

University of South Florida Office of the Registrar

Student Records Management Manual

The purpose of the USF Student Records Management Manual is to inform University faculty and staff of the responsibilities in the access, use, release, security, retention and disposal of student records information. There are myriad laws and rules that govern student records management, and this manual attempts to provide the most critical information in both primary source and summary forms.

This edition of the manual is presented to ensure that administrative and academic units are informed of 1) the need to comply with retention periods and destruction procedures detailed in the General Records Schedule GS5 for Universities; 2) the guidelines on disposal of student records information; 3) the USF Student Records policy and recommended security practices.

We hope to improve the usefulness of this manual in the future. Please help us by sharing your responses to this edition. You may use the Feedback Form provided in the Forms section or by e-mail. If you leave your current position, please pass this manual on to your successor.

Whenever you have questions or need clarification about any topic related to student records, please feel free to contact the Office of the Registrar.

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Section I. Introduction to Student Records

What is a Student? and What are Student Records?

A **student** is an individual who is registered for a university credit course or program.

A **student record**, also known as an education record, contains information directly related to a student, which means that the record is personally identifiable. Personal identifiers that relate a record to a student include student name, student ID/social security number, student address, parent/family member names, and a list of personal characteristics.

Student/education records are maintained in multiple media including handwriting, print, microfilm/fiche, computer's main memory, magnetic tape, cassette, disk or diskette.

Student/education records may be presented by the student, submitted on behalf of the student, or created by the University. These records are used to assist offices in their support of basic institutional objectives and to document student progress and achievement in the educational process of the University.

The majority of USF student/education records fall into twelve categories:

- ⇒ **Admissions Records***
- ⇒ **Cumulative Academic Records**
- ⇒ **Financial Aid Records**
- ⇒ **Student Employment Records*****
- ⇒ **College/Academic Advising Records**
- ⇒ **Financial Records**
- ⇒ **Disciplinary Records**
- ⇒ **Medical Records****
- ⇒ **Psychological\Personal\Career Counseling Records****
- ⇒ **Cooperative Education & Placement Records**
- ⇒ **M.D. Program Student Records**
- ⇒ **New College Student Records (prior to Fall 2001 and creation of New College of Florida University)**

*Admissions records become part of the student's cumulative academic record once the student is enrolled in classes.

** Excludes records maintained for providing treatment to the student.

*** Excludes records of University employment that have no relationship to student status.

These records with their locations and custodians are listed in the section, "Where are USF Student Records?" While almost all student records maintained by the University are considered to be educational records, those listed below are specifically **excluded**.

- ◆ Memory aid records in sole possession of the maker that are not accessible to or shared with anyone else;

- ◆ University Police records maintained solely for law enforcement purposes;
- ◆ University employment records if employment is not dependent on student and does not result in academic credit or a grade;
- ◆ Records created by a physician; psychologist or similar paraprofessional to be used only for providing treatment to a student;
- ◆ Alumni records if they contain only information related to an individual after the individual is no longer a student.

Where Are USF Student Records? And Who are USF Student Records Custodians?

University of South Florida's student records are listed below by category, with location and custodian.

Student Record	Custodian / Location
Undergraduate Admissions	Director of Admissions, SVC 1036
Graduate Admissions	Director of Graduate Admissions, FAO 174
International Student Admissions	Associate Director for International Admissions, CPR 470
College of Medicine Admissions	Director of Medical Admissions, MDC 1012
College of Medicine Cumulative Academic Records	College of Medicine Dean, MDC 1100
Cumulative Academic Records ---(includes undergraduate, graduate and international student records)	University Registrar, SVC 1034
College Academic Advising Records	Academic Advising Program Director, SVC 2011
Financial Aid Records	Financial Aid Director, SVC 1102
Other Student Financial Records	University Controller, Purchasing and Financial Services, ADM 131
Student Medical Records	Director of Student Health Services, SHS 1000
Student Psychological / Personal Counseling Records	Director of Counseling Center for Human Development, SVC 2124
Cooperative Education and Placement Records	Career Center Director, SVC 2088
Student Employment Records	Director of Human Resources, SVC 2172
Student Disciplinary Records	Associate Dean, Student Judicial Services, RAR 234

What is FERPA?

FERPA is the acronym for the Family Educational Rights and Privacy Act of 1974, as amended. FERPA is also known as the “Buckley Amendment.” The American Association of Collegiate Registrars and Admissions Officers (AACRAO) summarize the purpose of FERPA in the AACRAO Guide for Postsecondary Institutions for Implementation of the Family Educational Rights and Privacy Act of 1974 as Amended (1995). It states:

The purpose of the Family Educational Rights and Privacy Act is to afford certain rights to students concerning their educational records. The primary rights afforded are the right to inspect and review the educational records, the right to seek to have the records amended and the right to have some control over the disclosure of information from the records.

Educational institutions and agencies are required to conform to fair information practices. This means that persons who are subjects of data systems (i.e., students at an institution) must:

- be informed of the existence of such systems,
- have identified for them what data about them are on record,
- be given assurances that such data are used only for intended purposes,
- be given the opportunity to request an amendment or correction to their record and,
- be certain that those responsible for data systems take reasonable precautions to prevent misuse of the data.

Although the Act does not require it, those responsible for data systems are obliged to consider properly disposing of, or destroying, information when the conditions under which that information was collected no longer exists and there are no legal restrictions preventing such disposal.

Responsibility for administering the Act has been assigned to the Family Policy Compliance Office within the Department of Education. This office reviews and investigates complaints and attempts to bring about compliance through voluntary means. The penalty for noncompliance with Federal regulations can be withdrawal of Department of Education funds from the institution, but action to terminate funding generally will be taken only if compliance cannot be secured by voluntary means.

Student records provisions of FERPA (20 U.S.C. §1232g), are further amplified by state statute (Section 1002.22), Board of Education Rule (6C-6.015) and the USF Rules (6C4-2.0021, FAC).

The Essence of FERPA

FERPA deals specifically with the education records of students, affording them certain rights with respect to those records. For purposes of definition: education records are those records which are (1) directly related to a student and (2) maintained by an institution or a party acting for the institution.

FERPA gives students who reach the age of 18 or who attend a postsecondary institution the right to inspect and review their own education records. Furthermore, students have other rights including

the right to request amendment of records and to have some control over the disclosure of personally identifiable information from these records. Institutions may grant a student more rights than those guaranteed in the Act.

FERPA applies to all schools that receive funding under most programs administered by the Secretary of Education. Most postsecondary institutions, both public and private, generally receive such funding and must, therefore, comply with FERPA. Students have the right to report any violation of FERPA to The Family Policy Compliance Office, U.S. Department of Education, 600 Independence Avenue, SW, Washington, DC, 20202-4605, (203) 260-3887, FAX (202) 260-9001.

Institutions must annually notify students currently in attendance of their rights by any means that are reasonable, such as publication of a notice in the student handbook, catalog or student newspaper. The regulations do not specify the means to be used. Schools are not required by FERPA to notify former students of their FERPA rights.

Institutions may not disclose information contained in education records without the student's **written** consent except under conditions specified in the Act. An institution is not required to disclose information from a student's records to the parents of dependent students but may exercise its discretion to do so. It is the responsibility of an institution to ensure that information is not improperly disclosed to the parents of students.

To Whose Records Does the Act Apply?

FERPA applies to the education records of persons who are or have been in attendance in postsecondary institutions, including students in cooperative and correspondence study programs.

Conflict with State Law

It should be noted that FERPA may be more permissive than the privacy and public information laws of some states. FERPA should not be interpreted to reduce the stringency of such State laws. They counsel common sense, good judgment, perspective, and integrity for compliance by postsecondary institutions in the implementation of the Act.

In order to comply with all provisions of FERPA, including its regulations and disclosure provisions, an institution must take three basic steps:

1. Have a written institutional policy and procedures on how the institution complies with FERPA;
2. Must notify students of their privacy rights under FERPA. Two types of notification must be given:
 - (1) annual notification to current students of their rights and
 - (2) public disclosure of the institution's categories of personally identifiable information the institution has designated as "Directory Information."
3. Provide students access to review and request an amendment to their records.

Policy and Procedures for Compliance with FERPA

This document in its entirety constitutes University of South Florida's commitment to compliance with FERPA. This document is University of South Florida's written institutional policy in regards to FERPA. The Office of the Registrar is responsible for insuring the confidentiality of all student records and has been designated by the University of South Florida as the Official Student Records Custodian. The Compliance Officer for University of South Florida is the University Registrar and all issues and questions regarding FERPA compliance should be directed to him/her. Formal compliance failure complaints should be directed to: The Family Policy Compliance Office, U.S. Department of Education, 600 Independence Avenue, SW, Washington, DC, 20202-4605, (203) 260-3887, FAX (202) 260-9001.

Student Notification of their Rights

The University of South Florida will notify students annually through the publication of their rights in the Graduate and Undergraduate Catalogs, Student Handbook, New Student Orientation Manual, and Schedule of Classes. This publication will contain the University's Definition of Directory Information, policy and procedures for Request to Prevent Disclosure of Directory Information, policy and procedures for Student Inspection of Records and the policy and procedures to Request an Amendment to Student Records.

Policy and Procedures for Student Inspection of Her/His Record

Policy

University of South Florida will provide services to students and former students to inspect and review their own student record upon request. This service will provide copies of records and an interpretation and explanation of the record, if requested. Limitations on this service are as follows. University of South Florida will not allow students to inspect or review:

- ◆ financial information submitted by parents;
- ◆ confidential letters and statements of recommendation to which the student has waived his or her right to inspect and review and that are related to her/his admission, application for employment or job placement, or receipt of honors;
- ◆ Educational records that contain information about more than one student. However, in such cases the institution will permit access to that part of the record which pertains only to the inquiring student.

University of South Florida does not require students to waive any of their rights to review any part of their student record. If, however, a student should waive any or part of her/his rights to review confidential letters and statements of recommendation under FERPA, the right of waiver will be subject to the following conditions:

- ◆ waivers shall not be required at this institution;
- ◆ no service or benefit will be denied students who do not supply waivers;

- ◆ that the document(s) to which the student has waived the right to review is(are) used only for the purposes for which it was originally collected;
- ◆ that all waivers for right to review be in writing and signed by the student.

The student may later revoke the waiver but they will not have access to those documents that were collected when the waiver was in force.

The University of South Florida shall comply with the requirements for retention and destruction as set forth by the State of Florida, General Records Schedule for Universities and Community Colleges (Schedule GS5). However, if a student has requested access to their student records, the request of the student shall supersede the records retention schedule and they will not be destroyed until the conflict/request is resolved/fulfilled.

Procedure

In order to review his/her education record, he/she must go to the Office of the Registrar and fill out a Student Request to Inspect and Review Education Records Form. A review date will be scheduled (FERPA requires the review to be within a maximum of 45 days of the date of the student's request) within 5 working days of receipt of the signed request, except for the first two weeks of a semester when it will be within 10 working days. On the Scheduled Review Date the student must bring a photo identification card before the review will be allowed.

Policy and Procedures for Student Request for Amendment of His/Her Record

Policy

University of South Florida shall provide all students the opportunity to challenge the contents of their educational records they feel to be inaccurate, misleading, or otherwise in violation of their privacy or other rights. Each request shall be examined by the custodian of the record(s) involved and the student shall be informed within 30 days of his/her request of the decision. If the decision is in agreement with the student's request, the appropriate record(s) shall be amended and the student notified in writing. If the decision is not in agreement with the student's request, the student will be notified of the decision and will be informed of her/his right to a formal hearing on the matter.

If a request for a formal hearing is received, the student will be informed of the time, date and place of the hearing at least 5 working days before the hearing. The Student Records Hearing Committee will consist of at least three university officials with no interest in the outcome of the hearing. Students will be afforded ample opportunity to present their arguments and evidence of their claim. The student will be allowed to be assisted and/or represented by anyone they deem necessary to explain and defend their claim. If the student wishes to be represented by an attorney, she/he may do so at her/his own expense. The decisions of the hearings will be in writing and based solely on the evidence presented at the hearing. It will contain a summary of the evidence, the reasons for the decision and will be sent to all individuals with a legitimate educational interest.

If the decision is favorable to the student, he/she will be notified of the amendment of the record in writing. Correction and/or amendment of the record will be processed within 10 working days of

the decision of the hearing committee. All University offices and individuals with a legitimate educational interest in the decision will also be informed in writing.

If the decision is not favorable to the student, she/he will be notified of such in writing, citing the reasons for the decision. This notification will also include the following statement:

“You have the right to place a statement in your educational record explaining your reasons for disagreeing with the decision of the Student Records Hearing Committee. This statement will be maintained in your student record for as long as your record is held by University of South Florida. The statement will also be disclosed to any authorized party requesting to review your record.”

All University offices and individuals with a legitimate educational interest in the decision will also be informed in writing of the decision.

Procedure

Students requesting an amendment/correction to their student (educational) record should go to the Office of the Registrar and fill out a Request for Amendment/Correction of Education Records Form. Any supplemental evidence to support the request should be attached. The Records Custodian shall research the request and notify the student in writing within 30 days of the decision.

Students requesting a formal hearing for amendment/correction to their student (educational) records should go to the Office of the Registrar and fill out a Student Request for Formal Hearing Form. A Hearing Committee will be formed and the student notified in writing of the members of the committee, the place, date, and time of the hearing. This notification will be made at least five days before the hearing convenes.

Statement of Confidentiality

University of South Florida is committed to safeguarding student (education) records. This institution shall not release personally identifiable information to a third party without the written consent of the student. The written consent must specify the records to be released, the purpose of the disclosure, identify the party or class of parties to whom disclosure may be made, and must contain the student's signature and date. University of South Florida will release information designated as “Directory Information” and student record information to the following:

- ◆ Authorized representatives of State or Federal supported programs for evaluation and audit;
- ◆ State and Local officials to whom disclosure is specifically required by State Statute;
- ◆ Veterans Administration officials for students receiving educational assistance;
- ◆ Accreditation agencies carrying out their accrediting functions;
- ◆ University of South Florida officials who have a legitimate educational interest;
- ◆ Organizations providing financial aid to the student;
- ◆ Organizations conducting studies for education agencies or institutions to develop, validate, and administer predictive tests, to administer student aid programs, or to improve instruction;

- ◆ Parents of a student who have established that student's status as a dependent according to Internal Revenue Code of 1954, Section 152;
- ◆ Persons in compliance with a judicial order or a lawfully issued subpoena;
- ◆ To persons in an emergency, if the knowledge of information, in fact, is necessary to protect the health or safety of students or other persons;
- ◆ To an alleged victim of crime of violence, any results of any institutional disciplinary proceedings against the alleged perpetrator of that crime with respect to that crime;

What is Directory Information?

The following types of data are considered Directory Information:

- Student's full name
- Student's local and permanent address
- Student's local and permanent telephone number
- Date and place of birth
- Student's classification
- Major field of study
- Dates of attendance
- Degrees and awards received
- Full and part-time enrollment status
- Most recent previous educational agency/institution attended before USF
- Standing at most recent educational agency/institution attended before USF
- Participation in officially recognized activities and sports
- Weight and height of members of athletic teams
- Photographic image
- Other similar information*

** While other similar information can be considered directory information, the Office of the Registrar has not designated other data elements as such pursuant to the requirements of FERPA. Therefore, all other student data is considered to be protected.*

USF publishes the University of South Florida Directory each year as part of its normal business. Student listings in the Directory include name, permanent and local addresses, telephone numbers, classification and major field of study. The Directory and other listings of directory information are circulated in the course of University business and therefore, are accessible to the public, as well as to students, faculty and staff.

University auxiliaries and non-affiliated university organizations may request directory information from the Office of the Registrar. As the designated data custodian of student information for the University, the Office of the Registrar is the only unit authorized to release directory information to third parties. Third parties may only request information on student sub-populations based on these elements and these are the only data elements that may be provided. Third party data requests must be submitted in writing and requests are tracked; the Office of the Registrar retains to the right of refusal to provide the information in an electronic format.

All data requests released to third parties include the following responsibility statement:

This information is being provided to you for the one-time requested purpose only. Fulfillment of your request does not constitute endorsement of your organization, product or service. Any false claim (expressed or implied) concerning the University of South Florida is expressly forbidden. Misrepresentation of the University with your organization, product or service (e.g. improper use of the University of South Florida name, seal or logo) will result in the denial of future requests for student information and possible legal action.

Please be advised that the University of South Florida Office of the Registrar declines to release or sell to the public any student information, student lists, mailing labels or other education record that is not deemed 'Directory Information'. Charges associated with the attached file are

to defray production costs involved in its creation. If an explanation of why the list is not a public record is required, refer to the following: USF student information is exempt from the requirements of the Florida Public Records law pursuant to the Family Educational Rights and Privacy Act and Florida Statute sections 228.093 and 240.237. If this information is inappropriately released to any other party, future requests for directory information will not be fulfilled.

When is Directory Information Confidential?

FERPA, state statute, the Department of Education and USF rules, give a student the right to refuse to permit the University to publish or disclose items of Directory Information pertaining to them. Once a student requests non-disclosure of directory information, the student is said to be “on privacy”. His/her directory information is considered to be confidential and is released only under three circumstances:

- With the student’s written consent;
- Under the eleven circumstances specified in the section “Statement of Confidentiality”;
- or
- In the event of a health or safety emergency.

When the record of a student on privacy is accessed in the student information system (BANNER), a special notation appears to remind the employee that the student’s directory information is to be withheld. In addition to this system reminder, these students are programmatically excluded from any third party data file generated by the Office of the Registrar in response to a request for directory information.

A student may opt to place his/her records “on privacy” by logging into a secure website and reviewing his/her record. Information regarding University policy on the release of directory information and options for selecting privacy are available at: The University’s policy on releasing directory information and the <https://www.registrar.usf.edu/privacy/>

A student may also submit a written request; a special form is available for this purpose and may be downloaded at: <http://www.registrar.usf.edu/index.php> under “Registrar’s Office Forms”.

