

UNIVERSITY OF MINNESOTA

Student Data Policy and Procedure Documentation

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A. Report Description: Definition and Objectives

This report intends to document the policies and procedures employed in collecting, maintaining, and using student records across all major University units; it is based on the results of a University of Minnesota student records inventory project. The major objectives are to describe the policies and procedures regulating student records, to provide perspective to the nature and scope of record keeping, to discuss the importance of record keeping, to discuss the laws affecting the University in its record-keeping capacity, and to provide a basis for future record policies and guidelines.

The first section orients the reader to the nature and scope of record keeping at the University. Some concerns naturally generating from a student record system are then discussed. The next section describes the overall picture of student record maintenance at the University based on inventory observations of each unit. Some recommendations for appropriate student record actions are also presented. The final section documents the student record policies and procedures in each unit interviewed.

B. Introduction

Importance of Student Records

Student records are matters of fundamental importance to everyone within an academic community. They are also sought and used by many outside organizations and individuals. Adequate management of student records is, therefore, one of the institution's major responsibilities.

The University collects and maintains a tremendous volume of student records. Most of these records include not only the individual's University transcript but personal information as well. The nature and accuracy of this information is of great importance since it represents the student's history in future academic and

career endeavors. Moreover, student records are essential for many aspects of institutional accounting, operations, and functions.

Nature and Scope of Student Records

The complex structure of the University creates problems for accurate and comprehensive documentation of student records. On both quantitative and qualitative scales, the student information maintained by the University has tremendous range. While there are a number of underlying commonalities among University units, there is also considerable diversity in the practices and requirements of individual units. Information is classified as either public [address, dates of enrollment, date of enrollment termination or graduation (1968 Regents' policy on confidentiality of student records)] or private [academic or personal information (1968 Regents' policy on confidentiality of student records)]. It might also be classified as either mandatory (information the institution believes essential to its proper functioning) or voluntary [information considered desirable but not essential (Sage Foundation, 1973)]. The sensitivity of student records ranges from extremely confidential, such as, psychiatric and disciplinary files, to the public information found in the Student-Staff Directory.

C. Why the Project was Initiated, and What it Hopes to Accomplish

In recent months, considerable attention has been given to student records and data systems, primarily in response to state and federal legislation. It should be noted that the interest in documenting policies and procedures regulating student records was more than a good faith response to new legislation. It was, instead, initiated by the sound management principles of administrators such as the late Ralph Berdie, James Preus, and the Student Data Advisory Committee in answer to a

growing national concern for student record maintenance. This concern reflects their interest in establishing the most appropriate and beneficial policies. The project gained much direction from suggestions in Student Records in Higher Education, published by the Russell Sage Foundation.

Berdie's vision and orientation stimulated and guided this review. The message of the times was concern for individual privacy and freedom--terms to which Berdie had a long-time personal commitment; and he brought to his concern the empiricism which characterized his approach to such problems. A review of policies and procedures would not only furnish information for central planning, but would also permit a valuable exchange of information on record policies and procedures among University units. Although characteristics of the student record system are dynamic, a cross-section statement of status in the summer of 1974 should help to plan needed changes for the months ahead as the requirements or recent legislation impact the University.

At this time, the only Regents' regulations regarding student records are those stated in their 1968 policy on confidentiality of student records. The Vice Presidents have a 1972 policy on batch release of information. New laws significantly affecting record policies are the Federal Education Amendments of 1974, H. R. 69, State Act 479, H. F. 1316, State amendments to the Human Rights Act of 1973, section 363-03, State Act 547, H. F. 3347, Federal Title VI of the Civil Rights Act of 1964, and Federal Title IX of the Education Act of 1972. Significant recent statements on student records are the following: the report of the Russell Sage Foundation, Student Records in Higher Education, 1973; Westin and Baker's Databanks in a Free Society, 1972; and the publication of the American Association of Collegiate Registrars and Admissions Officers, A Guide to an Adequate Permanent Record and Transcript, 1971.

The University, however, does not have regulations establishing a common outline for record management; furthermore, it does not require units to account for their particular systems of management. Given the diffused nature of the University and the autonomy of its units, a strong centralized control system to account for use and release of student records is not likely to be possible. Rather, guidelines tailored for effectiveness and efficiency, with an indication of who is responsible in each unit, would be welcomed and used. Providing the background for development of such guidelines is the primary purpose of this report. This project will also serve an immediate end because an inventory taken within each unit will encourage units to seriously consider student record issues and streamlining efforts.

D. The Law and its Implications: the Legal Necessity for Inventory

Contemporary society--not exclusive of students--is showing increasing awareness of and interest in individual records kept by institutions. Many factors may account for this new awareness. Certainly, a concern about one's personal information in the hands of others is not surprising. The post-Watergate era has produced a skepticism about institutions and administrators not previously known to such a degree. The Civil Rights movement and the consciousness raising it brought for many people have affected society's concern about private records. Many universities have traditionally been paternal in their relations to students; students now, however, have acquired greater autonomy as they have rejected the idea of "in loco parentis". Moreover, students pursuing career objectives are aware that their records will be viewed by others and that decisions affecting their lives and directions will be made based partly upon those records. The new relationship between the rights and needs of the student and the legitimate demands of the University therefore, requires serious evaluation (Sage, 1973).

