairs will be forwarded to the Office of the Registrar, where it will be archived in electronic form.

# **BURRELL COLLEGE OF OSTEOPATHIC MEDICINE**

## **STANDARD OPERATING PROCEDURES**

4.1.2. The final decision document from the Department Head of Academic Affairs will also be archived in the Office of Academic Affairs.

4.1.2.1. The Administrative support in the Office of Academic Affairs will archive the electronic version of the document in a secured electronic storage system (secured computer drive/folder, with specific limited permissions).

4.1.2.2. The Academic Affairs Administrative support will label and file the original grade review request document(s) and the final decision document(s) by course and academic year in locked filing cabinets which are in the Academic Affairs suite.

### **6. Reports/Charts/Forms/Attachments/Cross References**

### **7. Maintenance**

This policy will be reviewed as necessary with a review occurring no more than three (3) years since the most recent review.

### **8. Signature**

Approved by	5.26.2023
Department Head of Academic Affairs	Date

### **9. Distribution List**

Internal/External

### **10. Revision History**

Revision Date	Subsection #	Summary of Changes	New/Cancellation/ Replacement Procedure? (if applicable)	Approval Date
1	All	Update to change from Academic Affairs to Pre-Clinical Education; includes change in numbering (from AA to PCE)		7/23/19
2	All	updated dean to department head and Administrative Assistant II to Administrative support.		8/17/2022
5/26/2023	All	Revised for clarity. Updated record destruction timeframe based on NMAC.		7.12.2023