To be excluded from the annual printed USF *Directory*, a student must submit his/her request for “Privacy” to the Office of the Registrar on the Tampa campus by the end of the second week of classes in the Fall Semester. No public disclosures will be made until after this deadline. The Office of the Registrar accepts privacy requests throughout the year but assumes no responsibility for disclosures made prior to receipt of the request.

Privacy requests will become effective within 48 hours of receipt by the USF Registrar’s Office (Tampa) and will remain in effect until a student has been awarded a degree from USF or until a student has not been enrolled at USF for three consecutive semesters or a student has provided authorization to the Office of the Registrar requesting removal.

* While *other similar information* can be considered directory information, the Office of the Registrar has not designated other data elements as such pursuant to the requirements of FERPA. Therefore, *all other student data is considered to be protected.

What is a Release Authority?

Authority to release confidential student records information is generally based on the prior consent of the student.

The student's release authority must be in writing and specify:

- The information to be disclosed,
- To whom the disclosure may be made, and
- The date of the consent.

The release authority must be signed by the student and include at least one other item of student information to insure proper identification of the student record to be released. In addition to name, student identification number, date of birth, dates of attendance, degree and date awarded are among the other acceptable items of student information.

Use of Social Security Numbers

A primary emphasis of the University's Student Records Policy is to protect the privacy of personal information, particularly the privacy of student Social Security Number (SSN). Accordingly, the University of South Florida no longer uses or permits the use of Social Security Number as the primary numerical identifier in the USF Student Information System. Rather to protect the identity of students against unauthorized use, inspection, or tampering, prospective and current students are assigned a USF Identifier (USFID).

Collection of Social Security Number

While legislation restricts collection of Social Security Numbers by certain agencies, it also creates exemptions for agencies like the University of South Florida that are authorized by law to collect social security numbers. Under federal law, institutions using social security numbers that have operated a system of records prior to 1975 may continue its use. Additionally, the collection of social security numbers is imperative for the performance of USF's duties and responsibilities prescribed by law. The public school system of Florida uses SSN for federal and state reporting and as a student identifier in the K-20 system for purposes of tracking and assisting students as they move from one education level to the next. Records guidelines and practices require that social security number and name changes be recorded and tracked, upon receipt of legal documentation or appropriate certification. State laws and regulations require release of personally identifiable student data to appropriate state agencies to facilitate state research and reporting. The Federal Department of Education and the State of Florida Office of Student Financial Assistance require the use of social security numbers for the administration of all Federal and State financial aid programs, reports, and processes. The Office of Financial Aid is required to collect and verify that the SSN submitted by the student on his/her application for financial aid agrees with the number on file with the Social Security Administration. Because these and other essential functions mandate the use of social security number, the University of South Florida will continue to collect the numbers from entering students.

Disclosure of Social Security Number

A student's social security number cannot be identified as directory information. All SSNs are *protected* by federal law (FERPA) and are not released to unauthorized parties. Therefore, the University of South Florida does not release social security numbers in response to public records requests because the numbers are exempt from disclosure under the State's public records law. As a general rule, only a limited number of University officials with a "legitimate educational interest" or offices that manage/maintain student record information will have access to student social security numbers. University policies have been established to ensure that the social security number is not used for anything other than the stated purpose. The policies are regularly reviewed to ensure compliance with applicable laws.

USF Identifier (USFID)

Protecting the privacy of personal information is an important priority at the University of South Florida. Therefore, a protocol that minimizes the use of social security number for identification purposes has been established to further protect the privacy of USF students. A USFID is assigned to prospective and current students and should be used for academic, business and administrative transactions requiring an ID.

The USFID is a randomly generated number assigned within the University's Student Information System (OASIS). It is not derived from any personally identifiable student information. The format of the USFID is 'U-----', followed by an eight-digit number. USFID numbers are issued only once and remain the student's official primary identifier with the University. This number will be permanently and uniquely recognized by OASIS throughout the student's academic career in USF undergraduate, graduate, and professional programs. The USFID will be considered the property of the University of South Florida. Its use and governance shall be at the discretion of the University, within the constraints of the law.

General Guidelines Concerning Use of Student Identifiers

Student Social Security Number and institutionally assigned identification numbers like the USFID are considered personally identifiable information under FERPA—i.e. specific information that would make a student's identity easily traceable. Therefore, the University is prohibited from releasing, transferring, or otherwise communicating the SSN or the USFID in the student education record to any party not having a legitimate educational interest in the numbers. As a result,

1. Social Security Numbers will be electronically transmitted only through encrypted means.
2. Academic and other forms of personal information will not be publicly posted or displayed where either the SSN or the USFID identifies the individual associated with the information.
3. Paper and electronic files containing student identifiers will be disposed in a secure fashion.
4. All University forms and documents will indicate when social security number is legally required. Otherwise, all other forms and documents will request USFID.
5. Individuals will not be required to supply their Social Security Number either verbally or in writing at any point of service, nor will they be denied access to services should they refuse to provide their SSN except in those instances where the University is legally required or authorized to collect Social Security Number—in which case, this should be made known to the individual immediately.

Section II. Responsibility for Student Records

Job Related Access to and Use of Student Record Information “Need To Know”

FERPA (20 U.S.C. §1232g), Florida State Statutes (Section 1002.22), Board of Education Rules (6C-6.015) and University of South Florida Rules (6C4-2.0021), permit University officials to access and use student records for legitimate educational purposes.

A “University Official” is defined as:

A person employed by USF in any faculty/staff position or as a temporary substitute for a faculty or staff member,

A person currently serving as a member of the Board of Education, or

A person employed by or under contract to the Board of Education to perform a special administrative task for USF (such as an audit).

“Legitimate educational purpose” is defined as a University official’s need to know in order to:

Perform an administrative task specified in the official’s position description,

Perform a supervisory or instructional task directly related to a student’s education, or

Perform a service or benefit for the student (such as health care, counseling, student financial aid, student job placement, etc.).

Accessing or using student information for other than legitimate educational purposes is strictly prohibited.

Sample Employee Code of Responsibility for Student Records Information

1. Information provided to you to conduct official University business may not be used for other purposes, or be passed on by you to any other user.
2. You are responsible for the security of all data to which you have access. This may involve establishing policies/procedures regarding access security to computerized files, keeping disks or printouts in locked cabinets, periodically updating passwords, and ensuring that terminals are properly signed off when not in use.
3. You are responsible for distinguishing between public, directory, and confidential information. For guidance read sections on "Student Records Policy" and "Release of Student Information" in the Student Records Manual. Confidential information regarding students or staff may not be released in any personally identifiable format without permission of the individual. If you are in doubt, refer the individual you are trying to help to the office responsible for maintaining the information requested. Individual directory information may be released unless a student has requested otherwise. Always check the "Privacy Flag" in the student's files before releasing directory information. Any public information may be displayed in either individual or aggregated format.
4. For consistency, *official* university counts of students, employees and other items are developed and maintained by the Office of Institutional Research, Planning and Evaluation. It is your responsibility to use these official counts on all surveys, news release, grant proposals or other documents. Having access to University files should not result in the use of alternate counts.

CONFIDENTIALITY OF STUDENT RECORDS AGREEMENT

In compliance with the guidelines incorporated in the Family Educational Rights and Privacy Act (Buckley Amendment) and the University of South Florida's Student Records Policy, I will take every precaution to protect the integrity of our student records.

As an employee of the _____ Office, University of South Florida, I am aware that any release of academic information which would identify a specific student is prohibited unless we have a written release from that student. I am also aware that confidentiality of student records is required by Federal Law.

I have read the above and the University's Student Records Policy and agree to comply with all regulations both on and off campus.

Signature

Date

**Sample Volunteer Code of Responsibility
for
Student Records Information**

1. Information provided to you to conduct official University business may not be used for other purposes, or be passed on by you to any other user.
2. You are responsible for the security of all data to which you have access. This may involve establishing policies/procedures regarding access security to computerized files, keeping disks or printouts in locked cabinets, periodically updating passwords, and ensuring that terminals are properly signed off when not in use.
3. You are responsible for distinguishing between public, directory, and confidential information. For guidance read sections on “Student Records Policy” and “Release of Student Information” in the Student Records Manual. Confidential information regarding students or staff may not be released in any personally identifiable format without permission of the individual. If you are in doubt, refer the individual you are trying to help to the office responsible for maintaining the information requested. Individual directory information may be released unless a student has requested otherwise. Always check the “Privacy Flag” in the student’s files before releasing directory information. Any public information may be displayed in either individual or aggregated format.
4. For consistency, *official* university counts of students, employees and other items are developed and maintained by the Office of Institutional Research, Planning and Evaluation. It is your responsibility to use these official counts on all surveys, news release, grant proposals or other documents. Having access to University files should not result in the use of alternate counts.

CONFIDENTIALITY OF STUDENT RECORDS AGREEMENT

In compliance with the guidelines incorporated in the Family Educational Rights and Privacy Act (Buckley Amendment) and the University of South Florida’s Student Records Policy, I will take every precaution to protect the integrity of our student records.

As an employee of the _____ Office, University of South Florida, I am aware that any release of academic information which would identify a specific student is prohibited unless we have a written release from that student. I am also aware that confidentiality of student records is required by Federal Law.

I have read the above and the University’s Student Records Policy and agree to comply with all regulations both on and off campus.

Signature

Date

Section III. Physical Security of Student Records

Physical Security Guidelines

- ✓ All employees regardless of level sign both an Employee Code of Responsibility for Student Records Information and a Statement of Confidentiality of Student Records.
- ✓ All student records are maintained in a secure environment.
- ✓ No documents or reports containing protected student information are ever left on reception desks/counters or in other areas open to view and/or access by students and visitors.
- ✓ All student records are removed and/or secured before leaving an unsecured work area.
- ✓ All computer monitors are positioned so that a student's electronic record cannot be viewed by other students or unauthorized persons.
- ✓ No students or student workers have authorized access to completed Grade Rosters or Grade Change Forms prior to receipt by the Office of the Registrar.
- ✓ All Grade Rosters, Grade Change Forms and graduation certification forms are carefully reviewed.
- ✓ No student is authorized to hand-carry or deliver signed Academic Regulations Committee Petition Forms, Grade Rosters, Grade Change Forms, or other similar documents detailing significant updates to the student's own record.
- ✓ The list of employees assigned access codes to unlock and enter the Student Records Vault (SVC1027) is maintained by the Associate University Registrar of Operations for the Office of the Registrar, access by code is monitored by date and time by Physical Plant, and access codes of employees upon termination or transfer are revoked by deletion.
- ✓ All irregularities or missing student records documents are reported immediately to the Office of the Registrar.

Office of the Registrar

- ✓ No student workers to participate in grade processing, grade change processing, and degree posting processing.
- ✓ University seal and validation equipment when unattended.
- ✓ All diplomas, transcript paper, and change of grade forms in a secured area.
- ✓ Semesterly updated academic transcripts on all student employees available for review for unauthorized student record changes.

Touchpad and Security Codes

- ✓ The inner office(s) have been deemed a secure area with admittance granted only to those individuals with a need for access. Access is controlled by an electronic lock that allows only those individuals with the security code to enter. The access security code is changed every 180 days.
- ✓ The Office of the Registrar is protected during the hours of non-operation by an electronic alarm system. This system, when activated, alerts the University Police when an intruder is in this secure area. Access to this system is limited to a minimal number of Registrar's office staff. The access security code is changed every 180 days.

Records Retention Guidelines

Student records custodians and managers of academic and administrative units are responsible for complying with records retention periods and destruction procedures. Requirements for retention and destruction are detailed in the General Records Schedule GS5 for University/Community College Records issued by the Florida Division of Library and Information Services (June 2012).

A complete copy of the June 2012 General Records Schedule GS5 for University/Community College Records and the Registrar - Retention User Guide can be found in the appendix of this document. Questions regarding the disposal of student records should be directed to the designated records custodian. Information about the physical disposal/destruction of student records and information is found in the section, "Destruction Disposal Guidelines."

Destruction/Disposal Guidelines

The disposal of Student Records must occur in accord with retention schedules, after destruction approval is granted and then in a secure manner. Any document (paper, form, microfilm, report, etc.) that contains personally identifiable student information, even if it is not considered to be an official student record, cannot simply be placed in the trash. Such documents include but are not limited to computer-generated reports/lists, microfilm/fiche, notes, letters/memos, and forms.

There are three basic ways to dispose of paper documents that contain personally identifiable information. The appropriate method should be chosen for each office based on the volume of materials and the availability of shredders or recycling bins.

Shredding – any document with personally identifiable information can be shredded and then placed either in a recycle bin or in the trash.

Sensitive Material Recycling - locked recycling bins designated for confidential materials if they are available.

Burning – any document with personally identifiable information can be burned.

Visitor Guidelines

With the exception of a select group of pre-identified University personnel, (staff from the Admissions Office, Adult and Transfer Services, and University Administrators), persons who are not employees or pre-authorized volunteer workers in the Office of the Registrar are to be considered visitors for purpose of entry to the Student Records Vault or Student Records Processing areas.

Visitors, including vendors and non-university maintenance/construction personnel, are never to be left unattended in areas where there is access to student records/data.

All employees of the Office of the Registrar are responsible for questioning the presence of any unknown/unidentified person(s) in these areas.

Section IV. Electronic Information Security of Student Records

Introduction

Banner is the name of the integrated software licensed from the SunGuard Corporation for University of South Florida's Student Information System.

Banner's hierarchy is ordered by instance, system, module and forms within modules to accommodate different functional area processes. USF's Alumni Association operates in an instance separate from student records. USF's Production instance uses the Financial Aid system, the General system and the Student system. The General system ties the other functional systems together. A student's ID number, name, address, etc. is contained within the General system and is shared by the others. USF also maintains a Pre-Production instance of Banner for system testing purposes.

Banner modules are a collection of forms with embedded instructions used to enter, modify, delete and query data. Banner simply provides the screens and programs necessary to manipulate data. The data are stored in tables residing in an Oracle database. Oracle is a relational database, which means that tables are linked together by means of internal identification numbers and therefore data redundancy is limited. One table might have a student's ID number and the course numbers in which he/she is enrolled. A separate table has the course numbers and the course descriptions. The course numbers link the two tables together providing the course description for the courses in which a student is enrolled. Over 1,200 tables exist in the Banner system.

Data Integrity

These guidelines establish a Policy of Responsible Computing for the protection, access, and use of University of South Florida's student information system. They define the responsibilities of everyone accessing and managing the data. Offices may have individual guidelines that supplement, but do not supplant or contradict this policy. Data entrusted to the University by other organizations (e.g., foundations and governmental agencies) are governed by terms and conditions agreed upon with those organizations. Specific issues not governed by such agreed terms shall be governed by the guidelines set forth in this document.

These guidelines ensure database integrity and the goal of facilitating secure, quick, professional, cost-effective communication for the USF community by:

- avoiding creation of duplicate records for a single entity,
- providing complete name/address information in a timely manner, with an audit trail of changes,
- using standard entry to facilitate consistent reports and searches,
- sharing effective processing discoveries and problem-resolution tasks with other users,
- using USPS approved address setup deferring to database capability.

Administrative Responsibility

In accordance with the Family Education Rights and Privacy Act, 1974, as amended, and to ensure maximum safeguards against indiscriminate distribution of information contained in students' personal academic records at University of South Florida, only authorized University personnel will disclose information of a confidential nature (i.e., information not normally available to the general public). Information may only be released to the students themselves, to a parent/guardian claiming that student as a dependent (as demonstrated through provision of a copy of the parent/guardian's most recent federal income tax return), or to a third party upon receipt of an original written release signed by the student concerned.

Certain exceptions to this includes authorized University personnel acting within the student's legitimate interest; organizations conducting studies for educational and governmental agencies; accrediting agencies; appropriate persons in case of health or safety emergencies; agencies or offices in connection with the student's applications for receipt of financial aid; governmental officials as identified by public laws; and an appropriate official in response to a court order or subpoena. Without a signed release, the University can make only "directory information" available for public use in campus directories, publicity of events, honors, and the like.

Electronic data are a vital asset owned by the University. All institutional data, whether maintained in the central database or copied into other data systems including microcomputers, remain the property of University of South Florida. Access to data is not approved for use outside an individual's official University responsibility. Computerized, institutional data shall be used only as required in the performance of legitimate University of South Florida business.

Supervising administrators shall ensure a secure office environment with regard to the student information system. Administrators shall validate the access requirements of their staff according to job performance before submitting requests for the provision of access. Under no circumstances shall anyone use institutional electronic data (in detail or summary) in any publication, seminar or professional presentation, or otherwise release data in any form outside the University without prior written approval from the appropriate data custodian. Data shall never be left on any system to which access is not controlled. Although the University must protect the security and confidentiality of data, the procedures to allow access to data must not unduly interfere with the efficient conduct of University business.

All who use institutional data have the right to expect the data to be accurate.

Access to Official University Records

The following outlines the requirements and limitations for University offices to observe before submitting requests for the provision of access for inquiry and update capability to the University's official records. All employees shall be held accountable for data security.

Access will be awarded only after appropriate tailored training is received. Entries to Banner's General system (person or no n-person) tables affect the overall integrity of the database used throughout Banner systems and modules. Failure to abide by the following outline for creating and maintaining general entity records will result in removal of access.

Employees are not to loan or share their passwords with anyone. If it is found that passwords are being loaned or shared, employees who are assigned access to records are subject to disciplinary action.

Offices should take steps to ensure that an alternate person is assigned as backup for each office function, and that this individual has access to the system functions required to provide backup support. Every office will maintain a current list of preliminary and secondary users for the various module functions.

