

Cayuga Community College Office of the Registrar Student Records Management Manual

The purpose of the Cayuga Community College (CCC) Student Records Management Manual is to inform College 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.

We hope to improve the usefulness of this manual in the future. Please help us by sharing your responses to this edition.

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

Student Records at Cayuga Community College

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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 College 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, 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 College. 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 College.

The majority of CCC student/education records fall into ten 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**

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

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

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

These records with their locations and custodians are listed in the section, "Where are CCC Student Records?" While almost all student records maintained by the College 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;
- ◆ College Police records maintained solely for law enforcement purposes;
- ◆ College 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 CCC Student Records?
And
Who are CCC Student Records Custodians?**

Cayuga Community College's student records are listed below by category, with location and custodian.

Student Record	Custodian
Undergraduate Admissions	Director of Admissions
International Student Admissions	Director of Admissions
Cumulative Academic Records	College Registrar
College Academic Advising Records	Student Development Director
Financial Aid Records	Financial Aid Director
Other Student Financial Records	Business Office
Student Medical Records	Coordinator of Health Services
Student Employment Records	Asst. Director of Financial Aid
Student Disciplinary Records	Student Development Director

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.

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 college webpage. 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 Cayuga Community College's commitment to compliance with FERPA. This document is Cayuga Community College'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 Cayuga Community College as the Official Student Records Custodian. The Compliance Officer for Cayuga Community College is the College 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 College will notify students annually through the publication of their rights in the undergraduate Catalogs, and College webpage. This publication will contain the College'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

Cayuga Community College will provide services to students and former students to inspect and review their own student record upon request. Limitations on this service are as follows.

Cayuga Community College 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.

Cayuga Community College 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.

Procedure

In order to review his/her education record, he/she must go to the Office of the Registrar and submit a request to inspect and review education records in writing. 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

Cayuga Community College 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 College 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 College 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 Cayuga Community College. The statement will also be disclosed to any authorized party requesting to review your record.”

All College 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 submit a request for amendment/correction of Education Records in writing. 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 submit a student request for formal hearing in writing. 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

Cayuga Community College 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. Cayuga Community College 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;
- ◆ Cayuga Community College 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
- Student's Cayuga Community College email address
- 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 CCC
- 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.*

College auxiliaries and non-affiliated College organizations may request directory information from the Office of the Registrar. As the designated data custodian of student information for the College, 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 subpopulations 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 Cayuga Community College is expressly forbidden. Misrepresentation of the College with your organization, product or service (e.g. improper use of the Cayuga Community College name, seal or logo) will result in the denial of future requests for student information and possible legal action.

Please be advised that the Cayuga Community College 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'.

When is Directory Information Confidential?

FERPA, state statute, the Department of Education and CCC rules, give a student the right to refuse to permit the College 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 "Confidential". 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 must submit a written request to the Office of the Registrar for their directory information to be considered confidential.

Privacy requests will become effective within two business days of receipt by the CCC Registrar's Office and will remain in effect until a student has provided authorization to the Office of the Registrar requesting removal.

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

CCC Identifier (CCCID,C#)

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

The CCCID is a randomly generated number assigned within the College's Student Information System (Banner). It is not derived from any personally identifiable student information. The format of the CCCID is 'C-----', followed by an eight-digit number. CCCID numbers are issued only once and remain the student's official primary identifier with the College. This number will be permanently and uniquely recognized by Banner throughout the student's academic career at CCC.

General Guidelines Concerning Use of Student Identifiers

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

1. Academic and other forms of personal information will not be publicly posted or displayed where either the SSN or the CCCID identifies the individual associated with the information.
2. Paper and electronic files containing student identifiers will be disposed in a secure fashion.
3. All College forms and documents will indicate when social security number is legally required. Otherwise, all other forms and documents will request CCCID.
4. 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 College 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), permits College officials to access and use student records for legitimate educational purposes.

A “College Official” is defined as:

A person employed by CCC 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 CCC (such as an audit).

“Legitimate educational purpose” is defined as a College 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 College 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 confidentiality notice in Banner before releasing directory information. Any public information may be displayed in either individual or aggregated format.
4. For consistency, *official* College counts of students, employees and other items are developed and maintained by the Office of Institutional Research. It is your responsibility to use these official counts on all surveys, news release, grant proposals or other documents. Having access to College 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 Cayuga Community College’s Student Records Policy, I will take every precaution to protect the integrity of our student records.

As an employee of the _____ Office, Cayuga Community College, 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 College’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 College 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* College counts of students, employees and other items are developed and maintained by the Office of Institutional Research. It is your responsibility to use these official counts on all surveys, news release, grant proposals or other documents. Having access to College 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 Cayuga Community College’s Student Records Policy, I will take every precaution to protect the integrity of our student records.

As an employee of the _____ Office, Cayuga Community College, 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 College’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 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.
- ✓ All Grade Rosters, Grade Change Forms and graduation certification forms are carefully reviewed.
- ✓ No student is authorized to hand-carry or deliver signed Grade Rosters, Grade Change Forms, or other similar documents detailing significant updates to the student's own record.
- ✓ All irregularities or missing student records documents are reported immediately to the Office of the Registrar.

Touchpad and Security Codes

- ✓ The Office of the Registrar is protected during the hours of non-operation by an electronic alarm system. This system, when activated, alerts the College Police when an intruder is in this secure area. Access to this system is limited to a minimal number of Registrar's office staff.