

Adopted: February 22, 2022

ACADEMIC SENATE
of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA
AS-932-22

RESOLUTION ON UPDATING RETENTION OF EXAM AND GRADEBOOK POLICY

Impact on Existing Policy: Replaces course materials retention policies outlined in AS-800-15

1
2 WHEREAS, Cal Poly’s current policy as established in AS-800-15 states: “Exams, papers,
3 projects, or other tangible items used in the evaluation of students need not
4 be retained by the instructor beyond the end of the term of evaluation, if
5 there was an announced opportunity for students to retrieve same during
6 the term. For final exams or other evaluation instruments where no
7 announced opportunity for student review existed before the end of the
8 term, instructors should retain the materials for two full quarters. While
9 special situations may arise requiring deviation from this goal, instructors
10 will be responsible to defend any deviation in the event of a subsequent
11 review of a student's evaluations"; and
12

13 WHEREAS, CSU policy, outlined in the document “Records/Information Retention and
14 Disposition Schedule” Record Identifiers 4.2.20 and 4.2.22, states that final
15 exams (and final graded coursework replacing the final exam) be retained for
16 one year after course completion and the gradebook be retained for five
17 years after course completion; and
18

19 WHEREAS, CSU policy, outlined in the document “Records/Information Retention and
20 Disposition Schedule” Record Identifiers 4.2.24, states that midterm exams
21 and other assessed materials not retrieved by students during the term shall
22 be retained until the end of the term; and
23

24 WHEREAS, Cal Poly’s retention of exams policy as outlined in AS-800-15 is in conflict
25 with existing CSU policy; therefore, be it
26

27 RESOLVED: Cal Poly’s exam retention policy align itself with the CSU policy; and be it
28 further
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- 30 RESOLVED: To comply with 4.2.20, the final exam or graded coursework replacing the
31 final exam shall be retained by faculty for one year after course completion;
32 and be it further
33
- 34 RESOLVED: To comply with 4.2.22, the course gradebook shall be retained for five years
35 after course completion; and be it further
36
- 37 RESOLVED: To comply with and exceed 4.2.24, midterm exams and other assessed
38 materials not retrieved by students during the term shall be retained until
39 the end of the following term (defined as the day grades are due for that term
40 as set by the Registrar's Office); and be it further
41
- 42 RESOLVED: In all cases, either digital or physical retention of records and materials is
43 permissible. In the case of final projects falling under 4.2.20 that produce
44 large physical artifacts, retention of a digital record such as a photo may be
45 appropriate; and be it further
46
- 47 RESOLVED: The language in the appropriate section of the Academic Programs website
48 shall be updated: "Final exams and final graded coursework shall be retained
49 by faculty for one year after course completion. The course gradebook shall
50 be retained for five years after course completion. Midterm exams and other
51 assessed materials not retrieved by students during the term shall be
52 retained until the end of the following term. The end of term is defined as the
53 day grades are due for that term as set by the Registrar's Office. In all cases,
54 either digital or physical retention of materials and records is permissible."
55
56

Proposed by: Academic Senate Executive Committee
Date: January 25, 2022

Supplemental Materials for Resolution on Updating Retention of Exam and Gradebook Policy

The CSU policy on retention of course materials is available in the document "Records/Information Retention and Disposition Schedule":

https://www.calstate.edu/csu-system/records-retention-disposition/Documents/student-records/Student_Records.pdf

The first three pages are attached below for convenience, which includes Record Identifiers 4.2.20, 4.2.22, and 4.2.24 as referenced in the resolution.

Below is a summary of the of Record Identifiers 4.2.20, 4.2.22, and 4.2.24. We have also included the exact Record Title along with this resolution's interpretation of the Record Title.

Record Identifier: 4.2.20

Record Title: "Exams (final)/graded coursework"

Record Title interpretation: The final exam or graded coursework replacing the final exam

Retention Period: "One year after course completion"

Record Identifier: 4.2.22

Record Title: "Grade book - faculty (record of students in course and work completed)"

Record Title interpretation: The course gradebook

Retention Period: "Five years after course completion"

Record Identifier: 4.2.24

Record Title: "Grade reports (midterm)"

Record Title interpretation: Midterm exams and other assessed materials not retrieved by students during the term

Retention Period: "End of term"

The Retention Source Authority for the CSU documentation is based on "American Association of Collegiate Registrars and Admissions Officers (AACRAO)" (©2019 Edition): Student Records Management: Retention, Disposal, and Archive of Student Records. Because AACRAO is the Retention Source Authority, Cal Poly's Registrar's Office was consulted to assist with interpreting the language of the Record Titles.