Offices may submit requests for the provision of access for an employee by completing and submitting a **Request for OASIS Access Form** (see Appendix 4) to the appropriate data custodian. The data custodian will review and approve or deny the request. Before access is granted, the data custodian must be formally notified the appropriate tailored training has occurred. If a request is questioned or denied, the requesting department/division will be contacted by the data custodian. Under no circumstances will requests for the provision of access be granted prior to receipt of signature approval of the department/division head and the data custodian.

Update access provides both inquiry and update capability. Update capability is generally limited to the offices directly responsible for the collection and management of the data. Update access is available to administrators and users who have an authorized need to change institutional data in the routine performance of their job duties.

Each user is assigned the appropriate combination of inquiry-only and update access to specific parts of the student information system based on job related “need to know” access. The types of access are determined by each module’s data custodian.

Data Custodians

A data custodian, usually an administrator of a University office or department, may make data available to others within his or her purview for use and support of the unit’s functions. This access may take any or all of the following forms:

1. The custodian may provide printed or electronic reports containing subsets of the data.
2. The custodian may grant access to view subsets of the data online.
3. The custodian may grant access to alter subsets of the data in predefined ways.
4. The custodian may grant access to query and tabulate subsets of the data to produce reports approved by the custodian of the data.

Before granting access to data, the data custodian shall be satisfied the protection requirements have been implemented and a “need to know” is clearly demonstrated. By approving end-user access to institutional data, the data custodian consents to the use of these data within the normal business functions of administrative and academic offices. Misuse or inappropriate use by individuals will result in revocation of the user’s access privileges. Query (inquiry) access to student data will be broadly available throughout the institution; however, it is the user’s responsibility to ensure University guidelines are followed regarding “Release of Student Information.” If it has been determined information has been released in violation of this policy, all query system access will be revoked.

The custodians of data are accountable to their immediate supervisors for their decisions to grant or deny access to data. Individuals to whom custodians grant access are accountable to the custodians and to University of South Florida for the use of the data. An individual given access to data resources by a custodian is required to sign a non-disclosure agreement.

Data custodians are also responsible for the accuracy and completeness of the data in their modules. If accuracy and completeness are not possible, they are responsible for documenting the reasons for the inconsistencies.

Data custodians are also responsible for the maintenance and control of the student information system's validation and rule tables and the validation and approval of software releases affecting their areas of responsibility. These tables and processes define how business is conducted at the University of South Florida.

Primary Process Owners for the BANNER Modules Listed:

Any Primary Process Owner Listed Below	General Person
University Registrar	General Student, Schedule, Catalog, Web, Grades, Registration, Academic History, & Faculty Load.
Director of Admissions/Graduate	Admissions, Recruitment, and Articulation
Director of Financial Aid	Financial Aid & Web Response for Financial Aid
Director of Purchasing and Financial Services	Accounts Receivable & Web
Director of Facilities Planning	Location Management
Director of Housing	Housing
Director of SASS	Degree Audit (CAPP)
Asst. VP, Advancement Services	Constituent/Organizations, USF Foundation Finance, Prospect (University Advancement)
Assoc Director, USF Research Foundation	Finance General (USF Research Foundation)

Student Information System's Validation and Rules Tables and Software Release Maintenance Process

University of South Florida's data custodians are responsible for the maintenance and control of the student information system's validation and rules tables, and validation and approval of software releases affecting areas of responsibility. The process for all changes to these areas of the student information system is as follows:

1. Complete and sign "OASIS Table Modification Approval Form"
2. Route the form to all required offices for approval
3. Return the form to the SIS Data Custodian responsible for the OASIS table to be modified

Information Users

Individuals are responsible for understanding all data elements used. If a person does not understand the meaning of a data element, he/she should consult the appropriate data custodian.

Users should exercise care in using the student information system to protect data files from unauthorized use, disclosure, alteration, or destruction. Each user is responsible for all transactions occurring during the use of his/her log-in and password. Student employees and their supervisors are responsible for appropriate assignments of duties to prevent potential abuse for self-gain, i.e. under no circumstances shall an employee modify his/her own student data.

Generally speaking, a student employee should only use the Banner Student System, the accepted employee user interface, for the purposes authorized by their accountable officer—not to make alterations or changes to their own record. OASIS Web is the acceptable method for students to use to access/update their own information. The only other alternative available to a student employee is to have another person with security privileges to process his/her individual transaction. In keeping with best practices, segregation of duties as well as avoidance of incompatible assignment of duties should be practiced. This will prevent the appearance of employee dishonesty on the part of student employees, a reportable offense that could result in loss of system access, suspension, or termination. Student employees like other workers should be advised that there are strict audit trails on all record entries and changes.

Because of the importance of data confidentiality and security, all full-time permanent and temporary employees, as well as student workers must sign an Employee Code of Responsibility for Student Records Information Form before being granted access. All employees who require access to online records will receive a system password defined specifically for the employee. This will allow updates to be tracked to a specific user password and specific person.

Student workers will not be given update capability to validation tables or transactions directly affecting student transcripts or grades. Any exceptions to the above guidelines must be requested and justified in writing and be approved by the appropriate data custodian.

Student Information System Log-On ID's and Passwords

The log-on ID serves several functions. First, it establishes an account for data changes for an individual. Second, it identifies the access level the individual requires and third it provides the ability to track activity the individual generates.

As such, a log-on ID belongs to a single individual. It is the responsibility of the accountable officer in each department/division to notify the appropriate PPO when the individual leaves the employment of the university or changes positions within the university. Upon such notification, the log-on ID should be discontinued to prevent inappropriate access and data changes.

The log-on ID is the first of two pieces of information required to access the Student Record System. The second piece of required information is the password. It is associated with the log-on ID and cannot be changed by the user. The password serves as the first level of security to assure that only authorized individuals access university information.

The password is entered with the log-one ID to initiate a computer session. The password should never be shared with another individual.

Password changes should be requested every 6 months to one year to protect the employee and the integrity of the data resting in the Student Records System. Password changes should be directed to the Coordinator of Records and Data Control.

Extracted Data

Extracted Data refers to data that originally resided in the Student Records System and now also resides in a special file. The data has been extracted from the system using a batch program and then is placed in a secured extract file. Access to the extract file is secured in the same manner as the original data and must be specifically requested by and granted to an individual employee. Any rules of good data management that are applied to the original data also apply to the extracted data. Therefore, individuals using extracted data must:

- a. Maintain the extracted data in a secure file either in the extract as created or, if downloaded, in a secure PC file;
- b. Only use the data for legitimate educational purposes;
- c. Abide by security and information release requirements and observe the “Privacy Flag” that is part of the extracted student data; and
- d. Never release updated extract data as University data.

In addition to safeguarding the extract file, any individual controlling an extract must be aware of the need to maintain overall data integrity. If updates are made to the extracted file for errors that are found and the original source is not also corrected, the data integrity of Student Records System is jeopardized. The anecdote below provides an example.

A college receives extracted data on its students each term. Students’ local and permanent addresses are part of the data received. The extracted data is downloaded to a PC and the college creates a small data base. At some point, the college mails information to all students in a particular degree program. In response to this mailing, the college learns that a student has moved; therefore, the address on file is no longer accurate. When notified, the college updates the PC data base for future mailings.

Unfortunately, in this example, the original address in the Student Records System remains incorrect. The next time that student’s address information is requested, the wrong one will be re-issued. The college should have updated the student address in the Student Records system to maintain integrity. All users of extracted data must be vigilant in maintaining data integrity.

Student Direct Access

The University of South Florida wishes to provide open access to students, with as few restrictions and regulations as possible. Students are afforded direct access to much of their data stored in the student information system. This access is provided so that students have greater flexibility and control over their interactions with the University.

All direct access afforded to students shall be provided through secure means using the appropriate authentication and encryption mechanisms for the delivery medium. Prior to direct access to student information system students are required to read and acknowledge their acceptance of the following Terms of Usage statement:

Terms of Usage

You are entering a secure information area. Unless otherwise noted, any information you enter or change will be effective immediately. You are responsible for any changes made using your NET ID.

Your Password is your access to the system and your records and information. Please do not share your NET ID or Password with others. While you have a right to inspect and review your records, other individuals do not without your consent. The State of Florida has felony laws against unauthorized use, including accessing another user's account. Civil penalties can include imprisonment of up to fifteen years and fines. The university may also impose administrative penalties or sanctions against those who are found to have violated the law.

The University of South Florida wishes to provide open access to students, with as few restrictions and regulations. The Office of the Registrar has been delegated the responsibility for assuring that information about students is released only to individuals that have legally authorized access. If you forget your NET ID and/or Password please contact USF Information Technology Help Desk.

Usage Certification Statement:

For the protection and security of my records as well as those of other students,
I WILL NOT:

1. Access another user's account or misrepresent my identity.
2. Allow another person to access my account or share my password.
3. Intentionally disrupt the legitimate use of computing facilities by other people.

Student Security: NET ID & PASSWORD

Student direct access to records and registration services via Internet requires your USF NET ID and Password. If you forget your NET ID and/or Password, please contact UFS Information Technology Help Desk.

The first time records are accessed through the internet, the student is prompted to enter his/her USF Student ID Number, name, and date of birth to create your NET ID and Password. The first time a student accesses their records through the Internet, s/he is also asked to declare a "Security Question" and its answer.

Five (5) failed attempts to access the same student account will result in the Password being disabled. When the Password record is disabled, all future attempts to access the account are denied. The USF Information Technology Help Desk can assist you in resetting your Password.

NET ID and Passwords are maintained by the University Registrar in the student information system are used in other University systems such as FLVC.org, and the Canvas Portal system. Administrators of these ancillary systems are required to restrict access to NET ID and Password records and only use them for the purpose of allowing students to authenticate to their systems.

Aside from NET ID and Password security, other checks are employed to ensure a secure connection as well as to prevent unauthorized access to an individual student's records. Internet connections to student records are monitored for inactivity. After ten minutes of inactivity the session is timed-out. Any subsequent transaction submitted through the connection requires re-authentication before being processed.

DEPARTMENT OF EDUCATION RECOMMENDATIONS ON SAFEGUARDING PERSONALLY IDENTIFIABLE INFORMATION

The steps below parallel HIPAA, the Gramm-Leach Bliley Act, and the Red Flags Rule in the event of a data breach:

- Report the incident to law enforcement
- Determine what and whose information was compromised
- Take steps to retrieve the compromised information
- Determine how the incident occurred and take immediate steps to prevent further compromise
- Determine what, if any, institutional policies or procedures may have been breached
- Conduct a risk assessment of physical, technical and administrative safeguards
- Notify those students whose personally identifiable information was compromised
- Determine resultant liability and/or disciplinary action

While FERPA does not expressly require notification of students or parents in the event of an information security breach, Florida has breach notification laws that may apply to educational institutions (and not only financial institutions) to notify those whose information was compromised.

SAMPLE form notice to be sent out individually to the students who had information disclosed:

I am writing to notify you that portions of your University of South Florida educational records were unintentionally disclosed on _____ (insert date and time). On behalf of USF and the Department, I apologize for this disclosure. USF values your educational privacy. We are taking active steps to limit further disclosure and to avoid any such occurrence in the future through training and a review of processes.

This disclosure consisted of _____ (insert items disclosed: USF email address, academic information). At this time, USF is not aware of any other disclosure of your educational records. This disclosure was inadvertently made in an email with attachments, which you may have received. If you received educational records for an active or inactive student other than yourself, please immediately delete the record, including any attachments, from your inbox and then delete it again from your deleted items folder. If applicable, please destroy any physical copies of the record(s) you may have.

Please do not hesitate to contact this office if you have questions or comments.

SAMPLE form notice for faculty and non-students who received the email:

On _____ (insert date and time of email) an email was inadvertently sent to your email address. The information contained in the email was not intended for disclosure and is protected by Federal law. Please immediately delete the record from your inbox and then delete it again from your deleted items folder. If applicable, please destroy any physical copies of the record(s) you may have. Thank you for your prompt cooperation and attention to this matter.

Section V. Disaster Recovery/Business Resumption

The Office of the Registrar has a two-part mission: to support the University's teaching function by documenting the extent and quality of students' formal learning experiences at the University of South Florida and to provide exemplary service to students, faculty, and staff, and the general public in the creation, maintenance, and release of student academic records. The Office of the Registrar is specifically responsible for the academic records of students who enroll in credit offerings at the University.

The Office of the Registrar located on the Tampa campus maintains the official student academic records for both degree-seeking and non-degree-seeking students who enroll in credit courses offered by the University of South Florida. There are, however, three exceptions to the University Registrar's responsibility for student records:

1. Academic records for students enrolled at New College were previously maintained in the Office of Records & Registration on the Sarasota Campus, with the New College Provost serving as custodian. Effective Fall Semester 2001, New College of Florida was established as the 11th public university in the State of Florida. Records of students attending prior to Fall 2001 were effectively transferred to the USF Office of the Registrar in 2003.
2. Academic records for students enrolled in the M.D. program are maintained in the College of Medicine, with the Office of Student Affairs as custodian.
3. Student records for non-credit courses are maintained in the Educational Outreach by the School of Continuing Education and Division of Lifelong Learning.

The following sections address only the student academic records that are maintained by the Office of the Registrar and for which the University Registrar is custodian.

As prescribed by Florida Administrative Code (FAC) 6A-10.24(12), the Office of the Registrar maintains complete student records of credit course activity at the institution. These academic records reflect a chronological (by term) history of all credit courses officially attempted at USF, along with the number of credits and the grades earned. When applicable, these records also reflect credits accepted in transfer and credits awarded for demonstrated competencies. Since 1988-89, listings of transfer credits include specific courses with grades and the number of credits accepted. Degrees awarded by USF and relevant degrees awarded by other institutions are also considered to be part of USF student academic records.

The student academic record is the internal document or electronic image maintained by the Office of the Registrar that reflects the unabridged academic history of the student at USF. It is a listing of the student's total quantitative and qualitative learning experiences and achievements. Because the University was founded in the age of computer technology, a machine readable academic record exists for each of the students who ever enrolled in a USF credit course since the University opened in 1960. These machine-readable records or electronic images reside in electronic files that are part of an automated student information system. The system operates in a client-server environment using the Oracle relational data base management system on servers maintained by the USF Division of Information Technology. USF records are accessible in both online and batch modes. The (Banner) student information system was developed and is maintained by

SunGuard Corporation. This proprietary software is in use worldwide by colleges and universities.

In addition to electronic academic records, the Office of the Registrar maintains all documents related to the release of student records as required by the USF Student Records Policy, FAC 6C4-2.0021. Documents that are sources of or were used in administrative support for student permanent records are stored electronically, and/or on microfilm.

To insure against loss of student academic information in the electronic records, the Division of Information Technology technical support staff assure physical protection of Student Information Systems, including software installation and maintenance, database administration, and storage of data. Information Technology maintains real-time replication of data to the Disaster Recovery (DR) site at Clemson University. Additionally there are daily backups of the Student Information System databases to the central tape backup system. There is a schedule of daily incremental backups and weekly full backups as outlined in the IT Data Center Infrastructure procedures. Tapes are sent to the off-site facility (Iron Mountain) weekly. All tapes are encrypted.

Since the primary medium for maintaining USF student records is electronic, the University has taken measures to limit and control access to the Banner Student Information System. Internal security of the Banner instances is enforced by identification of each user via a valid logon ID, authentication of each user via a password, and authorization mechanisms to determine what each user is authorized to do. While Information Technology administers the Banner system security, responsibility for authorizing access to and maintaining security for the Student Information System has been delegated to Primary Process Owners, of which the Office of the Registrar has primary responsibility. On campus, physical access to the Registrar's Office and Information Technology is restricted.

The Registrar's Office also takes measures to insure the confidentiality of documents at the time of disposal. Paper or microfilmed documents with personally identifiable student information are disposed of in two ways: shredding with placement in a recycle bin or trash; or placement in locked recycling bins designated for confidential materials that are later removed by Physical Plant and taken to directly to the incinerator to be burned. The University's contract for recycling with outside vendors calls for appropriate treatment and destruction of confidential documents.

The General Records Schedule A-3 for universities is published statewide by the Division of Library and Information Services, Department of State. This published policy provides public universities in Florida with the minimum requirements for the retention and disposal of specific student records and identifies those records that must be retained permanently. In addition, the USF Student Records Policy details the kinds of requests for and disclosures of information from the student record that must be maintained as part of the student's permanent record. As a public university, USF observes all prescribed minimum records retention periods, follows disposal requirements, and maintains on a permanent basis all records so identified in Schedule A-3 and the USF Student Records Policy.

The USF Records Policy, FAC 6C4-2.0021, establishes institutional policies and procedures for information release, including the release of student records information:

1. To university officials for legitimate educational purposes,
2. Without student consent under the following situations:

- a. To another college or institution where the student seeks/intends to enroll;
- b. To certain federal/state officials who require information to audit or enforce legal conditions related to programs support by federal/state funds;
- c. To parties who provide financial aid to the student in order to establish eligibility, to determine the amount of aid, to establish the conditions for receipt of aid or to enforce terms of an agreement relating to aid,
3. To accrediting organizations to carry out their accrediting functions,
4. To parents of a student if the parents claim the student as a dependent and proof of dependency is furnished to the FERPA Coordinator, and
5. To comply with a lawfully issued subpoena.

In accordance with the Student Records Policy, each year USF publishes a notice of student rights in its undergraduate and graduate catalogs as well as a statement titled, "Privacy and Release of Student Information," or just, "Release of Student Information," in the *USF New Student Manual* (distributed at orientation programs that are required for new undergraduates) and in the *USF Student Handbook*. A website has also been developed that allows students to view the USF privacy policy and update their level of disclosure.

In addition to recordkeeping for students in traditional credit courses, student records are kept for participants in CEU courses and non-credit courses. Educational Outreach maintains computerized participant records for all students who take non-credit courses for Continuing Education Units (CEU's) for all programs administered through accounts in the School's Extension Incidental Auxiliary. In addition, Educational Outreach maintains computerized participant records for students in continuing education activities where CEU's are now awarded but where participants themselves pay for the activity or where attendance or participation is otherwise recorded in activities conducted through the auxiliary.

