

BURRELL COLLEGE OF OSTEOPATHIC MEDICINE

STANDARD OPERATING PROCEDURES

Record Retention – Graded Assessment Tools Archiving		SOP #: PCE.024.01
Effective Date	7/1/2019	
Last Revision/Review	7/23/19, Reviewed 8/28/19	

1. Purpose

This SOP outlines the process by which recorded graded papers (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.004.00**)

New Mexico Administrative Code 1.21.2

3. Faculty/Staff Responsibilities

The responsibility for submission of the recorded graded papers (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 papers (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 Pre-Clinical Education Administrative Assistant II office space for the submissions.

The responsibility for maintaining the master files of recorded graded papers (to include exams, quizzes, and sign-in sheets) for the academic year lies with the Administrative Assistant II of the Pre-Clinical Education Office. It is also the responsibility of the Pre-Clinical Education Administrative Assistant II to make sure the files are secured in locked file cabinets. The two (2) sets of keys to the file cabinets belong to the Associate Dean of Pre-Clinical Education and the Pre-Clinical Education Administrative Assistant II.

The responsibility for retiring the academic year’s master files lies with the Administrative Assistant II in the Pre-Clinical Education Office.

4. Definitions/Abbreviations

Recorded graded papers 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

1. Recorded graded papers – 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 Assistant Dean of Student Assessment.
 - 1.2. The Assistant Dean of Student Assessment 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 in archives for a minimum of 5 years from the date of graduation or separation from BCOM.
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 Pre-Clinical Education.
 - 2.2. Departmental Administrative Assistants prepare the recorded graded papers for submission to the Pre-Clinical Education Administrative Assistant II. The grouping of *alphabetized* recorded graded papers will be labeled with the below 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 Pre-Clinical Education Administrative Assistant II will label and file the information by course and academic year in locked filing cabinets which are located in the Office of Pre-Clinical Education suite.
 - 2.4. The Pre-Clinical Education Administrative Assistant II 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 in archives for a minimum of 5 years from the date of graduation or separation from BCOM.
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 Pre-Clinical Education, specifically the Assistant Dean of Student Assessment.
 - 3.3. The Assistant Dean 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 in archives for a minimum of 5 years from the date of graduation or separation from BCOM.
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 Associate Dean of Pre-Clinical Education will be forwarded to the Office of the Registrar, where it will be archived in electronic form.

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4.1.2. The final decision document from the Associate Dean of Pre-Clinical Education will also be archived in the Office of Pre-Clinical Education .

4.1.2.1. The Administrative Assistant II, in the Office of Pre-Clinical Education, 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 Pre-Clinical Education Administrative Assistant II 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 located in the Office of Pre-Clinical Education 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 most recent review.

8. Signature

Robert Ketchum, PhD

8/28/19

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