State and federal laws regarding student records are beginning to have impact. The last Minnesota legislative session passed into law H. F. 1316, chapter 479, relating to the collection, security, and dissemination of records. This law is an attempt to determine and assess what is being kept, who has it, and why it is being kept. It also provides an individual with the right to know what is in the record. Federal legislation, H. R. 69, the Family Educational Rights and Privacy Act of the Education Amendments of 1974, allows students access to more sensitive and confidential records. Students have the right to "inspect and review any and all official records, files, and data directly related to [them], including all material that is incorporated into each student's cumulative record folder, and intended for school use or to be available to parties outside the school or school system, and specifically including, but not necessarily limited to identifying data, academic work completed, level of achievement (grades, standardized achievement test scores), attendance data, scores on standardized intelligence, aptitude, and psychological tests, interest inventory results, health data, family background information, teacher or counselor ratings and observations, and verified reports of serious or recurrent behavior patterns." Without a clear grasp of contemporary policy dynamics, University administrators cannot expect to either fulfill the requirements or meet the demands of these new laws.

E. Method

Documentation of student record policies and procedures was accomplished by a personal interview with the individual responsible for records within each of the 32 major divisions which maintain student records. The units interviewed are as follows:

A. Admissions and Records

1. Admissions Office - Minneapolis and St. Paul
2. Records Office - Minneapolis and St. Paul

B. Academic Units

1. Agriculture, College of
2. Biological Sciences, College of
3. Business Administration, College of
4. Continuing Education and Extension
5. Dentistry, School of
6. Education, College of
7. Forestry, College of
8. General College
9. Graduate School
10. Home Economics, College of
11. International Student Adviser's Office
12. Law School
13. Liberal Arts, College of
14. Medical School

15. Medical Technology, Division of
16. Mortuary Science, Department of
17. Nursing, School of
18. Occupational Therapy Course
19. Pharmacy, College of
20. Physical Therapy Course
21. Public Health, School of
22. Technology, Institute of
23. Veterinary Medicine, College of

C. Units Responsible to Office for Student Affairs

1. Financial Aid, Office of (Student Loans and Collections)
2. Student Activities Center
3. Student Counseling Bureau
4. Special Counseling Office
5. University Health Service
6. University Housing Office

D. Business Office

1. Bursar's Office

The interviews took place over the three-month period from July through September, 1974. All units interviewed were asked to respond to the following questions by briefly indicating what policy or procedure they employed:

Basic Content: Academic
Activities
Bio-demographic Data

- I. Format
 - A. Computer
 - B. Paper and Ink
 - C. Ledger
 - D. Cards
 - E. Folders
 - F. Microform
 - G. Other
- II. Location
 - A. Central Files
 - 1. Administrative Offices
 - 2. Other
 - B. Peripheral Files
 - 1. Faculty Offices
 - 2. Other
 - C. Other
- III. Sources
 - A. University
 - 1. Administrators
 - 2. Faculty
 - 3. Other
 - B. Extra-University
 - 1. High Schools
 - 2. Colleges and Universities
 - 3. Police Reports
 - 4. Clinical Findings
 - 5. Other
 - C. Student
 - 1. Test Scores
 - 2. Personal Data Sheets
 - 3. Other
- IV. Purpose and Use
 - A. Academic and Administrative
 - 1. Admission
 - 2. Continuation
 - 3. Probation
 - 4. Graduation
 - 5. Certification
 - 6. Other Scholastic Standing Decisions
- B. Institutional Functioning and Operations
 - 1. Enrollment Accounting
 - 2. Preparation of Summary Reports
 - 3. Other
- C. Student Services (So that certain individuals and groups may make decisions as appropriately as possible for the benefit of the student and the institution)
 - 1. Faculty Advising
 - 2. Academic and Career Consultation, Advice, etc.
 - 3. Psychological Counseling
 - a. Value Clarification
 - b. Human Relations
 - 4. Financial Counseling and Aid
 - 5. Health
 - 6. Placement
 - 7. Other
- V. Administrative Responsibilities
 - A. Individual Responsible (Name and Title)
 - B. Security Measures
 - 1. Against Theft
 - 2. Against Damage
 - 3. Against Loss
 - 4. Against Misuse
 - 5. Other
 - C. Confidentiality - Type of Policy
 - D. Other
- IV. Communication of Student Records
 - A. Communication of Intended Use, Availability, and Confidentiality
 - 1. None
 - 2. On Request Material
 - 3. In Department Handbook
 - 4. Other
 - B. To Whom Information is Released
 - 1. Student
 - 2. Faculty
 - 3. Administration
 - 4. Researchers
 - 5. Authorized External Agencies
 - 6. Other
 - C. Other

VII. Disposition (Disposal of Data)

- A. When?
 - 1. Never
 - 2. Upon Transfer out of Department
 - 3. Upon Graduation
 - 4. Upon Certification
 - 5. Other
- B. How? - Type of Disposal
- C. Who? - Individual(s) responsible
Name and Title
- D. Remarks

VIII. Problems

- A. Type
- B. None

The interviews were then prepared in outline-report form and were sent back to the appropriate divisions for circulation and verification. The final report was prepared from the compilation of divisional interviews; consultations with Ralph Berdie, James Preus, and the Student Data Advisory Committee; interviews with the University attorney; current publications; and recent legislation.

F. General Limitations of the Project

The student records under consideration are those of the Office of Admissions and Records, academic departments and schools, divisions of the Office for Student Affairs and University service facilities (e.g., Health Service, Housing Office, Office of Student Financial Aid, Student Counseling Bureau, Student Activities Center), and the Bursar's Business Office.

The policies documented in each division are not consistent or applicable for every student; their applications relate to the majority of students. General

statements describing commonalties across units have even less application for individual cases.

Certain constraints were necessarily imposed. The study's focus was limited to the central student records and the collegiate files; it has not included subfiles (placement offices, department, alumni) in colleges. Coordinate campuses have been contacted, but this report does not intend to document procedures on other campuses. The study was limited to the three summer months of 1974. In addition, the policy statements are limited to individually identifiable data as distinguished from summary data. With these constraints, this paper does intend to document the core policies and procedures for dealing with central and collegiate student records.