Glossary

Attendance - Includes but is not limited to (1) attendance - in person or by correspondence study (program) and (2) the period during which a person is working under a work-study (cooperative) program.

Directory Information - May include such student information as the student's name, address, telephone number, date and place of birth, major fields of study, participation in officially recognized activities and sports, weight and height of athletic team members, photograph, dates of attendance, degrees and awards received, most recent educational institution attended, and other similar information as defined by the institution which would not generally be considered harmful to the student, or an invasion of privacy if disclosed.

Disclosure - Is defined as permitting access to or the release, transfer, or other communication of education records of the students or the personally identifiable information obtained therein to any party, orally, in writing, by electronic means, or by any other means.

Drafts - Those prepared materials which constitute mere precursors of governmental "records" and are not, in themselves, intended as final evidence of the knowledge to be recorded. Information in a form which is not intended to perpetuate, communicate, or formalize knowledge of some type; and is fully represented in the final product, is a "Draft" and not a "Public Record." Material of this nature may be disposed of at the discretion of the public agency without prior consent from the Division of Library and Information Services.

Educational Institution - Any public or private agency or institution which receives funds from any federal program under the administrative responsibility of the Secretary of Education. The term refers to the institution as a whole, including all of its components (e.g., schools or departments in a university).

Education Records - Means those records directly related to a student and maintained by the institution or by a party acting for the institution. The term "education records" does not include the following:

- records of instructional, supervisory, administrative, and certain educational personnel which are in the sole possession of the maker thereof, and are not accessible or revealed to any other individual except a substitute who performs on a temporary basis (as defined in the institutional personnel policy) the duties of the individual who made the records.
- records maintained by a law enforcement unit of the educational agency or institution that were created by that law enforcement unit for the purpose of law enforcement.
- records relating to individuals who are employed by the institution, which are made and maintained in the normal course of business, relate exclusively to individuals in their capacity as employees, and are not available for use for any other purpose. (Records of individuals in attendance at an institution who are employed as a result of their status as students are education records, e.g., work study.)
- records relating to a student (see the definition of "eligible student") which are (1) created or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional, acting in his/her professional capacity; (2) used solely in connection with the provision of treatment to the student; and (3) not disclosed to anyone other than individuals providing such treatment, so long as the records can be personally reviewed by a physician or other appropriate professional of the student's choice. (Appropriateness may be determined by the institution.) "Treatment" in this

context does not include remedial educational activities or activities which are part of the program of instruction at the institution

- Records of an institution which contain only information relating to a person after that person is no longer a student at the institution (e.g., information gathered on the accomplishments of alumni).

Eligible Student - Refers to a student who has reached the age of 18 or is attending an institution of postsecondary education. Since these guidelines are specifically for postsecondary institutions, “student” as used in this document is presumed always to refer to an eligible student.

General Records Schedule GS5 for Universities - The document used by State Universities to establish their Records Retention Schedule. It was developed by the Florida Department of State, Division of Archives, History and Records Management.

Institution of Postsecondary Education - Refers to an institution that provides education to students beyond the secondary school level; “secondary school level” means the educational level (not beyond grade 12) at which secondary education is provided.

Law Enforcement Unit Records - Means those records, files, documents, and other material that are (1) created by a law enforcement unit, (2) created for a law enforcement purpose, and (3) maintained by the law enforcement unit. Law enforcement records do not include: (1) records created by a law enforcement unit for law enforcement purpose that are maintained by a component of the educational institution other than the law enforcement unit; (2) records created and maintained by a law enforcement unit exclusively for non-law enforcement purposes such as a disciplinary action or proceeding conducted by the institution.

Legitimate Educational Interest - Mean an Educationally Related purpose which has a directly identifiable educational relationship to the student involved and underlies the request. More particularly, the following criteria shall be taken into account in determining the legitimacy of a University official’s access to student records.

- The official must seek the information within the context of the responsibilities that he or she has been assigned;
- The information sought must be used within the context of official University business and not for purposes extraneous to the official’s area of responsibility or the university;
- The information requested must be relevant and necessary to the accomplishment of some task or to making some determination within the scope of University employment;
- The task must be determined to be consistent with the purposes for which the data are maintained. Requests related to institutional research & studies are subject to this criterion.

Disclosure to a school official having a legitimate education interest does not constitute institutional authorization to transmit, share, or disclose any or all information received to a third party. **AN UNAUTHORIZED DISCLOSURE OF PERSONALLY IDENTIFIABLE INFORMATION FROM THE EDUCATION RECORD OF THE STUDENT IS PROHIBITED.**

Parent - Includes a parent, a guardian, or an individual acting as a student’s parent in the absence of a parent or a guardian.

Personally Identifiable - Means data or information which includes (1) name of the student, the student’s parent, or other family members; (2) the student’s address; (3) a personal identifier such as a social security number or student identification number; or (4) a list of personal characteristics, or other information which would make the student’s identity easily traceable.

Permanent Student Records - Student records that must be retained forever. Paper records that have permanent status are retained in their original form for an established period of time, e.g., 5 - 7 years, after the student was last enrolled. They are then stored in either microfilm/fiche or digitized on optical disk. After these records are stored on another medium, they may be destroyed according to Schedule GS5.

Record - Means any information or data recorded in any medium (e.g. handwriting, print, tapes, film, microfilm, microfiche, any form of electronic data storage).

Records Destruction Request Form - The official state form for requesting approval for destruction of records, according to Schedule GS5 or by a different schedule approved by the State.

Request for Records Retention Schedule or One-Time Disposal Authorization Form - The official state form for requesting authorization for a records retention schedule outside the limits of Schedule GS5 or for a one-time disposal permit.

School Officials - Are those members of an institution who act in the student's educational interest within the limitations of their need to know. These may include faculty, administration, clerical and professional employees and other persons who manage student educational record information.

Student - Includes any individual for whom an educational institution maintains education records. The term does not include an individual who has not been in attendance at the institution. An individual who is or has been enrolled in one component unit of an institution, who applies for admission to a second unit, has no right to inspect the records accumulated by the second unit until enrolled therein.

Student Maintenance Records - Records that are retained for a period of time and then destroyed according to established plans based on Schedule GS5 or another State approved retention schedule.

Student Records Folder Materials - The records stored in student file folders in the Office of the Registrar.

6C4-2.0021 University of South Florida Student Records Policy

Student Records provisions of FERPA ((20 U.S.C. §1232g), are further amplified by Florida State Statutes (Section 1002.22), Board of Education Rules (6C-6.015) and University of South Florida Rules (6C4-2.0021.FAC)).

- (1) Introduction. The policies and procedures outlined in this rule are designed to implement the provisions of the Family Educational rights and Privacy Act [“FERPA”, 20 U.S.C. §1232g], and Florida Statutes Sections 228.093 and 240.237, pursuant to which the University of South Florida is obligated to inform students and parents of their rights to review and inspect education records, to challenge and seek to amend education records, to control disclosure of education records, and to complain to the FERPA Office or to Florida Circuit Court concerning alleged violations by the University of South Florida of any such rights. The University of South Florida has placed the responsibility for administration of this rule with its FERPA Coordinator who is the University Registrar.
- (2) Definitions. The following definitions of terms apply to the construction of this rule:
 - (a) Student – an individual who is registered for an on-or-off campus program leading to the award of academic credit from the University. “Student” does not include individuals participating in the Common Learning Network, Language Institute, Gifted Programs, Speech and Hearing Clinics and non-credit Continuing Education programs.
 - (b) Education Records – those records which are maintained by the University and employees/agents of the University which contain information directly related to a student. “Record”, as used herein, includes any information or data recorded in any medium, including but not limited to, handwriting, print, magnetic tapes and disks, film, microfilm, and microfiche. “Agents”, as used herein, means any individual who, pursuant to express or implied authorization, represents and acts for the University. The following types of records are expressly exempt from the definition of “education records”:
 1. Sole possession records – personal records of University employees/agents which meets the following test:
 - A. It was created by the University employee/agent as a personal memory aid; and
 - B. It is in the sole possession of the University employee/agent who created it; and
 - C. The information contained in it has never been revealed or accessible to any other person, including the student, except the University employee’s/agent’s “temporary substitute”. “Temporary substitute”, as used herein, means an individual who performs on a temporary basis the duties of the University employee/agent.
 2. Employment records – records which are used only in relation to an individual’s employment by the University. However, the following are education records rather than employment records:
 - A. Records relating to a student’s employment by the university if the position in which the student is employed depends on his/her status as a student.

- B. Records relating to a student's employment by the University if the student receives a grade or credit based on his/her performance as an employee.
 3. Pre-attendance records – records relating to an individual's application for admission to the University of South Florida prior to his/her actual attendance as an enrolled student in the program for which application was made. This includes records relating to an application for admission to one of the colleges within the University prior to the individual's actual attendance as an enrolled student in that college.
 4. Alumni records – records created and maintained on an individual as an alumnus/alumna of the University of South Florida.
 5. Law enforcement records – records created and maintained by the University Police which are used solely for law enforcement purposes, are maintained apart from education records, and are not disclosed to individuals other than law enforcement officials of the same jurisdiction; provided that, in addition, no member of the university Police shall have access to education records except where this rule authorizes release without the student's prior written consent.
 6. Health records – records of the University's Student Health Services and Counseling Center for Human Development which are used only for the provision of medical, psychiatric, or psychological treatment and which are kept separate from education records.
- (c) Personal identifier – any data or information that relates a record to an individual. This includes the individual's name, the name of the individual's parents, or other family members, the individual's address, the individual's social security number and any other number or symbol which identifies the individual, a list of the individual's personal characteristics, or any other information which would make the individual's identity known and can be used to label a record as the individual's record.
- (3) Annual Notification.
- (a) The University will publish annually in the graduate and undergraduate catalogs a notice of students' rights under FERPA and Florida Statutes Sections 1022.22.
 - (b) The notice will include, but not be limited to, the following:
 1. The right of the student to inspect and review his/her education records.
 2. the intent of the University to limit the disclosure of information contained in a student's education records to the following circumstances:
 - A. With the student's prior written consent; or
 - B. As an item of directory information which the student has not refused to permit the University to disclose; or,
 - C. Under the FERPA and Florida Statutes provisions which allow the University to disclose information without the student's prior written consent.
 3. The right of a student to request the University to amend any part of his/her education record which he/she believes to be inaccurate, misleading, or in violation of his/her privacy or other rights; and, should the University deny the student's request, the right of the student to a hearing to present evidence that the record is inaccurate, misleading, or in violation of his/her privacy or other rights.

4. The right to report violations of FERPA to the Family Policy Compliance Office of the U.S. Department of Education, and to bring an action in Florida Circuit Court for violations of Florida Statutes Section 1002.22.
 5. The locations where copies of this rule are available to students.
- (4) Locations of Education Records.
- (a) Admission records are located in the Office of Admissions, Student Services Building, and the custodian for such records is the Director of Admissions, University of South Florida, SVC 1036, 4202 East Fowler Avenue, Tampa, FL 33620.
 - (b) Cumulative academic records are located in the Office of the Registrar, Student Services Building, and the custodian for such records is the University Registrar, University of South Florida, SVC 1034, 4202 East Fowler Avenue, Tampa, FL 33620-6950.
 - (c) Medical records are located in Student Health Services, and the custodian for such records is the Director, Student Health Services, SHS 100, 4202 East Fowler Avenue, Tampa, Florida 33620.
 - (d) Psychological/Psychiatric counseling records are located in the Counseling Center for Human Development, Student Services building, and the custodian for such records is the Director, Counseling Center for Human Development, University of South Florida, SVC 2125, 4202 East Fowler Avenue, Tampa, Florida 33620.
 - (e) Student employment records are located in the Student Employment Office, Student Services Building, and the custodian for such records is the Director, Student Employment, University of South Florida, SVC 1037, 4202 East Fowler Avenue, Tampa, Florida 33620.
 - (f) Financial aid records are located in the Financial Aid Office, Student Services Building, and the custodian for such records is the Director, Financial Aid Office, University of South Florida, SVC 1102 4202 East Fowler Avenue, Tampa, Florida 33620.
 - (g) Financial records are located in the Division of Finance and Accounting, Administration Building, and the custodian for such records is the University Controller, Division of Finance and Accounting, University of South Florida, ADM 147, 4202 East Fowler Avenue, Tampa, Florida 33620.
 - (h) Cooperative education and placement records are located in the Career Resource Center, Student Services Building, and the custodian for such records is the Director, Career Development Services, University of South Florida, SVC 2088, 4202 East Fowler Avenue, Tampa, Florida 33620.
 - (i) College records are located in the college dean's office and/or departmental offices of each college or department and in the faculty offices at each college or department and the custodian for such records is the appropriate dean, department chairperson, professor, instructor or lecturer.
 - (j) Disciplinary records are located in the Office of Student Affairs, Administration Building, and the custodian for such records is the Associate Vice President for Student Affairs and Dean of Students, University of South Florida, ADM 151, 4202 East Fowler Avenue, Tampa, Florida 33620.
 - (k) Continuing Education records are located in the Office of the Registrar, Student Services building, and the custodian for such records is the University Registrar, University of South Florida, SVC 1034, 4202 East Fowler Avenue, Tampa, Florida 33620-6950.
 - (l) All records relating to students enrolled in the University's College of Medicine are located in the appropriate College of Medicine office, and the custodian for such records

is the Office of Student Affairs, College of Medicine, University of South Florida, MDC 4, 12901 Bruce B. Downs Boulevard, Tampa, Florida 33612.

- (m) Records relating to students enrolled in the New College program of the University are located in the appropriate New College office, and the custodian for such records is the Provost, New College, University of South Florida, 5700 North Tamiami Trail, Sarasota, Florida 34243.
 - (n) Occasional records, student education records not included in the types or systems listed above, such as copies of correspondence in offices not listed, etc., the FERPA Coordinator will collect such records, direct the student to their location, or otherwise make them available for inspection and review.
- (5) Procedure to Inspect Education Records.
- (a) Students who wish to inspect and review their education records should submit a written request to the appropriate record custodian or to the FERPA Coordinator. The request should identify as accurately as possible the specific records the student wishes to inspect and review. It may identify records according to the types listed in subsection (4) of this rule, as records located at specific places, or as records under the custodianship of specific University employees/agents identified by title. Records listed in this rule as “occasional records” should be identified in terms which will make it possible for the FERPA coordinator to locate them and make them available for the student to inspect and review.
 - (b) The FERPA Coordinator or the record custodian shall either permit the student to immediately inspect and review his/her education records or advise the student when and where the records will be available for inspection and review. Access to education records requested in compliance with this rule shall be granted within a reasonable period of time, but in no case more than thirty (30) calendar days after the FERPA Coordinator or the record custodian receives the student’s written request. The FERPA Coordinator or the record custodian or his/her designee shall have the right to be present while the student inspects and reviews the records. Upon reasonable request, the University shall furnish the student with an explanation or interpretation of his/her record.
 - (c) Upon reasonable request and demonstration to the FERPA Coordinator that the failure to provide the student with copies of the requested education records will effectively deny the student the right to inspect and review such records, the University will arrange for the student to obtain copies of such records. In the event that the student has an unpaid financial obligation to the University, he/she shall not be entitled to transcripts or copies of education records.
 - (d) When records contain personally identifiable information about more than one student, a student may inspect only that information which relates to him/her.
 - (e) The University reserves the right to refuse to permit a student to inspect and review the following education records:
 - 1. The financial records of the parents of the student or any information contained therein;
 - 2. Statements and letters of recommendation prepared by University officials or submitted with the student’s application for admission which were placed in the student’s records before January 1, 1975 or for which the student has waived his/her right of access in writing; provided, however, that if such statements and

letters of recommendation have been used for any purpose other than that for which they were originally prepared, the student may inspect and review them.

3. Those records which are excluded from the definition of “education records” under this rule.
- (6) Copies of Education Records.
- (a) Fees: The University will charge the following the following fees for copies of education records:
 1. University of South Florida official transcripts - \$5.00.
 2. FERPA required copies of education records – the fee for FERPA requires copies of education records shall be Ten Cents (\$.10) per page, which reflects actual copying costs but does not include the cost of search and retrieval. Copies of education records are required by FERPA under the following circumstances:
 - A. A failure to provide such copies would effectively deny the student the right to inspect and review his/her records; or the student the right to inspect and review his/her records; or
 - B. The University has disclosed information from the student’s education records under authority of the student’s prior written consent and the student requests a copy of the information disclosed; or
 - C. The student requests copies of records the University has disclosed to other schools where the student seeks or intends to enroll.
 3. Copies (not signed and certified) of education records will be available to students when administratively possible, even though not required by FERPA, at a copying cost of One Dollar (\$1.00) per page plus the actual cost of search, retrieval and mailing.
 - (b) When administrative costs of collecting fees exceed the amount which would be received, the FERPA Coordinator shall be authorized to waive such fees.
 - (c) The University reserves the right to deny transcripts or copies of records not required by FERPA in any of the following situations:
 1. The student has an unpaid financial obligation to the University of South Florida.
 2. There is an unresolved disciplinary action against the student.
 3. There is an unresolved litigation between the student and the University of South Florida.
- (7) Directory Information.
- (a) Designation of directory information. The University hereby designates the following described personally identifiable information contained in a student’s education record as “directory information” in order that the University may, at its discretion, disclose the information without a student’s further prior written consent:
 1. The student’s name.
 2. The student’s local and permanent addresses.
 3. The student’s local and permanent telephone listings.
 4. Date and place of birth.
 5. The student’s classification and major field of study.
 6. The student’s participation in officially recognized activities and sports.
 7. The weight and height of members of athletic teams.
 8. The student’s dates of attendance part-time or full-time status, degrees and awards received, and most recent previous educational agency or institution attended.