California State University
RECORDS/INFORMATION RETENTION AND DISPOSITION SCHEDULE

Record Series Identifier	Record Series Name	Admission Records for Students who do not enroll shall be retained for 1 year after the application term had concluded.							
4.0	STUDENT RECORDS								
Record Identifier	Record Title	Custodian of Records	Record Value: O - Operational					Retention Source Authority	Retention Period
			O	F	L	H	V		
4.1	Admissions Records for Applicants Who Enroll							Based on "American Association of Collegiate Registrars and Admissions Officers (AACRAO)" Student Records Management: Retention, Disposal, and Archive of Student Records ©2019 Edition, unless otherwise	
Notes: 1. The retention periods below are based on the following: 2. FERPA states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a 3. Veterans Administration (VA) regulations state that the following student records must be retained for at least three years after termination of enrollment. 4. Educational institutions participating in federal, state, and private programs of low-interest loans to students shall retain student 5. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian									
4.1.1	Admission letters (including admission, denial, or waitlist)		X					AACRAO	3 years after graduation or date of last attendance
4.1.2	Admission letters (Special Programs)		X					AACRAO	3 years after graduation or date of last attendance or until administrative need is satisfied
4.1.3	Correspondence, relevant Waivers of rights of access (admissions) Waiving right to access to admission letters of recommendation		X					AACRAO	3 years after graduation or date of last attendance
4.1.4	Application for admission (or Credit by examination (Reports/scores on Advanced Placement, CLEP, etc.)		X					AACRAO	3 years after graduation or date of last attendance
4.1.5	Entrance examination (Standardized test scores, such as ACT/SAT, LSAT, MCAT, GRE, TOEFL, etc.)		X					AACRAO	1 year after first term of enrollment
4.1.6	Medical records (immunization records)		X					AACRAO	1 year after first term of enrollment
4.1.7	Letters of recommendation (admissions)		X					AACRAO	3 years after graduation or date of last attendance
4.1.8	Military Documents		X					AACRAO	Until Admitted
4.1.9	Placement test scores/reports		X					AACRAO	3 years after graduation or date of last attendance
4.1.10	Placement test scores/reports		X					AACRAO	3 years after graduation or date of last attendance
4.1.11	Placement test scores/reports		X					AACRAO	3 years after graduation or date of last attendance

**California State University
RECORDS/INFORMATION RETENTION AND DISPOSITION SCHEDULE**

4.0 STUDENT RECORDS									
Record Identifier	Record Title	Custodian of Records	Record Value:					Retention Source Authority	Retention Period
			O	F	L	H	V		
4.1.12	Release from high school or Dual Enrollment forms		X					AACRAO	3 years after graduation or date of last attendance
4.1.13	Residency classification forms		X					AACRAO	3 years after graduation or date of last attendance
4.1.14	Transcripts (high school)		X					AACRAO	3 years after graduation or date of last attendance
4.1.15	Transcripts (other colleges)		X					AACRAO	3 years after graduation or date of last attendance
4.2	Student Academic Records								
<p>Notes:</p> <ol style="list-style-type: none"> 1. The retention periods below are based on the following: 2. Any record recommended for permanent retention should be retained in a medium that takes into consideration the nature of the document and its need for 3. The recommended retention period based on graduation or non-attendance should begin with the date of graduation or the date, term, semester and year of 4. FERPA specifically requires institutions to maintain records of requests and disclosures of personally identifiable information except 5. The VA regulations state that the following records must be retained for at least three years after the termination of enrollment. 6. Veterans Administration (VA) regulations require that all advertising, sales, and enrollment materials (e.g. catalogs) used by or on behalf of the institution 7. Educational institutions that participate in federal, state, and private programs of low interest loans must retain for three years after graduation or withdrawal 8. Email regarding student records that are transitory in nature can be discarded when no longer needed. Email and electronic communication that contains 9. Student demographic data and other information about a student who attended the institution will likely need to be kept for a much longer period and/or 									
4.2.1	Academic advisement records (includes records from Academic Advisement Centers, Career Services, Educational Opportunity Programs, Learning Centers and Services to Students with Disabilities Centers)		X					Best Practice	5 years after graduation or date of last attendance
4.2.2	Academic warning (notice of academic action related to academic non-performance/deficiency)		X					Best Practice	5 years after graduation or date of last attendance
4.2.3	Academic suspension (notice of academic action related to academic non-performance/deficiency)		X			X		AACRAO	Permanent
4.2.4	Academic integrity code violations - with sanctions (notice of violation of academic integrity policies including sanctions, if any)		X			X		AACRAO	Permanent
4.2.5	Academic Records - miscellaneous (narrative evaluations, competency assessments, etc.)		X			X		AACRAO	Permanent
4.2.6	Correspondence, student (Related to academic records, inquiries)		X					Best Practice	5 years after graduation or date of last attendance