The University has standard guidelines for the release of student information; however, as previously stated, no standard guidelines regulating numerous other aspects of student record maintenance exist. Decisions regarding the latter are left to the discretion of responsible administrators in each respective division. With such wide margins, the probability of variation and inconsistency is high. Surprisingly, the separate divisions do display considerable consistency in their philosophies and practices. Each unit, with its unique educational program, tailors its record system to meet the needs of the students and division most adequately.

All past and present students of the University are the subjects of some record keeping efforts and, often, are the subjects of many. The record system is described as one central administrative unit (the Office of Admissions and Records) with centralized record keeping at the divisional level (i.e., with each division's having considerable autonomy in defining record content and use). Applications and information required for admission are kept in the Admissions Office. Information is also abstracted from these records for other units. University transcripts and official notices relevant to academic progress are kept in the Records Office and in the academic unit.

The Office of Student Financial Aid has a record of all students who have applied for financial aid. The Bursar's Office keeps student loan status information. The Special Counseling Office handles student violations of University rules. The Student Counseling Bureau maintains personal and sensitive counseling and test records. Less sensitive "group" records are kept by the Student Activities Center. Many University of Minnesota alumni and former student records are kept in the Records Office, the previous college office, and/or Rosemont.

G. Records Documentation

Cross-Divisional Uniformities in Policy and Procedure

Organizational structure was the main criterion for categorizing University divisions. The Office of Admissions and Records is responsible for the central student record files, and these files are continually updated by the academic units (e.g., schools, colleges, departments). The Student Activities Center, the Student Counseling Bureau, the Special Counseling Office, the Office of Student Financial Aid, the Housing Office, and the Student Health Service are the units responsible to the Office for Student Affairs. Finally, the University Bursar is responsible to the Business Office. These constitute the units reviewed in this project.

Content

The purpose of this section is to describe and differentiate the central focus of student record maintenance across units. All units keep individually-identifying data and basic bio-demographic information, with the exception of the Student Activities Center. In addition, the Office of Admissions and Records keeps information that is directly significant for the student's admission to and matriculation in the University; information that is directly or indirectly significant for the

student's progress toward a degree; information for services provided to the student; and information for University administration and functioning.

Academic units keep information directly or indirectly significant for the student's progress toward a degree. Most often, this is identifying information, transcripts or progress reports, and any additional correspondence or notes.

Student record maintenance is most varied in the units responsible to the Office for Student Affairs. The Student Activities Center maintains only records of student organizations and memberships. Any records of individual students are voluntarily submitted by organizations.

The Student Counseling Bureau maintains records of test scores, counseling sessions, and University progress and status. The Special Counseling Office maintains files on students against whom complaints of code violations have been received.

The Office of Student Financial Aid keeps records directly or indirectly significant to the student's financial history, status, and condition. The Housing Office maintains information regarding disciplinary offenses and student employment.

All records in the University Student Health Service relate directly or indirectly to the student's health status. The Bursar keeps information regarding student loan status.

Format

This section describes the forms on (or in) which information is recorded and maintained. All units keep information in the Admissions and Records central computer; a few divisions have their own computer files. The majority of information on all students is kept on paper and ink forms in individual folders. Every unit, except the Health Service, the Special Counseling Office, and the Student Counseling

Bureau, receives microfiche grade records from the Office of Admissions and Records. Most units keep a minimal amount of basic information on cards and/or ledgers. Some professional schools have pictures of their students on file.

Location

The University central academic filing system contains similar information on all students. The decentralized academic filing system maintains information on selected students according to college and campus. The University peripheral files contain more specific or voluntary information (such as advisers' notes or resumés) for subgroups of students. This relationship is graphically represented as follows:

Type of Record

University division	Type of Record		
	Central a record (or place for) every student	Decentralized records for selected students	Peripheral very specific and/or voluntary information
Admissions and Records	X		
Academic Units		X	(X)
OSA Responsible Units	X	X	(X)
Business		X	
() optional			

Most units keep all records in their main offices. The divisions may, at the discretion of individual advisers, have files. In this case, the files kept are usually less complete.

While many units keep their former student and alumni records in more remote areas of their division, larger units often send them to the Rosemont storage facility.

Non-academic records (e.g., Health Service, alumni, Student Counseling Bureau) are considered central records. Non-academic centralized records are those of the Student Activities Center, the Special Counseling Office, the Bursar's Office, and the Office of Student Financial Aid.

Sources

Most divisions receive information for their student records from three major categories: University, extra-University, and students. This section lists the sources that commonly contribute to each category.

1) Sources from within the University which augment the students' records are the following: the Office of Admissions and Records (transcripts, evaluations); the Student Counseling Bureau (test profiles); faculty, advisers and administrators (interview remarks, evaluative comments, decisions and correspondence); scholastic standing committees (decisions); and, if required, letters of recommendation and Health Service reports (physicals).

2) External sources that commonly augment the student record are as follows: previous colleges, universities and high schools (transcripts, records); letters of recommendation; testing services (test scores from the Minnesota Statewide Testing Program and Student Counseling Bureau); and physicians (medical reports), when required.

3) Information the student may contribute to his records are applications, personal data sheets, resumes, and correspondence.

Purpose and Use

Most units maintain student records for a variety of purposes and put them to use in numerous ways. James Preus, Associate Director of the Office of Admissions and Records, has summarized the purposes for maintaining the student record:

"The primary purpose for maintaining the central student record of academic accomplishment is to enable the University to grant degrees and to certify students and graduates for a wide variety of eligibility requirements. Other purposes of central and peripheral student records are to provide internal University administrative control (fees, permission to register), management information, and student services, such as advising and counseling, financial aid, and health care."

Understandably, most units tailor their record system to the unique needs of their divisions and students. The following section documents some of the more specific purposes and uses of student records across units.

1) Student records are commonly kept to facilitate academic, administrative, and scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.