9. The student's photographic image.
 10. Other similar information.
- (b) Student's refusal to permit disclosure of "directory information." The University will publish in the Schedule of Classes for each academic term the above list, or a revised list, of the items of information it proposes to designate as "directory information." Students must notify the FERPA Coordinator in writing if they refuse to permit the University to disclose directory information about themselves; such notification must be received by the FERPA Coordinator no later than the end of the second week of classes of the academic term or the student will be deemed to have waived his/her right of refusal until the next academic term. When the FERPA Coordinator receives a student's refusal to permit the University to disclose "directory information" about that student, the FERPA Coordinator will notify the appropriate records custodians of the student's action. The records custodians will not make any further disclosures of directory information about that student without the student's prior written consent except to the extent authorized by FERPA and the Florida Statutes.
- (c) Publication of directory information in the University Directory. The University of South Florida proposes to publish for each academic year a University Directory which will contain certain items of directory information respecting students who are registered during the Fall Semester of such academic year. Students registering during the Fall Semester must notify the FERPA Coordinator in writing of their refusal to permit the university to disclose or publish directory information in the University Directory; such notification must be received by the FERPA Coordinator no later than the end of the second week of classes of the Fall Semester or the student will be deemed to have waived his/her right of refusal with respect to the University Directory until Semester One of the next academic year.
- (d) Requests for directory information. All requests for directory information about students should be referred to the FERPA Coordinator.
- (8) Use of Education Records. All custodians of a student's education records and other University employees/agents will follow a strict policy that information contained in a student's education record is confidential and may not be disclosed to third parties without the student's prior written consent except as otherwise provided in this section.
- (a) University officials shall have access to student education records for legitimate educational purposes.
1. "University official," as used herein, means:
 - A. A person currently serving as a member of the Florida Board of Education.
 - B. A person under contract to the Florida Board of Education/University of South Florida or the Florida department of Administration in any faculty or staff position at the University of South Florida.
 - C. A person employed by the Florida Board of Education as a temporary substitute for a staff member or faculty member at the University of South Florida for the period of his/her performance as a substitute.
 - D. A person employed by the Florida Board of Education or under contract to the Florida Board of Education to perform a special administrative task for the University of South Florida. Such persons may be employed as secretaries, clerks, attorneys, auditors, and consultants. They shall be

- considered to be University officials for the period of their performance as an employee or contractor.
2. “Legitimate educational purpose,” as used herein, means a University official’s need to know in order to:
 - A. Perform an administrative task outlined in the official’s position description or contract; or
 - B. Perform a supervisory or instructional task directly related to the student’s education; or
 - C. Perform a service or benefit for the student such as health care, counseling, student job placement, or student financial aid.
- (b) Under the following circumstances, University officials may make disclosures of personally identifiable information contained in the student’s education records without the student’s consent:
1. To another college or university where the student seeks or intends to enroll.
 2. To certain federal and state officials who require information in order to audit or enforce legal conditions related to programs at the University supported by federal or state funds.
 3. To parties who provide or may provide financial aid to the student in order to:
 - A. Establish the student’s eligibility for the financial aid;
 - B. Determine the amount of financial aid;
 - C. Establish the conditions for the receipt of the financial aid; or
 - D. Enforce the terms of the agreement between the provider and the receiver of the financial aid.
 4. To state or local officials in compliance with state law adopted prior to November 19, 1974.
 5. To an individual or organization under written agreement or contract with the University of South Florida or the Florida Board of Education for the purpose of conducting a study on the University’s behalf for the development of tests, the administration of student aid, or the improvement of instruction.
 6. To accrediting organizations to carry out their accrediting functions.
 7. To parents of a student if the parents claim the student as a dependent under the Internal Revenue code of 1954. The University will exercise this option only on the condition that evidence of such dependency is furnished to the FERPA Coordinator.
 8. To comply with a lawfully issued subpoena or judicial order of a court of competent jurisdiction. The University will make a reasonable effort to notify the student before it makes a disclosure under this provision.
 9. The result of a disciplinary proceeding may be released to the victim of the student’s crime of violence.
 10. All requests for disclosure under the nine (9) circumstances listed above, where the University may disclose personally identifiable information without the student’s prior consent to third parties other than its own officials, will be referred to the FERPA Coordinator or appropriate records custodian.
- (c) University officials are authorized to make necessary disclosures from student education records, without the student’s prior consent in a health or safety emergency if the University official deems:

1. The disclosure to be warranted by the seriousness of the threat to the health or safety of the student or other persons; and
 2. The information disclosed is necessary and needed to meet the emergency; and
 3. The persons to whom the information is disclosed are qualified and in a position to deal with the emergency; and
 4. Time is an important and limiting factor in dealing with the emergency.
- (d) University officials may not disclose personally identifiable information contained in a student's education record, except directory information or under the circumstances listed above, except with the student's prior written consent. The written consent must include the following:
1. A specification of the information the student consents to be disclosed;
 2. The person or organization or the class of persons or organizations to whom the disclosure may be made; and
 3. The date of the consent.
- (e) The student may obtain a copy of the records the University discloses pursuant to the student's prior written consent.
- (f) The University will not release information contained in a student's education records, except directory information, to any third parties except its own officials, unless those third parties agree that they will not disclose the information without the student's prior written consent.
- (9) Records of Requests for Access and Disclosures Made from Education Records.
- (a) All requests for disclosures of information contained in a student's education record or for access to the record made by persons other than University officials or the student or those requests accompanied by the student's prior written consent will be submitted to the FERPA Coordinator or appropriate records custodian. The FERPA Coordinator or appropriate records custodian will approve or disapprove all such requests for access and disclosures and, except for requests for directory information, he/she will maintain a record of these actions.
- (b) This record of requests/disclosures shall include the following information:
1. The name of the person or agency that made the request.
 2. The interest the person or agency had in the information.
 3. The date the person or agency made the request.
 4. Whether the request was granted and, if it was, the date access was permitted or the disclosure was made.
- (c) The University will maintain this record of requests/disclosures as long as it maintains the student's education record.
- (10) Procedures to Request Amendment of and Challenge Education Records.
- (a) Students have the right to, in accordance with this rule, request amendment of and challenge the content of their education records.
- (b) Definitions.
1. The term "incorrect" is used herein to describe a record that is inaccurate, misleading, or in violation of the privacy or other rights of students. A record is not "incorrect", for purposes of this rule, where the requestor wishes to challenge the evaluation reflected by the grade an instructor assigns for a course.
 2. The term "requestor" is used herein to describe a student or former student who is requesting the University to amend a record.

- (c) Students who believe that their education records contain information which is incorrect should informally discuss the problem with the record custodian. If the record custodian finds the information is incorrect because of an obvious error, and it is a simple matter to amend it to the satisfaction of the requestor, the record custodian may make the amendment.
- (d) If the record custodian cannot amend the record to the requestor's satisfaction or if the record does not appear to be obviously incorrect, the record custodian will:
 - 1. Provide the requestor a copy of the questioned record at no cost; and
 - 2. Ask the requestor to initiate and provide the record custodian a written request for the amendment; such written request must identify the information which the requestor believes is incorrect, must state why such information is incorrect, and must be dated and signed by the requestor.
- (e) The record custodian will send the request, together with a written explanation of his/her refusal to amend the record to the requestor's satisfaction, to the FERPA Coordinator. The FERPA Coordinator will examine the request, discuss it with appropriate University officials, including the person who initiated the record, the University General Counsel, and other persons who might have an interest in the questioned record. At the conclusion of this investigation, the FERPA Coordinator will summarize his/her findings, make a recommendation for the University's action, and deliver the request, the record custodian's written explanation, his/her summary of findings, and his/her recommendation to the University President.
- (f) The University President will instruct the FERPA Coordinator whether the record should or should not be amended in accordance with the request. If the University President's decision is to amend the record, the FERPA Coordinator will advise the record custodian to make the amendment. The record custodian will advise the requestor in writing when he/she has amended the record and invite the requestor to inspect the record.
- (g) If the University President's decision is that the record is correct and should not be amended, the FERPA Coordinator will prepare and send the requestor a letter stating the decision. This letter will also inform the requestor that the requestor has a right to a hearing pursuant to the Florida Administrative Procedures Act to challenge the University's decision not to amend.
- (h) In the event the education records are not amended to the requestor's satisfaction, the requestor shall have the right to place with the education records a written statement explaining, commenting upon, or disagreeing with information contained in the education records. This statement shall be maintained as part of the student's education record for as long as the University maintains the questioned part of the record. Whenever the questioned part of the record is disclosed, the student's written statement shall also be disclosed.
- (11) Right of Waiver of Access - The University may request a waiver of access to evaluations and letters of recommendation related to admissions, employment applications and receipt of honors. While such a waiver may be requested, requests for waivers do not constitute a pre-condition for admission, financial aid, or any services or benefits. Upon request, students who have waived access to such items can receive a listing of all individuals providing confidential recommendations or evaluations.

Specific Authority §120.53(1)(a),(b), 240.227(1), 240.237 FS.

Law Implemented §120.53(1)(a), 240.227(1), 228.093, 240.237 FS

History – New 4-19-83, Formerly 6C4-2.021, Amended 3-15-92, 1-7-93.

NAME OF PERSON ORIGINATING PROPOSED RULE AMENDMENT:

Linda Erickson, Registrar

NAME OF SUPERVISOR OR PERSONS WHO APPROVED THE PROPOSED RULE

AMENDMENT: G.G. Meisels, Provost

DATE PROPOSED RULE AMENDMENT APPROVED:

State of Florida

GENERAL RECORDS SCHEDULE GS5 FOR PUBLIC UNIVERSITIES AND COLLEGES



June 1, 2012

Florida Department of State
Division of Library and Information Services

Tallahassee, Florida

850.245.6750

<http://info.florida.gov/RecordsManagers>

GENERAL RECORDS SCHEDULE GENERAL INFORMATION AND INSTRUCTIONS

FOREWORD

The **general records schedules** established by the Department of State are intended for use by state, county, city, and special district public records custodians. If you are unsure of your organization's status as a public agency, consult your legal counsel and/or the Florida Attorney General's Office for a legal opinion. The Department of State publishes the following general records schedules:

GS1-SL	State and Local Government Agencies
GS2	Law Enforcement, Correctional Facilities, and District Medical Examiners
GS3	Election Records
GS4	Public Hospitals, Health Care Facilities and Medical Providers
GS5	Public Universities and Colleges
GS7	Public Schools Pre-K-12 and Adult and Career Education
GS8	Fire Departments
GS9	State Attorneys
GS10	Public Defenders
GS11	Clerks of Court
GS12	Property Appraisers
GS13	Tax Collectors
GS14	Public Utilities
GS15	Public Libraries

All Florida public agencies are eligible to use the GS1-SL, which provides retention periods for the most common administrative records such as routine correspondence and personnel, payroll, financial and legal records. General records schedules GS2 through GS15 are applicable to program records of specific functional areas, such as elections administration, tax collecting, or law enforcement, each of which has unique program responsibilities and thus unique records retention requirements. The GS2 through GS15 should be used in conjunction with the GS1-SL to cover as many administrative and program records as possible. The **General Records Schedule GS5 for Public Universities and Colleges** covers records commonly created and/or maintained by public universities and colleges.

The retention periods set forth in the general records schedules are based on federal and state laws and regulations, general administrative practices, and fiscal management principles. Please note that these are **minimum** retention periods; public agencies may retain their records longer at their discretion. In fact, certain accreditation committees may have standards that require longer retention periods. Contact your accrediting organization for more information on their requirements. In addition, federal, state or local laws and regulations regarding recordkeeping and records retention for specific agencies or specific types of records might require a longer retention than indicated in this general schedule. Agencies should be aware of all laws and regulations relating to their records and recordkeeping requirements. However, remember that a public agency is **not** permitted to **reduce** the retention periods stated in a general records schedule.

General Records Schedule GS5 for Public Universities and Colleges

For additional information on records retention and disposition, please refer to *The Basics of Records Management* handbook, which, along with all Florida general records schedules, is available on the Department of State's *Services for Records Managers* website at:

<http://info.florida.gov/RecordsManagers>.

To obtain an individual printed copy or electronic copy, fax your request to 850.245.6795, Attention: Receptionist; contact the Records Management Program at 850.245.6750; or email recmgt@dos.state.fl.us.

RECORDS RETENTION SCHEDULES

ACADEMIC PROMOTION/TENURE RECORDS

Item #80

This record series consists of the promotion portfolio or other documentation required for the review of applications for promotion and/or tenure. For each application, the series may include, but is not limited to, copies of applicable promotion criteria and standards; current curriculum vitae; employee's annual assignments; ratings received on annual evaluations; documentation supporting the employee's performance relative to promotion criteria and standards; employee's promotion appraisal(s); and other related documentation. A record of the approval, denial, or withdrawal of the application should be included in the official employee's personnel file; the institution determines what documentation serves as this record.

RETENTION:

- a) Record copy. 5 anniversary years.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ACCREDITATION RECORDS

Item #96

This record series consists of accreditation report and final self-study documenting the process and status of becoming accredited and/or activities associated with reporting and/or confirming the accreditation status of the school. See also "ACCREDITATION RECORDS: SUPPORTING DOCUMENTS."

RETENTION:

- a) Record copy. 5 fiscal years then transfer to applicable agency provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ACCREDITATION RECORDS: SOUTHERN ASSOCIATION COLLEGE/SCHOOL

Item #2

This record series consists of accreditation records, visiting accreditation team reports, related correspondence, board reviews, updates and status documentation. See also "ACCREDITATION RECORDS" and "ACCREDITATION RECORDS: SUPPORTING DOCUMENTS."

RETENTION:

- a) Record copy. 10 anniversary years after final action provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ACCREDITATION RECORDS: SUPPORTING DOCUMENTS

Item #39

This record series consists of supporting documents documenting the process and status of becoming accredited and/or activities associated with reporting and/or confirming the accreditation status of school. See also "ACCREDITATION RECORDS."

RETENTION:

- a) Record copy. 1 anniversary year after accredited.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ADMISSION RECORDS: DENIED/UNREGISTERED STUDENTS

Item #97

This record series documents students who applied for admission but were denied admission or did not register. Records may include, but are not limited to, correspondence, applications, transcripts, equivalency diploma, residency affidavit, conditional enrollment form, and readmission forms of students who had previously been denied admission. See also "ADMISSION RECORDS: REGISTERED STUDENT."

RETENTION:

- a) Record copy. 5 fiscal years after application submitted.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ADMISSION RECORDS: REGISTERED STUDENTS

Item #41

This record series consists of correspondence, application, transcripts, equivalency diploma, residency affidavit, conditional enrollment form, and readmission forms of students who have registered for classes. See also "ADMISSION RECORDS: DENIED/UNREGISTERED STUDENTS."

RETENTION:

- a) Record copy. 5 anniversary years after attendance provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ANNUAL REPORTS: DEPARTMENTAL

Item #43

This record series consists of summaries of departmental, university or division activities by year. These reports may be used in compiling the official college/university annual report. For retention of the official annual report of the college/university, see *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #245, Annual Reports, Governing Body.

RETENTION:

- a) Record copy. 3 fiscal years.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ANNUAL REPORTS: FEDERALLY FUNDED PROGRAMS

Item #44

This record series consists of Integrated Postsecondary Education Data System (IPEDS) reports; Office of Civil Rights (OCR) reports; and Equal Employment Opportunity Commission (EEOC) reports, specifically the EEO-6 report, Higher Education Staff Information. Retention pursuant to 29CFR1602.50, Requirement for filing and preserving copy of report.

RETENTION:

- a) Record copy. 3 anniversary years.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

CLASS ROLLS

Item #6

This record series consists of rosters of all students enrolled in each class during a particular grading period.

RETENTION:

- a) Record copy. 3 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

CLASS, COURSE, ROOM, AND FACULTY SCHEDULES

Item #48

This record series documents class meeting times and days for each course, room assignments, and teaching schedules, including office hours.

RETENTION:

- a) Record copy. Retain until end of semester.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

COURSE AND PROGRAM RECORDS: DESCRIPTIONS AND REQUIREMENTS

Item #50

This record series documents degree program areas and courses offered in each program area. The series may include, but is not limited to, course descriptions, program requirements and other documentation related to each course and program.

RETENTION:

- a) Record copy. Retain until obsolete, superseded or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

COURSE AND PROGRAM RECORDS: PROFESSOR/DEPARTMENT FILES

Item #34

This record series consists of course and program documentation maintained by individual professors, instructors, or program departments. The series may include, but is not limited to, schedules, course outlines, syllabi, policies, plans, instructional materials, evaluation tools, development materials, and other documentation related to each course and program.

RETENTION:

- a) Record copy. 2 anniversary years after training provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

DIRECTIVES/POLICIES/PROCEDURES: PRESIDENT/PROVOST

Item #51

This record series consists of the official management statements of policy from the president's or provost's office for the university and the operating procedures which outline the methods for accomplishing the functions and activities assigned to each department. It includes all memoranda and correspondence generated relating to the policies and procedures which are to be followed by employees. ***These records may have archival value.***

RETENTION:

- a) Record copy. 10 anniversary years after obsolete or superseded. ***Agencies should ensure appropriate preservation of records determined to have long-term historical value.***
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

DISCIPLINE RECORDS: STUDENT (MAJOR OFFENSE)

Item #53

This record series documents the conduct and results of investigations into major offenses as defined by the university or college, including but not limited to offenses resulting in expulsion. The series may include, but is not limited to, minutes of the discipline committee, student court records, correspondence, investigative reports, notices of hearings, hearing transcripts, recommendations, expulsion notices, and final action records. Final actions should be posted to the STUDENT EDUCATION RECORDS: PERMANENT ACADEMIC FILE. See also "DISCIPLINE RECORDS: STUDENT (MINOR OFFENSE)" and "DISCIPLINE RECORDS: STUDENT (NO VIOLATION FOUND)."

