**Appendix G**

**Retention of Student Portfolios and Other Student Records Held by Faculty and Instructors**

Detailed information about the records that are part of a student degree portfolio can be found on the *Policy and Procedures for Degree Program and Portfolio Review and Approval.*

**Ownership and Disposal of iPLA Portfolios Materials Procedure**

Students who seek individualized prior learning assessment (iPLA) with the university submit many types of documentation. Only the final evaluator recommendation becomes part of the student’s permanent record maintained by the Office of the Registrar (see SUNY Empire Records Retention Schedule; section Student Academic Records, content A and C).

Upon receipt of the evaluator report any supplemental materials should be returned to the student when iPLA evaluation is complete by the office of prior learning assessment. These documents are not considered official records of the university; the university has no responsibility to retain these documents.

If confidential materials are required for the assessment decision, names and other identifying information for individuals other than the student being assessed must be deleted before the portfolio is sent to the evaluator.

If as student stops out before iPLA credit is awarded, the iPLA credit recommendations will be retain by the university for 6 years after the last date of attendance (as defined by the Registrar). Thus, making the iPLA credit retention 9 years after the student has been active with the university. Reference *Comprehensive Transcript Policy for Undergraduates* for a description of iPLA credits awarded before degree concurrence. If a student stops out before the iPLA portfolio is sent to the office of prior learning assessment, the retention schedule for “notes on advisement” will be applied to all documents of the portfolio that are in the university’s possession with the exception of original and unique documents such as a license, or diploma which will be returned (see SUNY Empire Specific Records Schedule, section on Notes on Advising).

When a student stops out before iPLA credit is awarded, the custodian of the PLA portfolio is as follows:

1. Student develops PLA requests with mentor:
	1. Ownership = Mentor or another advisor
2. Student/mentor submits PLA request to OPLA (Office of Prior Learning)
	1. Ownership = OPLA
3. OPLA places request with evaluator
	1. Ownership = OPLA
	2. If evaluator requests additional materials that are not entered into PLA planner, the evaluator should submit such materials to OPLA within the given timeframe of the evaluation.
4. OPLA receives recommendation from evaluator
	1. Ownership = OPLA (see procedures for degree program portfolio for ownership after this)
5. It is the responsibility of the department of information technology services to delete records in PLA Planner that are past their retention schedule. This is to be done with the authorization and approval of the provost or designee (draft statement).

**Ownership and Disposal of Degree Program Portfolios Materials Procedure**

The degree program portfolio includes the following documents.

* Degree program proposal
* Degree program rationale
* General education grid
* Official copies\* of university transcripts for prior university courses included in the degree.
* Official copies\* of documentation for other, generic prior learning sources.
* Student requests for individualized prior learning assessment (PLA).
* iPLA evaluations if completed.

If as student stops out before their degree has been concurred, the degree program portfolio is retained by the university for 6 years after the last date of attendance. Thus, making the degree plan portfolio retention 9 years after the student has been active with the university. If a student stops out before the portfolio has gone to the department of academic review the retention schedule for “notes on advisement” (5 years after the last date of attendance) will be applied to all documents of the portfolio that are in the university’s possession with the exception of original and unique and official documents such as transcripts, which will be returned.

When a student stops out before degree concurrence, the custodian of the degree program portfolio is as follows.

1. Student develops Degree Program plan with mentor:
	1. Ownership = Mentor or other advisor
2. Student/mentor submits degree program portfolio to Divisional Office of Academic Review (DOAR)
	1. Ownership = DOAR
3. (DOAR)/DAR schedules Degree Program portfolio (including PLA recommendations) for review by faculty committee
	1. Ownership = DOAR
4. DOAR/DAR sends DP Portfolio to Registrar’s Office for Concurrence
	1. Ownership = DOAR
5. Registrar’s Office Concurs
	1. Ownership = the University (Registrar’s Office)
6. It is the responsibility of the department of information technology services to delete records in DP Planner that are past their retention schedule. This is to be done with the authorization and approval of the provost or designee. (draft statement)

**Procedures for faculty and instructors when leaving the university**

The individual should determine if the document is an official record referenced in the SUNY Empire schedule. If the document is:

* not listed as an official record. It can be disposed of.
* listed as an official record, but it is past the retention period, it can be disposed of.
* listed as an official record, but the instructor or faculty member are not the official custodian, verify the official custodian has a copy; dispose of the document if it is a “convenience copy”; send it to the custodian if it is the official copy.
* an official record for an active student, and the instructor or faculty member is the official custodian, the record should be sent to the director of mentor services.
* an official record for an inactive student, and the instructor or faculty member is the official custodian, the record should be sent to the registrar.