2) Student records are often kept to facilitate such institutional functioning and operations as accounting checks on enrollment, preparation of summary reports for the Board of Regents, the State Board of Higher Education, grant requests, and journals specific to their disciplines. Occasionally, departments will use the records to prepare faculty and program evaluations.

3) Student records are kept so the student may receive the most appropriate and beneficial faculty advising (academic and career consultation), psychological counseling (value clarification, human relations problems), financial advising, placement advising, and health care (University Health Service).

Administrative Responsibilities

This section documents common policies employed by divisions for physical safekeeping and confidentiality for all units. When the offices are open, the files

are supervised at all times. When the offices are closed, the doors are locked, All sensitive files (disciplinary and behavior problems) are kept under double and, sometimes, triple security measures.

The University makes every reasonable effort to keep student records confidential. All divisions adhere to the Regents' 1968 policy on confidentiality regarding public and private information. Many divisions employ screening procedures which are stricter than Regents' policy before any release of information. Almost all units require the written permission of the student before the release of any private information is approved. Even when subpoenaed, the student file itself is not directly released. The file is interpreted, and only the relevant, requested information is given.

Requests from third parties for individual student data come from numerous sources. Outside requests most regularly come from the following sources: prospective employers, professional and licensing authorities, the Educational Testing Service, law enforcement agencies, and journals and societies within specific disciplines.

Disposition (Disposal of Data)

This section describes the methods of student record disposal--when and if records are purged, and how purged information is destroyed.

There is, perhaps, greater variation in policy and procedure for this aspect of record keeping than for any other. Most divisions keep records for several years (three to five) following the last registration or graduation. The records are then purged of irrelevant information, moved to a more remote storage location, and kept indefinitely. Most purged information is thrown in the waste and appropriately removed by janitorial staff.

Many newer or smaller units, however, do not purge their files (or have not done so as yet). Some purge on a regular schedule; some, when they have the time or need the space. Purged records may be thrown in the waste, shredded and then thrown in the waste, boxed with special instructions for University Plant Services, or burned under the supervision of staff personnel. The College of Education sets an example; staff members box the files to be destroyed, personally drive them to the University incinerator in their own cars, and watch the records burn.

H. Recommendations

The area of "records education" has been ignored at the University of Minnesota. In light of recent legislation, amelioration of this problem would be desirable. Students now have the right of access and challenge, however, most students are not aware of these laws nor the extent and nature of many record-keeping efforts of which they are objects. Specific notification of the nature and extent of files kept, policies and procedures employed (especially confidentiality), their rights by state and federal laws, the use being made of their files, and who has authority over them would be of great assistance to the student. It would not only be a practical aid, but it would also show the student how he is directly affected by the University out of the classroom. At the time of admission, orientation, or registration, students should be informed of the existence and the nature of their records and of their right to challenge the contents of their records. This could be accomplished by the use of bulletins, brochures, or information sheets accompanying other registration materials.

Student Record Policy and Procedure Documentation
Interview with Leo Abbott and Robert Hammel, Admissions Office

NOTE: Minneapolis and St. Paul have separate Offices of Admissions and Records. Nevertheless, policies and procedures governing their record maintenance are parallel. Unless specifically stated otherwise, assume all policies are appropriate to both Minneapolis and St. Paul. The Minneapolis Admissions and Records divisions are separate units; the St. Paul Admissions and Records divisions are considered one unit.

Basic Content: All records kept are directly significant for the student's admission to and matriculation in the University of Minnesota.

I. Format

- A. Computer - The Applicant File is stored in the University computer.
- B. Paper and Ink - File pockets and test scores (hard copy data) are kept in paper and ink form.
- C. Ledger - Most in-house research is kept on ledger form.
- F. Microstet - Rosters of admitted students are kept on microfiche.

II. Location - On the Minneapolis campus, admission files are kept in B-1 Morrill Hall. On the St. Paul campus, they are kept in 130 Coffey Hall. New credit files (for new students) and code files (permanent files) are kept at these locations.

III. Sources

- A. University - University sources augmenting student records include the faculty (letters of recommendation).
- B. Extra-University - External sources that augment student records include high schools (records), previous colleges and universities (transcripts), letters of recommendation, and test data.
- C. Student - Students directly contribute to their records applications for admission.

IV. Purpose and Use

- A. Academic and Administrative - Records are kept to facilitate application and admission decisions and for placement in courses and programs (e.g., English, mathematics).
- B. Institutional Functioning and Operations - Student records are kept to facilitate research, to improve functioning and decisions, and to prepare summary reports.
- C. Student Services - The Admissions Office is primarily a support service unit to aid students and University administration.

V. Administrative Responsibilities

- A. Individual Responsible - The Assistant Directors in charge of Admissions on the two campuses are responsible for the records maintained by the Admissions Offices. On the Minneapolis campus, this position is currently held by Leo Abbott. On the St. Paul campus, the position is currently held by Robert Hammel.

- B. Security Measures - When the offices are open, the files are supervised at all times. When the offices are closed, the doors are locked. Added security measures include the following:
 - 1. Clerical staff members are trained for proper use of student files and computer terminals.
 - 2. Computer terminals can only be operated during working hours when they are supervised.
 - 3. The computer has built-in security measures.
 - 4. University police patrol the buildings regularly.
 - 5. In the event of trouble or potential trouble, the janitorial staff is alerted to lock all doors and guard the files areas.
- C. Confidentiality - The Admissions Office adheres to the 1968 Regents' policy on release of information. Beyond this, release of information is permissible only at the discretion of professional staff and with signed statements from the students. Any subpoenaed records are taken to court by Admissions and Records representatives; they are not merely released.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - A minimal amount of information concerning admission procedures and confidentiality is provided on the application form itself.
- B. To Whom Information is Released - Professional staff members field any requests for records or information from records and make judgments concerning the appropriateness of the request in adherence to the 1968 Regents' policy.