RETENTION:

- a) Record copy. 5 anniversary years after graduation, transfer, withdrawal, or final action, whichever is latest, provided final action posted to student's permanent academic record.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

DISCIPLINE RECORDS: STUDENT (MINOR OFFENSE)

Item #54

This record series documents the conduct and results of investigations into minor offenses as defined by the university or college, including but not limited to offenses resulting in suspension. The series may include, but is not limited to, minutes of the discipline committee, student court records, correspondence, investigative reports, notices of hearings,

hearing transcripts, recommendations, suspension notices, and final action records. See also "DISCIPLINE RECORDS: STUDENT (MAJOR OFFENSE)" and "DISCIPLINE RECORDS: STUDENT (NO VIOLATION FOUND)."

RETENTION:

- a) Record copy. 3 anniversary years after final action.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

DISCIPLINE RECORDS: STUDENT (NO VIOLATION FOUND)

Item #98

This record series consists of minutes of the discipline committee, student court, correspondence, and other supporting documents regarding a student found not to have committed an offense. See also "DISCIPLINE RECORDS: STUDENT (MAJOR OFFENSE)," and "DISCIPLINE RECORDS: STUDENT (MINOR OFFENSE)."

RETENTION:

- a) Record copy. 60 days after dismissal of case.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

DROP/ADD REQUEST RECORDS

Item #40

This record series consists of drop/add requests submitted by students for the purposes of dropping and/or adding classes at the beginning of a semester. This is not to be confused with withdrawal records. See also "WITHDRAWAL RECORDS."

RETENTION:

- a) Record copy. 1 semester after posted.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

EDUCATIONAL AND EMPLOYMENT EQUITY REPORTING RECORDS

Item #99

This record series documents efforts to comply with the requirements of the Florida Educational Equity Act (Section 1000.05, *Florida Statutes*, Discrimination against students and employees...) and the Florida College System Institution Employment Equity Accountability Program (Section 1012.86, *Florida Statutes*). The series may include, but is not limited to, implementation plans, corrective action plans, progress reports, employment data, enrollment data, and other related documentation. Retention is based on Section 1012.86(1), *Florida Statutes*, and Statute of Limitations, Section 95.11(3), *Florida Statutes*.

RETENTION:

- a) Record copy. 4 anniversary years provided compliance achieved and maintained for at least 3 consecutive years prior to disposition.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

EDUCATIONAL PLANT SURVEY REPORTS

Item #20

This record series consists of reports of educational space and facilities as required every five years by Section 1013.31, *Florida Statutes*, Educational plant survey; localized need assessment; PECO project funding. The surveys, as defined in Section 1013.01(8), *Florida Statutes*, report such information as how facilities are used, square footage allotted to each educational program, and assessments and recommendations for capital improvements, custodial services, sanitation facilities, safety, Americans with Disabilities Act modifications, and building envelope replacements.

RETENTION:

- a) Record copy. 5 fiscal years after superseded by new report provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

EMPLOYEE FEE WAIVER RECORDS

Item #55

This record series consists of waiver forms on tuition given to university/college employees.

RETENTION:

- a) Record copy. 5 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ENROLLMENT RECORDS

Item #7

This record series consists of, but is not limited to, reports on cumulative credit hours, equivalency, and enrollment, as submitted to the Division of Florida Colleges.

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

EXAMINATION MATERIALS: NON-STANDARDIZED

Item #56

This record series consists of materials necessary to administer non-standardized examinations and tests to facilitate measuring student's performance or level of acquired knowledge. This record series includes those tests administered by the professor/instructor. The series may include, but is not limited to, test questions, answer keys, student examination responses, and test administration instructions. See also "EXAMINATION MATERIALS: STANDARDIZED" and "EXAMINATIONS: GRADUATION/CERTIFICATION."

RETENTION:

- a) Record copy. 1 semester after expiration of appeal process.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

EXAMINATION MATERIALS: STANDARDIZED

Item #57

This record series consists of materials necessary to administer standardized examinations and tests to facilitate measuring students' performance or level of acquired knowledge. This record series also includes those tests administered by the professor/instructor. See also "EXAMINATION MATERIALS: NON-STANDARDIZED" and "EXAMINATIONS: GRADUATION/CERTIFICATION."

RETENTION:

- a) Record copy. 3 fiscal years provided test scores posted to permanent record and provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

EXAMINATIONS: GRADUATION/CERTIFICATION

Item #100

This record series consists of examinations taken by students in classes required for certification or graduation. The series may include, but is not limited to, students' information and examination responses (as recorded on bubble answer sheets, scantron forms or any other format), test questions and answer keys, and test administration instructions. See also "STUDENT CLASS WORK RECORDS."

RETENTION:

- a) Record copy. 1 anniversary year after final class grades posted provided no appeal is pending.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

FACULTY SABBATICAL/PROFESSIONAL DEVELOPMENT LEAVE RECORDS

Item #101

This record series consists of correspondence, applications, and reports of accomplishment for faculty who are granted sabbaticals or professional development leave. The series does not include the record copy of financial records relating to the sabbatical/leave. A copy of the notification of approval or denial of sabbatical/leave should be filed with the applicable personnel record.

RETENTION:

- a) Record copy. 5 fiscal years after final report submitted or notification of denial.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

FEDERAL POSTSECONDARY EDUCATION SURVEYS

Item #65

This record series consists of surveys completed as required for participation in federal student financial aid programs such as Pell Grants and other federal student loan programs. The surveys report such data as enrollments, program completions, graduation rates, faculty and staff, finances, institutional prices, and student financial aid. Surveys may be part of the Integrated Postsecondary Education Data System (IPEDS) Series, its predecessor the Higher Education General Information Survey (HEGIS) Series, or any other required federal data collection effort.

RETENTION:

- a) Record copy. 5 fiscal years after final report provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

FINANCIAL AID RECORDS

Item #60

This record series documents financial aid awards to enrolled students and may include, but is not limited to, student applications, award computations, acceptance letters, student assignments, and evaluations. See also "FINANCIAL AID RECORDS: STUDENTS NEVER ENROLLED," "SCHOLARSHIP/GRANT-IN-AID RECORDS: ATHLETIC" and "SCHOLARSHIP/LOAN RECORDS."

RETENTION:

- a) Record copy. 5 fiscal years after last enrollment provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

FINANCIAL AID RECORDS: STUDENTS NEVER ENROLLED

Item #102

This record series documents financial aid awards that were never paid because the students did not enroll or were denied admission. The series may include, but is not limited to, correspondence, applications, award computations, and other related records. See also "FINANCIAL AID RECORDS," "SCHOLARSHIP/GRANT-IN-AID RECORDS: ATHLETIC" and "SCHOLARSHIP/LOAN RECORDS."

RETENTION:

- a) Record copy. 1 fiscal year after financial aid awarded without enrollment or admission denied.
- b) Duplicates. Retain until obsolete, superseded, or administrative value lost.

FINANCIAL OBLIGATION CLEARANCE RECORDS

Item #10

This record series consists of forms that are maintained by the Learning Resource Center and are completed whenever students are cleared of their library fines. After clearance, the forms are sent to the Registrar's Office so that the hold can be lifted from the student's file.

RETENTION:

- a) Record copy. 5 fiscal years after clearance provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

GRADE RECORDS: DATA INPUT FORMS

Item #62

This record series consists of instructor grade reports, grade sheets, and grade changes that are used to create and update the students' transcripts.

RETENTION:

- a) Record copy. 1 semester provided posted to Student Record.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

IDENTIFICATION CARD RECORDS: FEE PAID

Item #66

This record series documents identification cards issued to students, employees, and other authorized individuals, for which a fee is paid. The series may include, but is not limited to, such information as name, photograph, date of birth, height, weight, sex, race, and terms and conditions of card usage. See also "IDENTIFICATION CARD RECORDS: NO FEE PAID."

RETENTION:

- a) Record copy. 5 fiscal years or until card no longer valid, whichever is later, provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

IDENTIFICATION CARD RECORDS: NO FEE PAID

Item #67

This record series documents identification cards issued to students, employees, and other authorized individuals, for which no fee is paid. The series may include, but is not limited to, such information as name, photograph, date of birth, height, weight, sex, race, and terms and conditions of card usage. See also "IDENTIFICATION CARD RECORDS: FEE PAID."

RETENTION:

- a) Record copy. Retain as long as card is valid.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

IN-SERVICE EDUCATION RECORDS

Item #14

This record series documents continuing professional education programs conducted for professors and instructors. The records provide such information as component name and identification number, program objectives, activities description, component evaluation, budget, names of participants, and performance records. Documentation of individual participation should be filed with the individual's personnel file.

RETENTION:

- a) Record copy. 5 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

INSTITUTIONAL RESEARCH REPORTS

Item #15

This record series consists of institutional research reports generated by the college along with supporting documentation. The series may include reports prepared routinely or by specific request to provide information about the institution and its students. This series does not include personal research files of faculty. *These records may have archival value.*

RETENTION:

- a) Record copy. 10 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

INSTRUCTOR EVALUATIONS

Item #68

This record series consists of evaluations of faculty members completed by their students each term.

RETENTION:

- a) Record copy. 1 semester after submitted.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

INTERN SUPERVISOR PARTICIPATION CERTIFICATES

Item #69

This record series consists of Internship Participation Certificates awarded to persons who supervise interns or student teachers. Once issued, the certificate is valid for three years and may be used at any school in the State University System. The bearer is also entitled to a tuition waiver for up to six credit hours of instruction.

RETENTION:

- a) Record copy. 5 fiscal years after expiration.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

PARKING TICKETS: FINE ASSESSED

Item #103

This record series consists of copies of parking tickets issued on campus by campus police/security for which a fine was assessed. This series does not include state uniform traffic citations which are filed with the Clerk of Court and covered by *General Records Schedule GS2 for Law Enforcement*, Item #103, CITATIONS. See also "PARKING TICKETS: NO FINE ASSESSED."

RETENTION:

- a) Record copy. 5 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded, or administrative value lost.

PARKING TICKETS: NO FINE ASSESSED

Item #104

This record series consists of copies of parking tickets issued on campus by campus police/security for which no fine was assessed. This series does not include state uniform traffic citations which are filed with the Clerk of Court and covered by *General Records Schedule GS2 for Law Enforcement*, Item #103, CITATIONS. See also "PARKING TICKETS: FINE ASSESSED."

RETENTION:

- a) Record copy. 180 days after ticket issued.
- b) Duplicates. Retain until obsolete, superseded, or administrative value lost.

PHYSICAL PLANT STATISTICAL REPORTS

Item #78

This record series consists of statistical reports accumulated as a result of new construction and major renovation projects of the college.

RETENTION:

- a) Record copy. 5 fiscal years after superseded by new report provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

PLACEMENT REPORTS

Item #18

This record series consists of yearly placement reports of adult career and technical education programs which show percentage of placement of students.

RETENTION:

- a) Record copy. 3 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

REGISTRATIONS: STUDENT

Item #27

This record series consists of records for registration providing such information as name, validation number, fees, course name, and department.

RETENTION:

- a) Record copy. 5 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

SCHOLARSHIP/GRANT-IN-AID RECORDS: ATHLETIC

Item #105

This record series consists of information pertaining to the eligibility of players and receipts of financial aid in the form of scholarships, including grant-in-aid scholarships, maintained to monitor accounts and to assist in complying with National Collegiate Athletic Association (NCAA), National Association of Intercollegiate Athletics (NAIA), and conference rules and regulations. The series may include, but is not limited to, squad lists containing summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; Student-Athlete Health Insurance Portability and Accountability Act (HIPAA) Authorization/Buckley Amendment Consent-Disclosure of Protected Health Information forms; and other related documentation and correspondence. See also "FINANCIAL AID RECORDS" and "SCHOLARSHIP/LOAN RECORDS."

RETENTION:

- a) Record copy. 6 anniversary years after graduation, last date of attendance, leaving program, or eligibility is exhausted.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

SCHOLARSHIP/LOAN RECORDS

Item #83

This record series consists of complete files on scholarship recipients and student loans. These files may include, but are not limited to, applications, award letters, letters of acceptance, renewal applications, correspondence, deferment forms, cash payment receipts, certificate of service receipts, terms of the loan or scholarship stipulating how the funds are to be used, account cards, and other related records. File established to maintain complete record of scholarship from application until all notes are satisfied. See also "FINANCIAL AID RECORDS" and "SCHOLARSHIP/GRANT-IN-AID RECORDS: ATHLETIC."

RETENTION:

- a) Record copy. 5 fiscal years after paid or declared uncollectable provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STATE STUDENT ASSESSMENT RECORDS: TEST RESULTS/REPORTS

Item #84

This record series documents results of assessment testing conducted to assess students' mastery of basic skills as required by Section 1004.91, *Florida Statutes*, Career-preparatory instruction. The series may include, but is not limited to, results and reports of such tests as Tests of Adult Basic Education (TABE), Wonderlic Basic Skills Test (WBST), College-Level Academic Skills Test (CLAST), "ASSET," American College Testing (ACT), Florida College Entry-Level Placement Test or Multiple Assessment Placement Service (MAPS), Postsecondary Education Readiness Test (PERT), College Level Examination Proficiency (CLEP), Florida Teacher Certification Exam (FTC), DANTES Subject Standardized Tests (DSST), Miller's Analogy Test (MAT), Graduate Record Examinations (GRE), Graduate Management Admission Test (GMAT), Test of Essential Academic Skills (TEAS), and Scholastic Aptitude Test (SAT). See also "EXAMINATION MATERIALS: STANDARDIZED."

RETENTION:

- a) Record copy. 3 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT ADVISEMENT/COUNSELING RECORDS: GRADUATE

Item #86

This record series consists of documentation used by student advisors or counselors to assist in advising individual students who have graduated. The series may include, but is not limited to, results of interest inventories; individual aptitude and ability tests; personality inventories; placement tests, for instance: AET, College Entrance Examination Board (CEEB), School and College Abilities Test (SCAT), and BCC; counselors' notes; copies of transcripts; grade reports; personal data sheets; appointment and advisement slips; correspondence; and other documents. See also "STUDENT ADVISEMENT/COUNSELING RECORDS: TRANSFER/WITHDRAWAL."

RETENTION:

- a) Record copy. 1 anniversary year after graduation.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT ADVISEMENT/COUNSELING RECORDS: TRANSFER/WITHDRAWAL

Item #87

This record series consists of documentation used by student advisors or counselors to assist in advising individual students who have transferred or withdrawn. The series may include, but is not limited to, result of interest inventories; individual aptitude and ability tests; personality inventories; placement tests, for instance: AET, College Entrance Examination Board (CEEB), School and College Abilities Test (SCAT), and BCC; counselors' notes; copies of transcripts; grade reports; personal data sheets; appointment and advisement slips; correspondence; and other documents pertaining to individual students who have transferred or withdrawn from school. See also "STUDENT ADVISEMENT/COUNSELING RECORDS: GRADUATE."

RETENTION:

- a) Record copy. 3 anniversary years after transfer or withdrawal.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT APPEAL RECORDS

Item #88

This record series consists of appeals for grade changes, withdrawal after deadline, refunds, graduation fees, and residency waivers.

RETENTION:

- a) Record copy. 5 fiscal years after final appeal, provided posted to permanent record provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT AWARD APPLICATION RECORDS: FELLOWSHIPS/HONORS

Item #106

This record series consists of records documenting applications for fellowships or undergraduate research symposium awards. The series may include, but is not limited to, application letters from candidates, letters of recommendation, copies of research proposals or honors papers, and other supporting documentation. Awards are posted to student record where applicable.

RETENTION:

- a) Record copy. 5 fiscal years after awarded.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT CLASS WORK RECORDS

Item #107

This record series consists of term papers, homework, art work, lab projects, and other class work materials. Class work in the possession of a student is not a public record. This retention applies only to class work in the care of the instructor or other staff member. For examinations taken by students in classes required for certification or graduation, use "EXAMINATIONS: GRADUATION/CERTIFICATION."

RETENTION:

- a) Record copy. Retain until obsolete, superseded or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT EDUCATION RECORDS: PERMANENT ACADEMIC FILE

Item #91

This record series consists of the official student transcript documenting courses taken, grades received and degrees awarded. The series may also include any other documentation designated by the school as part of the student's permanent academic record, such as final actions relating to major disciplinary actions. See also "STUDENT EDUCATION RECORDS: SUPPORTING DOCUMENTS."

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT EDUCATION RECORDS: SUPPORTING DOCUMENTS

Item #89

This record series consists of records relating to the maintenance of the active student record/transcript. The series may include, but is not limited to, correspondence, letters of recommendation, drop/add forms, applications for degree, request for Florida residence affidavit, registration information, applications to change undergraduate classification, change slips, notice of admission, credit by exam notes, transcript verification forms, student petition records, student transcript flag notices, national test scores, and graduation information. See also "ADMISSION RECORDS: REGISTERED STUDENTS" and "STUDENT EDUCATION RECORDS: PERMANENT ACADEMIC FILE."

RETENTION:

- a) Record copy. 5 anniversary years after graduation, transfer or withdrawal provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT NEWSPAPERS

Item #30

This record series consists of newspapers produced and distributed by student organizations officially recognized by the school. **NOTE:** Stocks of student publications are considered duplicates under this series. ***These records may have archival value.*** See also "STUDENT NEWSPAPERS: SUPPORTING DOCUMENTS."

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT NEWSPAPERS: SUPPORTING DOCUMENTS

Item #31

This record series consists of copies of materials submitted by contributing reporters/students/faculty, layout sheets, and other materials used in production of student newspapers. See also "STUDENT NEWSPAPERS."