**California State University
RECORDS/INFORMATION RETENTION AND DISPOSITION SCHEDULE**

4.0 STUDENT RECORDS									
Record Identifier	Record Title	Custodian of Records	Record Value:					Retention Source Authority	Retention Period
			O	F	L	H	V		
4.2.7	Grievance/complaint by student (various course/exam related issues, not grade of FERPA disputes)		X					AACRAO	Until administrative need satisfied
4.2.8	Leave of absence		X					AACRAO	Until administrative need satisfied
4.2.9	Major changes, certification of 2nd majors, minors		X					AACRAO	Until administrative need satisfied
4.2.10	Petitions (exceptions to academic rules)		X					AACRAO	Until administrative need satisfied
4.2.11	Thesis/Dissertation		X			X		AACRAO	Permanent
4.2.12	Transcripts					X		AACRAO	Permanent
4.2.13	Enrollment verifications (verifications of enrollment, graduation, GPA, and other related academics)		X					AACRAO	Until administrative need satisfied
4.2.14	Residency verification records (Documents in support of verifying residency in state for tuition purposes)		X					AACRAO	Until administrative need satisfied
4.2.15	Teacher Certifications		X					AACRAO	Until administrative need satisfied
4.2.16	Transcript requests (Official transcript requests by student)		X					AACRAO	Until administrative need satisfied
4.2.17	Application for degree or other credential (degree application, record of degree name, etc.		X					Best Practice	5 years after graduation or date of last attendance or until administrative need is satisfied
4.2.18	Graduation lists (lists of graduates for graduating class)		X			X		AACRAO	Permanent
4.2.19	Substitutions/waivers (approval to meet program requirements with administrative action)		X					AACRAO	Until administrative need satisfied
4.2.20	Exams (final)/graded coursework		X					AACRAO	One year after course completion
4.2.21	Grade appeal/complaint (student final grade dispute)		X					AACRAO	One year after course completion
4.2.22	Grade book - faculty (record of students in course and work completed)		X					AACRAO	Five years after course completion
4.2.23	Grade change forms (Record of authorization to change grades)		X					AACRAO	Until administrative need satisfied
4.2.24	Grade reports (midterm)		X					AACRAO	End of term
4.2.25	Grade submission sheets/data (original records of grades submitted at end of term)		X			X		AACRAO	Permanent
4.2.26	Name change authorizations		X					AACRAO	Until administrative need satisfied



OFFICE OF THE PRESIDENT

MEMORANDUM

To: Thomas Gutierrez
Chair, Academic Senate

Date: March 9, 2022

From: Jeffrey D. Armstrong
President

Copies: Bruno Giberti
Amy Fleischer
Damon Fleming
Cynthia Jackson-Elmoore
Patrick O'Sullivan
Cem Sunata
Christine Theodoropoulos
Andy Thulin
Dean Wendt
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Jeffrey D. Armstrong

Subject: Response to AS-932-22 Resolution on Updating Retention of Exam and Gradebook Policy

By way of this memo, I approve the above-entitled Academic Senate resolution. The changes outlined in this resolution will align our academic policy with the CSU record retention schedule, meeting or exceeding its requirements. I encourage Academic Programs and Planning to complete the necessary actions to ensure that our exam retention policy aligns with the CSU policy and to update the appropriate section of the Academic Programs and Planning website.

Please express my appreciation to the Academic Senate Executive Committee and the Academic Senate members for their attention to this important matter.

I would also like to acknowledge the prompt response of the Center for Teaching, Learning, and Technology, in extending the life of Canvas course shells and contents to five years, thus facilitating campus compliance with system policy.