VII. Disposition (Disposal of Data)

- A. When? - Application forms from admitted students who do not register and applications from students who were not admitted are retained for one year. Applications from admitted students who did enroll are put in a permanent code file. These files are purged periodically, and only lines and other pertinent information are kept.
- B. How? - In Minneapolis, Admissions and Records personnel take waste to the University incinerator, where it is burned. In St. Paul, Admissions and Records staff send for University Physical Plant personnel to dispose of the waste.

Student Record Policy and Procedure Documentation
Interview with Charles Liesenfelt and Robert Hammel, Records Office

NOTE: Minneapolis and St. Paul have separate Records Offices. Nevertheless, the policies and procedures governing record maintenance are parallel. Unless specifically stated otherwise, assume all policies appropriate to both campuses. The Minneapolis Admissions and Records divisions are separate units, while the St. Paul Admissions and Records divisions are considered one unit.

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree, for services provided to the student, and for University administration and functioning.

I. Format

- A. Computer - The following information is stored in the computer:
 - 1. Official transcripts/operational records.
 - 2. Application records.
 - 3. Active Student File.
 - 4. Student Master File.
- B. Paper and Ink - A minimal amount of information per student is kept in paper and ink form, but the total is large.
- C. Ledger - A minimal amount of information is kept on ledger form.
- D. Cards - A minimal amount of information is kept on cards.
- E. Folders - A file pocket is kept for each student.
- F. Microform - Transcripts, application records, instructor grade reports, and name, address, and telephone information are kept on microfiche.

II. Location

- A. Central Files - The Minneapolis central filing system is located in B-1 Morrill Hall. The St. Paul record files are in 130 Coffey Hall. The following files are considered part of the central filing system and comprise the division's most complete record of past and present students:
 - 1. File pockets.
 - 2. Linens (kept separately for active students only).
 - 3. Microfiche SMF records.
- B. Peripheral Files - Less complete records containing specific information are kept by the separate bureaus and divisions. These files include:
 - 1. G.I. Bill files.
 - 2. Fee statements.
 - 3. Scholarship and loan information.
 - 4. Transcript requests.
 - 5. General office files.
 - 6. Registration files.
 - 7. Grade report files.

III. Sources

- A. University - University sources augmenting student records include nearly every division within the University, with the possible exception of Physical Plant and the Business Offices.
- C. Student - Students directly contribute to their records the Student Information Card (SIC) and a schedule of courses, plus additional information as requested by Admissions and Records.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to assist students in their academic progress and to provide a history of the student's work.
- B. Internal Functioning and Operations - Student records are kept for internal accounting, for enrollment status and trends, and for preparation of summary reports.
- C. Student Services - The Records Office is primarily a service unit, the purpose of which is to aid the academic progress of the student and to serve as a reference unit for the student's academic history.

V. Administrative Responsibilities

- A. Individual Responsible - In Minneapolis, the Assistant Director in charge of records is responsible for the records maintained by that office. This position is currently held by Charles Liesenfelt. In St. Paul, the Assistant Director of Admissions and Records for that campus is responsible for the records kept there. This position is currently held by Robert Hammel.
- B. Security Measures - Records are kept in two forms, in the computer and on microfiche. Transcripts and records are supervised by trained staff at all times that the offices are open. When the offices are closed, the files are locked, the computer terminals are rendered inoperative, and the janitorial staff is alerted for nighttime security.
- C. Confidentiality - The Records Office adheres to the 1968 Regents' policy on the release of information from student records. The office operates on a "when in doubt, be conservative" policy.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The Records Office has no formal policy of its own. However, the Office for Student Affairs covers Admissions and Records policies during new student orientation.
- B. To Whom Information is Released - A student may examine his record at any time. That information which is considered "public" (e.g., dates of enrollment, full name, college of enrollment, degrees earned) may be released to anyone at any time. To obtain any non-public information, written permission from the student must be presented. This information is first interpreted and is then given out; the public does not have direct access to the student's file. Parents of minors are permitted access to the student's record. If a file is subpoenaed, the University will send a representative to court to interpret whatever information is necessary. The file itself is never handed over to the court.

VII. Disposition (Disposal of Data)

- A. When? - The Records Office purges the files every ten to fifteen years to remove everything but essential information on students who are no longer in attendance at the University.
- B. How? - In Minneapolis, Admissions and Records personnel take waste to the University incinerator and burn it. In St. Paul, Admissions and Records staff send for University Physical Plant personnel to dispose of the waste.

C. Who? - In Minneapolis, the Assistant Director in charge of records, currently Charles Liesenfelt, is primarily responsible for the disposition of data. This responsibility is delegated to the clerical staff. In St. Paul, the Assistant Director of Admissions and Records for that campus, currently Robert Hammel, is primarily responsible for disposing of data. Here too, this responsibility is delegated to clerical staff.

B. Academic Units

1. Agriculture, College of
2. Biological Sciences, College of
3. Business Administration, College of
4. Continuing Education and Extension
5. Dentistry, School of
6. Education, College of
7. Forestry, College of
8. General College
9. Graduate School
10. Home Economics, College of
11. International Student Adviser's Office
12. Law School
13. Liberal Arts, College of
14. Medical School
15. Medical Technology, Division of
16. Mortuary Science, Department of
17. Nursing, School of
18. Occupational Therapy Course
19. Pharmacy, College of
20. Physical Therapy Course
21. Public Health, School of
22. Technology, Institute of
23. Veterinary Medicine, College of

Student Record Policy and Procedure Documentation
Interview with Keith Wharton, College of Agriculture

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.
- G. Other - Occasionally, pictures of students are kept.