RETENTION:

- a) Record copy. 30 days.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

STUDENT RECORDS: INTERNATIONAL STUDENTS

Item #108

This record series consists of records required of international students for academic studies. The series includes student visa records, United States Department of Homeland Security Form I-20, Certificate of Eligibility (F-1) Student Status – For Academic and Language Students, and U.S. Department of State Form DS-2019, Certificate of Eligibility for Exchange Visitor (J-1) Status. Retention based on 22CFR62.10(h), Foreign Relations, Department of State Exchange Visitor Program, which requires retention of exchange visitor program records for a minimum of three years.

RETENTION:

- a) Record copy. 3 anniversary years after graduation, transfer, completion, or withdrawal from program.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

TRANSCRIPT RELEASE FORMS

Item #95

This record series consists of transcript release forms completed and signed by the student, or by the parent or guardian, if the student is under the age of 18, providing written consent for release of transcripts. Required for colleges and institutions of higher learning within the State University System, these forms document the release of transcripts to educational institutions, as well as other entities.

RETENTION:

- a) Record copy. 4 anniversary years after records released or last effective date of authorization, whichever is later.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

VETERANS RECORDS: EDUCATIONAL ASSISTANCE

Item #94

This record series consists of files for each veteran and eligible person certified to receive Veterans Administration educational assistance. The series may include, but is not limited to, records of tuition and fees charged, previous education and training, grades and progress, and other related materials. Retention pursuant to Section 38CFR21.4209, Department of Veterans Affairs, Vocational Rehabilitation and Education, Examination of records.

RETENTION:

- a) Record copy. 3 fiscal years provided applicable audits have been released.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

WITHDRAWAL RECORDS

Item #35

This record series consists of requests submitted by students to withdraw from a class or classes. See also "DROP/ADD RECORDS."

RETENTION:

- a) Record copy. 5 fiscal years after withdrawal.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

Office of the Registrar- Retention User Guide

Retention Rule Setup and Maintenance (SWRRULE Banner Form):

All document retention rules have been input into the SWRRULE Banner Form.

ANY NEW DOCUMENT TYPES MUST HAVE A VALUE INPUT INTO SWRRULE!

- Users with update access to SWRRULE should input the new rules manually
- Users without update access should put a request in for a new rule to be created and/or changed
- The PPO's for each application are responsible for reviewing and maintaining all rules.

The screenshot shows the Oracle Fusion Middleware Forms Services interface for the SWRRULE Banner Form. The window title is "Oracle Fusion Middleware Forms Services: Open > SWRRULE [Q]". The menu bar includes "File", "Edit", "Options", "Block", "Item", "Record", "Query", "Tools", and "Help". The toolbar contains various icons for navigation and editing. The main form area is titled "Rules and Site Specific Values: SWRRULE U7.4B (PROD)". The form fields are as follows:

Function:	DOCRET_STU	Rule:	B-W-FUND	Description:	Document Retetion- B-W-FUND
Value Type:	<input checked="" type="radio"/> Single Value <input type="radio"/> Range Value				
Default Value:	RPERM				
Current Value: (Low for ranges)	APPLICATION				
Activity Date:	16-AUG-2013				

At the bottom of the form, there is a status bar with "Record: 1/?", a "List of Valu..." button, and "<OSC>" text.

Function:

- DOCRET_STU

Rule:

- This is the name of the application (e.g B-S-CRSE)

Description:

- Initially entered as “Document Retention – APPLICATION_NAME” (e.g. Document Retention- B-S-CRSE)
 - Any new document type should follow this standard

Value Type:

- Should always be set to “Single Value”

Default Value:

- This value represents the purge policy (e.g. RPERM,P3YIN,P5YST) of the given document type
 - All purge policies are detailed in the given application below

Current Value:

- This is the Document Type Name (e.g. ARC PETITION)

Technical Development and Documentation:

- One database package was created for student applications (PROD) and contains one procedure per application (procedures are detailed in the given application)
 - OTGMGR.WSAK_STUDENT_RETENTION
- 1) Users are able to enter or maintain the retention rules through the SWRRULE IF the retention policy already exists (instructions are above).
 - 2) If a new policy is created (for an existing application), a ticket must be submitted to add the logic to the database package.
 - 3) If a new application is created, the package must be modified to add a procedure for the new application AND rules must be created for each document type.

For example:

B-S-SECT requires a new “25 years after indexed term” retention policy.

- 1) The database package must be modified to include this new “25 years after indexed term” policy
- 2) The package and UC4 job must both have a “term code” parameter added since it does not currently exist.
- 3) The Document Types must be modified in the SWRRULE to be included under this new policy

- A UC4/Appworx chain was created for all applications and a module was created for each application:
 - BDMS_STUDENT_RETENTION_C
 - BDMS_B_S_SECT_M
 - Input Parameter: Term Code (when applicable)

If a new application is created, a module needs to be created for the new application and the chain must be modified to include the new module.

Some modules are term specific and some are not. Some have an input parameter for term. This should always be the current term (reminder- the process is run the first week of the new term).

If a module that does not currently have a term code requires one for any reason, the database package/procedure must be modified to have an input parameter AND the UC4 module must be modified to have an input term parameter as well.

B-S-SECT

Retention Policy:

The documents in B-S-SECT are indexed by CRN and Term.

The following document types in B-S-SECT will be permanently retained: (RPERM)

- CATALOG INFORMATION
- CLASS ROSTER (FDA/DA)
- CONFIRMATION OF GRADES
- GRADE SHEET FINAL

The following document type in B-S-SECT will be retained for two years after the end of the indexed term code. For example if the process was run at the end of the 201305 semester, all documents with a term of 201105 or earlier would be marked "Purge".

- DROP/ADD LIST

The following document type in B-S-SECT will be retained for two semesters after the end of the indexed term code. For example if the process was run at the end of the 201305 semester, all document with a term of 201208 or earlier would be marked "Purge".

- MIDTERM GRADES

Retention Codes Explained:

- *
- The record was run through the retention policy and will be retained since it did not meet any of the purge policies
- RPERM
 - The record will be retained permanently
- P2YIN
 - The record will be purged due to the indexed term being 2 or more years old
- P2TIN
 - The record will be purged due to the indexed term being 2 or more semesters old
- NULL (meaning no value is in the field)
 - The record was inserted after the retention process was run and will be retained
- DNE
 - The document type does not have a rule in SWRRULE.
 - The rule must be entered and the process must once again be run
 - This was built for future runs to ensure all document types are accounted for.

Batch Cleanup:

You currently have 4 outstanding batches, all of which are older than one month and are eligible to be purged.

Please, find time to review all outstanding batches to be sure that the documents are not needed.

These batches WILL be purged as part of this process and after they are purged there will be NO WAY to recover the documents.

B-S-CRSE

Retention Policy:

The documents in B-S-CRSE are indexed by USF ID, Document Type, and CRN

The following document types in B-S-CRSE will be permanently retained:

- ACADEMIC DISHONESTY
- ALT CALENDAR CREDIT FORM
- ARC PETITION
- COURSE AUDIT FORM
- CROSS ENROLLMENT INFO
- DROP/ADD FORM
- FEE ADJUSTMENT
- FORGIVENESS – GRADE
- GRADE CHANGE
- I GRADE CONTRACT
- LAST DAY ATTENDED
- PETITION – GRAD
- PROGRESS REPORT
- REGISTRATION INFO
- REINSTATEMENT
- TRANSFER COURSE

The following document type in B-S-CRSE will be retained for five years after the last term the student was enrolled:

- TIME CONFLICT FORM
- VERIFICATION REQUEST
- ADMINISTRATIVE CHANGE

The MAX General Student record will determine when the student was last enrolled

- If the record is Active, the record will be retained

- If the record is Inactive and less than 5 years old, the record will be retained
- If the record is Inactive and greater than 5 years old, the record will be purged
- If a General Student record does not exist for a UID, the record will be purged
 - USF function wf_current_term_db will be used to determine the current term

Example: A student whose last date of enrollment is spring 2008 earlier can be purged at the end of the spring 2013 semester. Students that never have attended USF will also be purged. If the student record is still active, the record will be retained.

Retention Codes Explained:

- *
 - The record was run through the retention policy and will be retained since it did not meet any of the purge policies
- RPERM
 - The record will permanently be retained
- P5YST
 - The record is subject to be purged because the general student record for the student is inactive and the max general student record is 5 or more years old
- PNGEN
 - The record is subject to be purged because there is no general student record for the given student.
- NULL (meaning no value is in the field)
 - The record was inserted after the retention process was run and will be retained
- DNE
 - The document type does not have a rule in SWRRULE.
 - The rule must be entered and the process must once again be run
 - This was built for future runs to ensure all document types are accounted for.

Batch Cleanup:

You currently have almost 400 outstanding batches, almost 380 of these batches are older than one month and are eligible to be purged.

Please, find time to review all outstanding batches to be sure that the documents are not needed.

These batches WILL be purged as part of this process and after they are purged there will be NO WAY to recover the documents.

B-S-DGRE

Retention Policy:

The documents in B-S-DGRE are indexed by USF ID, Document Type, and Degree.

The following document types (all) in B-S-DGRE will be retained permanently:

- APPLICATION FOR DEGREE
- CERTIFICATE COMPLETION
- CHANGE OF MAJOR
- DEGREE INFO
- DIPLOMA INFO
- MINOR COMPLETION
- SECOND UNDERGRAD MAJOR
- WITHDRAWAL/CANCELLATION FORM

Retention Codes Explained:

- *
- The record was run through the retention policy and will be retained since it did not meet any of the purge policies
- RPERM
 - The record will permanently be retained
- NULL (meaning no value is in the field)
 - The record was inserted after the retention process was run and will be retained
- DNE
 - The document type does not have a rule in SWRRULE.
 - The rule must be entered and the process must once again be run
 - This was built for future runs to ensure all document types are accounted for.

Batch Cleanup:

You currently have almost 90 outstanding batches, almost 80 of these batches are older than one month and are eligible to be purged.

Please, find time to review all outstanding batches to be sure that the documents are not needed.

These batches WILL be purged as part of this process and after they are purged there will be NO WAY to recover the documents.

B-W-CATALOG

Retention Policy:

The documents in B-W-CATALOG are indexed by academic year. There are currently 44 archived catalogs.

The following document types (all) in B-W-CATALOG will be retained permanently:

- CATALOG

Retention Codes Explained:

- *
- The record was run through the retention policy and will be retained since it did not meet any of the purge policies
- RPERM
 - The record will permanently be retained
- NULL (meaning no value is in the field)
 - The record was inserted after the retention process was run and will be retained
- DNE
 - The document type does not have a rule in SWRRULE.
 - The rule must be entered and the process must once again be run
 - This was built for future runs to ensure all document types are accounted for.

Batch Cleanup:

You currently have zero outstanding batches in B-W-CATALOG.

B-W-DGW-AUDITS

Retention Policy:

The documents in B-W-DGW-AUDITS are indexed by USF-ID, document type, and degree.

The following document types (all) in B-W-DGW-AUDITS will be retained permanently:

- FROZEN AUDIT
- DGW POTENTIAL GRADUATE

Retention Codes Explained:

- *
- The record was run through the retention policy and will be retained since it did not meet any of the purge policies
- RPERM
 - The record will permanently be retained
- NULL (meaning no value is in the field)
 - The record was inserted after the retention process was run and will be retained
- DNE
 - The document type does not have a rule in SWRRULE.
 - The rule must be entered and the process must once again be run
 - This was built for future runs to ensure all document types are accounted for.

Batch Cleanup:

You currently have zero outstanding batches in B-W-DGW-AUDITS.

B-W-SECR

Retention Policy:

The documents in B-W-SECR are indexed by Banner Name, Document Type, Subject, and Received Date.

The following document type will be permanently retained (RPERM)

- Memorandum

The following document types will be retained for 5 years after the indexed "Activity Date" field (P5YAD)

- DW Access Request
- Security Form

The following document types will be retained for 60 days after the indexed "Activity Date" field (P60DA)

- Email
- FERPA

The following document type will be retained for 10 years after the indexed "Activity Date" field (P10YA)

- Violation

Retention Codes Explained:

- *
- The record was run through the retention policy and will be retained since it did not meet any of the purge policies
- RPERM
 - The record will permanently be retained
- P60DA
 - The record is subject to purge because the activity date of the record is 60 days or older
- P5YAD
 - The record is subject to purge because the activity date of the record is 5 Years or older
- P10YA
 - The record is subject to purge because the activity date of the record is 10 Years or older
- NULL (meaning no value is in the field)
 - The record was inserted after the retention process was run and will be retained
- DNE
 - The document type does not have a rule in SWRRULE.
 - The rule must be entered and the process must once again be run
 - This was built for future runs to ensure all document types are accounted for.

Batch Cleanup:

You currently have 4 outstanding batches, all of which are older than one month and are eligible to be purged.

Please, find time to review all outstanding batches to be sure that the documents are not needed.

These batches WILL be purged as part of this process and after they are purged there will be NO WAY to recover the documents.

B-W-TERM

Retention Policy:

The following document types in B-W-TERM will be permanently retained (RPERM)

- BENCHMARK- APPOINTMENT REGISTRATION
- BENCHMARK- CLOSED TERM
- BENCHMARK- END OF LATE REGISTRATION
- BENCHMARK- END OF REGULAR REGISTRATION

- BENCHMARK- OPEN TERM
- BENCHMARK-SUMMER B END OF LATE REGISTRATION
- BENCHMARK- SUMMER B END OF REGULAR REGISTRATION
- OFFICIAL GRAD STATUS REPORT (FINAL)
- DIPLOMA SIGNATURES
- DISSERTATION/MASTER GRADE CHANGES
- DOCTORAL CANDIDACY
- PETITION SIGNATURES
- SUBPOENA

The following document type will be retained for one full year after the indexed term code. For example if the process was run at the end of the 201305 semester, all documents with a term of 201205 or earlier would be marked "Purge" (P1YIN)

- DEANS LIST

The following document types will be retained for five full year after the indexed term code. For example if the process was run at the end of the 201305 semester, all documents with a term of 200805 or earlier would be marked "Purge" (P5YIN)

- CI- CANCELLED FOR IMM/MED HTY
- CLASS RANK REPORT
- FLENT/FLEX REQUIREMENT
- GRADE CHANGE AUDIT REPORT
- LATE REGISTRATION FEE WAIVER
- POSITION REPORT
- STUDENTS WHO EVER REGISTERED
- SUMMER WAIVER REQUIREMENT
- TERM ANALYSIS- NUMBER OF SECTIONS REPORT
- TERM ANALYSIS- STUDENT CREDIT HOURS REPORT
- TERM FEES
- TRANSFER WORK PURGE FOR NO SHOWS
- UNMET DEMAND REPORT
- UNOFFICIAL WITHDRAWAL

The following document types will be retained for 20 years after the indexed term code (P20YI)

- AD- ACADEMICALLY DISMISSED
- ADMIN CHANGES
- APPLICATION STATISTICS
- AR CREDITS & CHARGES
- CF- CANCELLED FOR NON-PAYMENT
- COLLEGIATE PLAYER ELIGIBILITY
- COM PROFESSIONAL DEGREES
- CX- CANCELLED FOR STUDENT INSURANCE

- DIPLOMA INFO
- ENROLLMENT REPORTS
- NEW COLLEGE DEGREES
- PRELIMINARY GRAD STATUS REPORT
- PRIVACY AUDIT
- REGISTRATION TRACKING REPORT
- RESIDENCY AUDIT
- RF- REINSTATED FOR NON-PAYMENT
- RI- REINSTATED FOR IMM/MED HTY
- RX- REINSTATED FOR STUDENT INSURANCE
- SCHEDULE OVERRIDE AUDIT REPORT

The following three document types are owned by the University Controllers Office and will be marked "Purge" 8 years after the end of the indexed Term Code" (P8YIN)

- LATE PAYMENT FEE WAIVER
- MEAL PLANS
- NRA REFUNDS

Retention Codes Explained:

- *
 - The record was run through the retention policy and will be retained since it did not meet any of the purge policies
- RPERM
 - The record will permanently be retained
- P1YIN
 - The record is subject to purge because indexed term is 1 year or older
- P5YIN
 - The record is subject to purge because indexed term is 5 years or older
- P8YIN
 - The record is subject to purge because indexed term is 8 years or older
- P20YI
 - The record is subject to purge because indexed term is 20 years or older
- NULL (meaning no value is in the field)
 - The record was inserted after the retention process was run and will be retained
- DNE
 - The document type does not have a rule in SWRRULE.
 - The rule must be entered and the process must once again be run
 - This was built for future runs to ensure all document types are accounted for.

Batch Cleanup:

You currently have 44 outstanding batches, all of which are older than one month and are eligible to be purged.

Please, find time to review all outstanding batches to be sure that the documents are not needed.

These batches WILL be purged as part of this process and after they are purged there will be NO WAY to recover the documents.