II. Location

- A. Central Files - The following files are centrally located in 227 Coffey Hall:
 - 1. Current file.
 - 2. A record of all transcripts.
 - 3. A file of all scholarships received.
 - 4. Alumni file.
 - 5. Placement file.
 - 6. Discontinued file.
- B. Peripheral Files - The eleven separate departmental filing systems and the advisers' files contain the most complete information on any student.

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts, evaluations), the faculty, advisers, and administrators (interview remarks, evaluative comments, decisions), and the Scholastic Standing Committee (decisions).
- B. Extra-University - External sources augmenting student records include high schools (records), previous colleges and universities (transcripts), award and/or scholarship correspondence, and correspondence from scholarship donors.
- C. Student - Students directly contribute to the record applications, personal data sheets, and placement file applications.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting, for checks on enrollment, and for compiling descriptive information and summary reports to the Board of Regents, the State Board of Higher Education, and the North Central Regional Colleges of Agriculture (which, in turn, uses this information for national agriculture reports).
- C. Student Services - Records are kept to provide the student with the most appropriate and beneficial placement advising, financial advising, and faculty advising (academic and career consultation).

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Assistant Dean is primarily responsible for student records. This position is currently held by John Goodding.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked.
- C. Confidentiality - The student must give authorization for the release of any information. Information is released only to authorized third parties.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - No such policy exists at this time.
- B. To Whom Information is Released - When authorized, information may be released to the student, the faculty, administrators, prospective employers, and researchers.

- VII. Disposition (Disposal of Data) - At the end of each year, records of graduated students and inactive students are pulled and put into two different files. These are kept indefinitely and are not purged. The placement file is kept indefinitely. Arrangements are currently being made to computerize placement records.

Student Record Policy and Procedure Documentation
Interview with Jeanne Lupton, College of Biological Sciences

Basic Content: The majority of student record information maintained in the College of Biological Sciences relates directly to the student's academic progress.

I. Format

- B. Paper and Ink - The majority of information on students is in paper and ink form in individual folders.
- F. Microform - CBS receives the microfiche transcripts from Admissions and records.

II. Location

- A. Central Files - The central files are located in 190p Kolthoff Hall.
- B. Peripheral Files - Advisers' files contain duplicate information from the main file and updated cumulative records.

III. Sources

- A. University - University sources include Admissions and Records (transcripts, evaluations), the Office for Student Affairs, the International Student Adviser's Office, and the faculty and administrators (notes).
- B. Extra-University - A student's high school often sends verification of the student's foreign language history. Previous colleges and universities send transcripts.
- C. Student - Personal data sheets may be submitted by New Advanced Standing (NAS) students. All correspondence to and from the student is also kept in the file.

IV. Purpose and Use

- A. Academic and Administrative - Records are kept for quarterly checks on the student's progress. Any problems noted receive attention, and students are provided directional consultation. Records are used in making decisions concerning admission, continuation, probation, graduation, and placement.
- B. Institutional Functioning and Operations - Records are kept to facilitate education and certification of training in the area of basic biology.
- C. Student Services - Records are kept for career advising and referral to other student service agencies. Records are maintained on, and advisers are provided for, Agriculture students with biology as their interest. Pre-biology CLA students and Adult Special students are also the advisees of the College of Biological Sciences.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The administrative position responsible is the Assistant Dean, currently Norman Kerr. In addition, the Director of Student Services, currently Karen Mackey (Acting Director), has responsibility for student record use and security.
- B. Security Measures - When the office is open, all student record files are supervised at all times by CBS staff. When the office is closed, all records are kept in locked files.

- C. Confidentiality - Students must authorize the release of any and all information. The only individuals who can receive information are authorized third parties.

VI. Communication of Student Records

- B. To Whom Information is Released - When authorized, students, faculty, administrators, researchers, authorized external agencies, and prospective graduate schools and employers may obtain student record data.

VII. Disposition (Disposal of Data)

- A. When? - The active file is transferred to an inactive file upon graduation and/or cancellation. When transferred from the active file to the inactive file, double copies are purged from the files and whatever other academic information precedes the final transcript are removed. The inactive file is kept indefinitely.
- B. How? - Staff members in the College of Biological Sciences rip the purged information and dispose of it in the wastebaskets.

Student Record Policy and Procedure Documentation
Interview with Charles Mannel and Patrick Bradley, College of Business Administration

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- C. Ledger - A minimal amount of information is maintained on ledger form.
- D. Cards - Large index cards are used to keep basic statistical information, degree information, and progress information.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location

- A. Central Files - The following files are centrally located in 225 Business Administration Building and comprise the college's most complete record of past and present students:
 - 1. Basic information and program card files separated according to current students, students no longer in the program, and graduated students.
 - 2. Individual student files according to the above-mentioned categories.
 - 3. A file for admitted "no shows".
 - 4. A file of rejected student applications.
 - 5. A disciplinary file (kept in the Assistant Dean's immediate office).
- B. Peripheral Files - Peripheral files include a placement file (located in the Placement Office, 260 Business Administration Building).

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts), the College of Liberal Arts (occasionally), and the Curriculum Committee or the Academic Progress Review Committee (recommendations regarding petitions).
- B. Extra-University - External sources that augment student records include previous colleges and universities (transcripts) and letters of recommendation.
- C. Student - The student directly contributes to the record applications and personal data sheets.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting, for checks on enrollment, and for providing feedback on the programs students prefer or attend most frequently in the Business Administration specialty areas (to facilitate curriculum planning and changes and to provide this type of information to prospective students, etc.).

- C. Student Services - Records are kept so that the student may receive the most appropriate and beneficial academic advising (for degree and problem checks), for preparing recommendations to honor societies, for placement advising, and for financial advising and referral.

V. Administrative Responsibilities

- A. Individual Responsible - The administrator responsible for student records is the Director of Student, Staff, and Alumni Services, currently Charles Mannel. He, in turn, delegates responsibility to the Coordinator of Admissions and Counseling, which is Patrick Bradley.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the doors are locked. The confidential disciplinary files are kept locked at all times and are located in the Director's office proper.
- C. Confidentiality - The student must give written authorization for the release of any information. Information is released only to authorized third parties. The exceptions to this are names of students eligible for honor societies and fraternity or sorority checks on members' GPA's.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - No such policy exists at this time.
- B. To Whom Information is Released - When authorized by the student, information may be released to the student, to external agencies, to prospective employers, and to internal researchers.

VII. Disposition (Disposal of Data)

- A. When? - Active files are maintained throughout the student's years in school and for four years following graduation. After that four years, only basic program and degree information is retained indefinitely.
- B. How? - Purged information is either shredded and put in the waste or is boxed and burned.
- C. Who? - The Director of Student, Staff, and Alumni Services, currently Charles Mannel, is primarily responsible for the disposal of data. The actual duty has been delegated to the Coordinator of Admissions and Counseling, currently Patrick Bradley.

Student Record Policy and Procedure Documentation

Interview with Vera Schletzer, Continuing Education and Extension

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree. In addition, a personality inventory and other personal information not classified as academic are kept.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Index cards are used to keep basic bio-demographic and degree information.

II. Location

- A. Central Files - The following files are considered part of the central file system within CEE's quarters in Nolte Center and comprise the division's complete record of past and present students:
 - 1. The active student file.
 - 2. Individual academic files.
 - 3. Counseling folders.
 - 4. A card index.
 - 5. Degree and certification information.
 - 6. Dead files.
 - 7. Registration information.

III. Sources

- A. University - University sources that augment student records are the Student Counseling Bureau (test profiles), Admissions and Records (transcripts and evaluations), and the faculty (grade reports).
- B. Extra-University - External sources that augment student records are previous colleges and universities (transcripts).
- C. Student - The student directly contributes to the record personal data sheets (for academic orientation).

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting and checks on enrollment, so the division can most adequately accommodate individual class and program changes. Student records are also used to prepare summary reports for the Board of Regents and the State Board of Higher Education and to justify budget requests.
- C. Student Services - Records are kept so the students may receive the most appropriate and beneficial faculty advising (academic and career consultation), psychological counseling, financial advising, and referral to protect the student.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of Counseling, currently Vera Schletzer, is the individual responsible for student records.

- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked. Confidential files are kept locked at all times.
- C. Confidentiality - The student must give written authorization for the release of any information. Information is released only to authorized third parties.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - Such policies are verbally communicated at the time the student requests information concerning the records, and students are aware of all information kept within the record.
- B. To Whom Information is Released - When authorized, information may be released to the student, the faculty, administrators, researchers, and prospective employers.

VII. Disposition (Disposal of Data)

- A. When? - Academic files are removed from the active file after two or three years. Counseling files are removed two or three years after the last visit.
- B. How? - Purged materials are ripped and thrown in the waste. Materials to be retained are put in alphabetical order in a less-accessible file and kept indefinitely.
- C. Who? - The individual responsible for the disposal of data is the Director of Counseling, currently Vera Schletzer. The actual disposal is performed by the Student Personnel Workers.

- VIII. Problems - The only problem encountered in this division is a noted delay in receiving from Admissions and Records evaluations of incoming students.

Student Record Policy and Procedure Documentation
Interview with Mellor Holland, School of Dentistry

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree. This includes student conduct information within the School of Dentistry and information regarding positions held.

I. Format

- A. Computer - A record of clinical achievements is kept on the computer.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- C. Ledger - A minimal amount of information is kept in ledger form.
- D. Cards - Index cards are used to keep basic information.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location - A file of dental student applications and current student records by class is kept in Room 106, Floor 15, Unit A, of the Health Sciences Building. Other student records (e.g., Dental Graduate School records, Dental Assisting records, Dental Hygiene records) are kept in their divisional offices.

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts, evaluations), the faculty, administrators, and advisers (interview remarks, evaluative comments, decisions), the Health Service, and the CLA Health Science Advising Office.
- B. Extra-University - External sources that augment student records include the Dental Admissions Testing Service (test scores), previous colleges and universities (transcripts), and the American Association of Dental Schools Application Service (AADSAS).
- C. Student - Students directly contribute to the records application forms, registration information, and occasionally, resumé's.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation. They are basically used to monitor the student's academic progress.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting, for checks on enrollment, for preparing summary reports to the Board of Regents, the State Board of Higher Education, and the American Dental Association and the American Association of Dental Schools, and for responding to other authorized external agencies.
- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial faculty advising (academic and career consultation), psychological counseling (value clarification, human relations), financial advising, financial aid (scholarships), referral, and placement advising.

V. Administrative Responsibilities

- A. Individual Responsible - The Dean of the School of Dentistry is primarily responsible for student records. This position is currently held by Erwin Schaffer. The responsibility is delegated to Associate Deans and staff members.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the doors are locked.
- C. Confidentiality - The student must authorize the release of any information. Only authorized third parties may receive information. The records are not allowed out of the office itself, and the authorized use of records must take place in the presence of staff members in the office.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - Such policies are communicated to the class representatives, who are then responsible for forwarding this information to the students.
- B. To Whom Information is Released - When authorized, information may be released to the faculty (limited use only), to researchers (strict authorization), to prospective employers, to the armed services, to loan offices and agencies, and for internships, residencies, graduate programs, and security checks.

- VII. Disposition (Disposal of Data) - All information contained in student records is kept indefinitely. At the time of graduation, files for graduated students and files for discontinued students are moved to a more remote file. The Senior Secretary, currently Kathy Younie, is responsible for this transfer of data.