USF Office of the Registrar - Temporary vs. Permanent Records Retention & Disposal Schedule

Application Name	Document Type	Temp / Permanent Retention	Retention Rule Applied (RRA)
B-S-ADMN			
	3 rd PARTY AUTHORIZATION	Permanent	RRA: The RO policy is to maintain documents for five years after graduation, transfer or withdrawal provided applicable audits have been released. However, the University of South Florida has not adopted a statute of limitations on the adjustment of a student's educational record. Therefore, the University System Records Custodian has elected to archive certain documents based on recommendations by AACRAO Retention of Records and A Guide to Post Secondary Institutions for Implementation of FERPA.
	ACADEMIC RENEWAL	Permanent	RRA
	ADMISSIONS APPLICATION	Permanent	RRA
	APPEAL ADM DECISION	Permanent	RRA
	CAMPUS RESTRICTION EXCEPTION	Permanent	RRA
	CHANGE OF ADDRESS	Permanent	RRA
	CHANGE OF CAMPUS	Permanent	RRA
	CLAST REGISTRATION FORM	Permanent	RRA
	CONDUCT/LEGAL	Permanent	RRA
	CORRECT SSN FORM	Permanent	RRA
	CORRESPONDENCE	Permanent	RRA
	DECEASED STUDENT	Permanent	RRA
	DECISION INFO	Permanent	RRA
	DISMISSAL FORM	Permanent	RRA
	DUAL ENRL FORM	Permanent	RRA
	ENROLLMENT CERT REQUEST	Permanent	RRA
	FEE WAIVER	Permanent	RRA
	FINANCIAL REINSTATEMENT	Permanent	RRA
	FOLDER REVIEW REQUEST	5 yrs ALA	
	GENERAL ACADEMIC INFO	Permanent	RRA
	HOLD INFO	Permanent	RRA
	IMMUNIZATION REINSTATEMENT	Permanent	RRA
	INFORMATION REQUEST	Permanent	RRA
	LAKELAND TEACH-OUT	Permanent	RRA
	LATE FEE WAIVER INFO	6 yrs ALA	
	LEAVE OF ABSENCE	Permanent	RRA
	NAME CHANGE REQUEST	Permanent	RRA
	NON-DEGREE APPLICATION	Permanent	RRA
	PRIVACY REQUEST	5 yrs ALA	
	PROBATION	Permanent	RRA
	PROGRAM CHANGE	Permanent	RRA

KEY

ALA – After Last Term of Attendance AGOW = After Grad./Withdrawal EODAS = After End of DROP/ADD Sem. SPMGS = Sem. Past Midterm Grading Sem. Retention Rule Applied=RRA

Application Name	Document Type	Temp / Permanent Retention	Retention Rule Applied (RRA)
	REINSTATEMENT	Permanent	RRA
	RESIDENCY INFO	5 yrs ALA	
	SCHOLARSHIP INFO	Permanent	RRA
	SCORES	Permanent	RRA
	ST PETE DE APPL	Permanent	RRA
	SUBPOENA	Permanent	RRA
	SUMMER ENROLLMENT WAIVER	Permanent	RRA
	SUMMER WAIVER	Permanent	RRA
	SUPPLEMENTAL INFO	Permanent	RRA
	TIME LIMIT EXT REQUEST	5 yrs ALA	
	TRANSCRIPT	Permanent	RRA
	TRANSIENT STUDENT FORM	Permanent	RRA
	UNOFFICIAL TRANSCRIPT	Permanent	RRA
	UPDATE TERM OF ENTRY	Permanent	RRA
	WITHDRAWAL/CANCELLATION FORM	Permanent	RRA
	WITHDRAWAL/CANCELLATION FORM	Permanent	RRA
B-S-CRSE			
	ACADEMIC DISHONESTY	Permanent	RRA
	ADMINISTRATIVE CHANGE	5 yrs ALA	
	ALT CALENDAR CREDIT FORM	Permanent	RRA
	ARC PETITION	Permanent	RRA
	ATTENDANCE ROSTER	Permanent	RRA
	COURSE AUDIT FORM	Permanent	RRA
	CROSS ENROLLMENT INFO	Permanent	RRA
	DROP/ADD FORM	Permanent	RRA
	FEE ADJUSTMENT	Permanent	RRA
	FORGIVENESS – GRADE	Permanent	RRA
	GRADE CHANGE	Permanent	RRA
	I GRADE CONTRACT	Permanent	RRA
	LAST DAY ATTENDED	Permanent	RRA
	PETITION – GRAD	Permanent	RRA
	REINSTATEMENT	Permanent	RRA
	TIME CONFLICT FORM	5 yrs ALA	
	TRANSFER COURSE	Permanent	RRA
	VERIFICATION REQUEST	5 yrs ALA	
B-S-DGRE			
	APPLICATION FOR DEGREE	Permanent	RRA
	CERTIFICATE COMPLETION		
	CHANGE OF MAJOR	Permanent	RRA

KEY

ALA – After Last Term of Attendance AGOW = After Grad./Withdrawal EODAS = After End of DROP/ADD Sem. SPMGS = Sem. Past Midterm Grading Sem. Retention Rule Applied=RRA

Application Name	Document Type	Temp / Permanent Retention	Retention Rule Applied (RRA)
	DEGREE INFO	Permanent	RRA
	DIPLOMA INFO	Permanent	RRA
	MINOR COMPLETION	Permanent	RRA
	SECOND UNDERGRAD MAJOR	Permanent	RRA
	WITHDRAWAL/CANCELLATION FORM	Permanent	RRA
B-S-ID			
	ARCHIVE	Permanent	RRA
	FRAUDULENT DOCS	Permanent	RRA
	NAME CHANGE REQUEST	Permanent	RRA
	PIDM DELETION	Permanent	RRA
B-S-SECT			
	CATALOG INFORMATION	Permanent	RRA
	CLASS ROSTER (FDA/DA)	Permanent	RRA
	CONFIRMATION OF GRADES	Permanent	RRA
	DROP/ADD LIST	2 yrs after EODAS	
	GRADE SHEET FINAL	Permanent	RRA
	MIDTERM GRADES	1 SPMGS	
B-W-TERM			
	ACADEMIC RENEWAL EXCEPTION REPORT	5 yrs AGOW	
	AD – ACADEMICALLY DISMISSED	20 yrs or more	
	ADMIN CHANGES	20 yrs or more	
	APPLICATION STATISTICS	20 yrs or more	
	AR CREDITS & CHARGES	20 yrs or more	
	BENCHMARK – APPOINTMENT REGISTRATION	Permanent	RRA
	BENCHMARK – APPOINTMENT REGISTRATION	Permanent	RRA
	BENCHMARK - CLOSED TERM	Permanent	RRA
	BENCHMARK – END OF LATE REGISTRATION	Permanent	RRA
	BENCHMARK – END OF REGULAR REGISTRATION	Permanent	RRA
	BENCHMARK – OPEN TERM	Permanent	RRA
	BENCHMARK – SUMMER B END OF LATE REG.	Permanent	RRA
	BENCHMARK – SUMMER B END OF REGULAR REG.	Permanent	RRA
	CF – CANCELLED FOR NON-PAYMENT	20 yrs or more	
	IMMUNIZ. HOLD LIST-CI-CANCELED FOR IMM/MED HTY	5 yrs or more	
	CLASS RANK REPORT	5 yrs or more	RRA
	COLLEGIATE PLAYER ELIGIBILITY	20 yrs or more	

KEY

ALA – After Last Term of Attendance AGOW = After Grad./Withdrawal EODAS = After End of DROP/ADD Sem. SPMGS = Sem. Past Midterm Grading Sem. Retention Rule Applied=RRA

	COM PROFESSIONAL DEGREES	20 yrs or more	
	CX-CANCELLED FOR STUDENT INSURANCE	20 yrs or more	
	DEANS LIST	1 yr after posted	
	DIPLOMA INFO	20 yrs or more	
	DIPLOMA SIGNATURES	Permanent	RRA
	DISSERTATION/MASTER GRADE CHANGES	Permanent	RRA
	DOCTORAL CANDIDACY	Permanent	RRA
	ENROLLMENT REPORTS	20 yrs or more	
	FLENT/FLEX REQUIREMENT	5 yrs or more	
	GRADE CHANGE AUDIT REPORT	5 yrs or more	
	GRADE CHANGE SIGNATURES	Permanent	RRA
	LATE PAYMENT FEE WAIVER	Permanent	RRA
	LATE REGISTRATION FEE WAIVER	5 yrs or more	
	NEW COLLEGE DEGREES	20 yrs or more	
	NRA REFUNDS	Permanent	RRA
	OFFICIAL GRAD STATUS REPORT (FINAL)	Permanent	
	OFFICIAL GRAD STATUS REPORT (FINAL)	20 yrs or more	
	PETITION SIGNATURES	Permanent	RRA
	POSITION REPORT	5 yrs or more	
	PRELIMINARY GRAD STATUS REPORT	20 yrs or more	
	PRIVACY AUDIT	20 yrs or more	
	RF-REINSTATED FOR NON-PAYMENT	20 yrs or more	
	RI-REINSTATED FOR IMM/MED HTY	20 yrs or more	
	RX – REINSTATED FOR STUDENT INSURANCE	20 yrs or more	
	SCHEDULE OVERRIDE AUDIT	20 yrs or more	
	STUDENTS WHO EVER REGISTERED	5 yrs or more	
	SUBPOENA – Class Action – Multiple Students	5 yrs AGOW	
	SUMMER WAIVER REQUIREMENT	5 yrs AGOW	
	TERM ANALYSIS – NUMBER OF SECTIONS RPT	5 yrs or more	
	TERM ANALYSIS – STUDENT CREDIT HRS RPT	5 yrs or more	
	TERM FEES	5 yrs or more	
	TRANSFER WORK PURGE FOR NO SHOWS	5 yrs or more	
	UNMET DEMAND REPORT	5 yrs or more	
	UNOFFICIAL WITHDRAWAL	5 yrs or more	
B-W-CATALOG			
	CATALOG	Permanent	RRA
B-W-DGW-AUDITS			
	DGW POTENTIAL GRADUATE	Permanent	RRA
	FROZEN AUDIT	Permanent	RRA

KEY

ALA – After Last Term of Attendance AGOW = After Grad./Withdrawal EODAS = After End of DROP/ADD Sem. SPMGS = Sem. Past Midterm Grading Sem. Retention Rule Applied=RRA

Application Name	Document Type	Permanent Retention	Retention Rule Applied
B-W-SECR			
	BXS ACCESS REQUEST	5 yrs	
	DW ACCESS REQUEST	5 yrs	
	EMAIL	60 days	
	FERPA	60 days	
	MEMORANDUM	Permanent	RRA
	SECURITY FORM	5 yrs	
	VIOLATION	10 yrs	

KEY

ALA – After Last Term of Attendance AGOW = After Grad./Withdrawal EODAS = After End of DROP/ADD Sem. SPMGS = Sem. Past Midterm Grading Sem. Retention Rule Applied=RRA

STUDENT PRIVACY REQUEST FORM

This form should be used to control the level of disclosure you permit for your Student Directory information.

Student Name (As it appears in USF records): _____ **Student ID:** _____

Address			
(Street)	(City)	(State)	(Zip Code)
(Area Code) (Telephone Number) (Email Address)			

The Family Educational Rights and Privacy Act (FERPA) gives students the right to refuse to permit USF to publish or disclose items of directory information pertaining to them.

What is disclosure?

Permission to access, release, transfer, or communicate personally identifiable information. Provision of common disclosures include: An enrollment verification to your insurance company; a degree verification to a prospective employer; your name listed in the USF Directory, or Commencement and Honors programs; or your name, address, or telephone number being made available to the public for marketing purposes.

What is Student Directory Information?

Director Information includes student names, addresses and telephone listings, birth date, major field of study, dates of attendance, enrollment status, degree and awards received, participation in officially registered activities and sports, prior educational institutions, photographic image, and other similar information.

What information is not considered directory information?

Student Social Security Number, citizenship, gender, grades, GPA, and other similar items not specifically listed as directory information are not disclosed to “non-university officials” without prior written consent of the student.

When should privacy requests be submitted?

To be excluded from the annual printed *USF Directory*, your request for “Privacy” must be received by the Office of the Registrar on the Tampa campus by the end of the second week of classes in the Fall Semester. No public disclosures will be made until after this deadline. The Office of the Registrar will accept privacy requests throughout the year but assumes no responsibility for disclosures made prior to receipt of the request.

How long does my request last?

Privacy requests will become effective within 48 hours of receipt by the USF Registrar’s Office (Tampa) and will remain in effect until **you** have been awarded a degree from USF or until you have not been enrolled at USF for three consecutive semesters or you have provided written authorization to the Office of the Registrar requesting removal.

Please select one:

<input type="checkbox"/>	I wish to be removed from privacy. I understand that this will allow complete disclosure of my directory information.
<input type="checkbox"/>	I wish to request complete privacy (i.e. non-disclosure) . I understand that under this level of privacy no disclosures of directory information will be made about me and that my listing will not be included in Commencement and Honors programs, USF directories, and other publications or lists made available to the public.
<input type="checkbox"/>	I wish to request partial privacy that allows my name to be included in Commencement and Honors programs . I understand that under this level of privacy, my listing will be excluded from USF directories and other publications or lists made available to the public.
<input type="checkbox"/>	I wish to request confidentiality to exclude my directory information from lists made available to the public . I understand that under this level of privacy, <i>all</i> disclosures of my directory information are permitted and my listing will be included in Commencement and Honors programs and USF directories – except my name, address, and telephone information will not be provided in any electronic files, printed lists, or mailing labels, made available to the public (e.g. non-university officials or agencies such as vendors, credit card companies, telemarketers, etc.) by the Office of the Registrar.

Student’s Signature

Date

OFFICE OF THE REGISTRAR

AFFIDAVIT OF DEPENDENCY

_____ personally appeared before me,
_____, a notary public in and for the County of _____,
State of _____, who makes a solemn oath that
he/she was entitled to and did claim _____
(applicant/student)

as a dependent person on his/her most recently filed federal income tax report and/or will claim same person on his/her current year's federal income tax report. The affiant further swears that he/she contributed over one half of the applicant's/student's financial support for the calendar year _____.

Affiant hereby agrees to allow the University of South Florida to obtain from the Internal Revenue Service a copy of his/her claim.

Affiant hereby agrees to allow the University of South Florida to obtain from the Internal Revenue Service a copy of his/her federal income tax report for the years which will substantiate his/her claim.

Signature of Affiant

Sworn to and subscribed before me this _____ day of _____, 20_____.

Notary Public

My Commission expires: _____

Note: To be used when parent is requesting release of dependent student's records (academic, fees, etc.). Attach copy of page one of federal income tax return form.

University of South Florida:

Request for OASIS Access

Requester Name:	Position:	Student: Yes ___ No ___
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E-mail address:	Office Phone:	Mail Point:
Department Name:	Accountable Officer Name:	
Department Acct #:	Accountable Officer Signature:	
If you currently have an Administrative Computing Logon ID, list here:		

Responsibilities Associated With Access to University Data:

1. Data to which you have access in the conduct of legitimate University business may not be used for any other purposes, nor may it be passed on by you to any other person, in any form, for any purpose other than legitimate University business.
2. You are responsible for the security of the data to which you have access. This includes your adherence to University, College, Campus and departmental policies regarding access to data, keeping data, diskettes, and printouts in secure locations, periodically changing passwords, and ensuring your workstation is not accessible to others who do not have legitimate access to it when you are not physically present.
3. You are responsible for distinguishing between public, directory and confidential information. For guidance, see the USF catalog and USF Policy and Procedure 0-106. Confidential information regarding students or staff may not be released in any personally identifiable format without permissions of the individual. Individual directory information may be released unless a student has requested otherwise. Always check the privacy flag in student data before releasing directory information. Any public information may be displayed in either individual or aggregated format.
4. For consistency, official counts of students, employees and other items are developed or maintained by the Division of Institutional Research and Planning. Many of these are printed in the University Fact Book. It is your responsibility to use these official counts on surveys, news releases, grant proposals or other documents.

Your signature below indicates that you have read, and agree to comply with, the above Statement of Responsibility.

Requester Signature of Responsibility _____ Date _____

IF YOU NEED STUDENT OR REGISTRATION ACCESS, MARK APPROPRIATE BOXES BELOW:

ACCESS TYPE	READ	UPDATE		ACCESS TYPE	READ	UPDATE
Registration				General Student		
General Person				Catalog		
Health				Schedule		
Holds				Academic History		
Holds Codes Requested				Permits		

How to process this form:

1. Fill out all sections marked by **bold** border outline. Make sure to have appropriate signatures: requester must sign the statement of responsibility, Accountable Officer must sign to approve ID creation. Also mark Student/General Person access requested. Use the comments/special requests section to explain the access requirements of your specific job.
2. Access to specific areas in BANNER is based upon Access Classes within each module. The Primary Process Owner(s) for the module(s) will determine the names of the appropriate Access Classes based on your selections/comments above. **Forward this form to the Primary Process Owner(s) for each BANNER module you require access to (see list of PPO's below).**
3. PPO's should complete the bottom portion of the form.

Primary Process Owners for the BANNER Modules Listed:

- | | |
|---|--|
| Any Primary Process Owner listed below | General Person |
| University Registrar | General Student, Schedule, Catalog, Voice Response for Registration and Grades, Registration, Academic History, Faculty Load |
| Director of Admissions/Grad Admissions | Admissions, Recruitment, Articulation, Voice Response for Admissions |
| Director of Financial Aid | Financial Aid, Voice Response for Financial Aid |
| Director of Purchasing & Financial Services | Accounts Receivable, Voice Response for Accounts Receivable |
| Director of Facilities Planning | Location Management |
| Director of Housing | Housing |
| Asst. VP, Acad. Support and Achievement | Degree Audit (CAPP) |
| Asst. VP, Advancement Services | Constituent/Organizations, USF Foundation Finance, Prospect (University Advancement) |
| Assoc. Director, USF Research Foundation | Finance General (USF Research Foundation) |

Requested Access	Primary Process Owner Signature	Date	Circle Approved Databases			IT use only
			PROD	PPRD	ALUM	
			PROD	PPRD	ALUM	DVLP
			PROD	PPRD	ALUM	DVLP
			PROD	PPRD	ALUM	DVLP
			PROD	PPRD	ALUM	DVLP
			PROD	PPRD	ALUM	DVLP

USER FEEDBACK FORM

Student Records Management Manual
University of South Florida

Features/format/information I/we found to be particularly helpful:

Suggestions for additions and changes in future editions:

Other comments:

Name: _____

Office: _____

Date: _____

STUDENT RECORDS MANUAL
Appendix 7

Bibliography

State of Florida General Records Schedule GS5 for University/Community College Records,
March 1996.

Guidelines for Postsecondary Institutions for Implementation of the Family Educational
Rights and Privacy Act of 1974 as Amended, American Association of Collegiate
Registrars and Admissions Officers, Revised Edition 1995.