Student Record Policy and Procedure Documentation
Interview with William Edson, College of Education

Basic Content: Records maintained in the College of Education primarily concern the student's academic history and current progress.

I. Format

- A. Computer - A certain amount of information is kept on computer.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - A minimal amount of information is kept on index cards.
- F. Microform - Microfilm records are kept by the college and are stored in the Audio-Visual Department on the St. Paul campus.

NOTE: Advisers' personal records and psychological counseling records and service information are not maintained in computer form.

II. Location

- A. Central Files - Computer tapes and files are maintained in the University Computer Center. Microform records (microfilms of inactive files) are stored on the St. Paul campus in Audio-Visual facilities. Paper and ink records are maintained (stored) at 1425 University Avenue S.E. Microform records of academic records supplied by O.A.R. are maintained at 1425 University Avenue S.E. (Codes, I.D. numbers, and programs required for access to files stored elsewhere are kept at 1425 University Avenue S.E.)
- B. Peripheral Files - Faculty and counselors keep in peripheral locations certain information for their professional use.

III. Sources

- A. University - University sources that augment student records include the faculty (grade reports, evaluations), administrators, and Admissions and Records (transcripts).
- B. Extra-University - External information kept on file consists primarily of letters of recommendation for placement.
- C. Student - Students provide information in the form of interviews, test scores, and personal data sheets.

IV. Purpose and Use

- A. Academic and Administrative - Student records are maintained to ascertain the student's academic status and to make scholastic standing decisions concerning admission, continuation, probation, graduation, certification, and placement.
- B. Institutional Functioning and Operations - Student records are kept for regulation and accounting of enrollment and for the preparation of summary reports.
- C. Student Services - Records are kept for faculty advising and psychological counseling (value clarification, human relations). Records are also kept so that the students themselves may judge the best course for application, continuation, or application for student teaching and other academic career-oriented decisions.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of the Education Career Development Office, currently William Edson, is the responsible individual.
- C. Confidentiality - Such policies in the College of Education follow strict adherence to the Regents' policy concerning record acquisition and maintenance and release of information. The Regents' policy has been clarified specifically for the College of Education. This clarification has been articulated in writing and distributed.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - Such policies are distributed in writing.
- B. To Whom Information is Released - Information is released to students, faculty, administrators, researchers, external agencies, employers, and prospective employers who are authorized according to the Regents' policy. Authorized information may be disseminated verbally, by letter, through a counselor or adviser, through the Student Counseling Bureau, etc., or by whatever means necessary to insure that the information communicated is properly understood, and that security is maintained.

VII. Disposition (Disposal of Data)

- A. When? - Non-graduate files are kept on computer for an indefinite period of time and are eventually destroyed by the University Computer Service. Paper and ink files for graduates are kept for five years following graduation and are then destroyed.
- B. How? - College of Education staff box the files, drive them to the University incinerator in their personal cars, and watch the files burn.

Student Record Policy and Procedure Documentation

Interview with Kenneth Winsness and Mary Schoper, College of Forestry

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree in Forestry.

I. Format

- A. Computer - A minimal amount of information is kept on the computer.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location

- A. Central Files - The following files are centrally located in 12 Green Hall and comprise the college's complete record of past and present students:
 - 1. Active student file.
 - 2. Inactive student file.
 - 3. College office file.

III. Sources

- A. University - University sources augmenting student records are Admissions and Records (transcripts), advisers (interview remarks, evaluative comments, decisions), the Scholastic Standing Committee (decisions), and the Scholarship Committee (decisions).
- B. Extra-University - External sources that augment student records are prospective schools or employers, federal, state, or private appraisals of summer employment, correspondence, and letters of recommendation.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation. They also are used to provide academic congratulations to students who have achieved a 3.5 or a 4.0 grade point average for the entire year.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting and checks on enrollment and for preparing summary reports and individual rank.
- C. Student Services - Records are kept so that the student may receive the most appropriate and beneficial faculty advising (academic and career consultation) and placement.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of Undergraduate Programs, currently Kenneth Winsness, is responsible for student records. Further responsibility is delegated to the Senior Secretary, currently Mary Schoper.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the windows are locked, and the doors are double locked. The janitors double check the staff's locking efforts.

- C. Confidentiality - The student must give written authorization for the release of any information. Information is released only to authorized third parties. Authorization is established by Kenneth Winsness.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - This information is communicated to the student either verbally during orientation or upon request.
- B. To Whom Information is Released - When authorized, information may be released to prospective employers, the student, the faculty, administrators, and researchers (only when authorized and must be cleared through the Dean. All information is collected by the staff, interpreted, and then given to the researcher.).

VII. Disposition (Disposal of Data)

- A. When? - Upon graduation, all records are purged of irrelevant information. The remaining records are placed in an alumni file and are kept indefinitely. The inactive files are kept for a period of ten years, after which, they are kept in a hard file in Admissions and Records.
- B. How? - Purged information is run through a shredder and thrown in the waste.
- C. Who? - The Senior Secretary, currently Mary Schoper, is responsible for the disposal of data.

VIII. Problems - Concern was expressed over the public posting of examination scores and final course grades.

Student Record Policy and Procedure Documentation
Interview with Gordon Kingsley, General College

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Index cards are used to keep basic data and degree information.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location

- A. Central Files - The following files are kept in the General College Student Personnel Office, 20 Nicholson Hall, are considered part of the central filing system, and comprise the college's complete record of past and present students:
 - 1. New student file (first quarter in residence).
 - 2. Baccalaureate student file (new admits and rejects).
 - 3. Regular student file [includes (1) and (2) after first quarter].
 - 4. Confidential file.
 - 5. Placement file (kept in Placement Counselor's Office).
- B. Peripheral Files - The Office of the Dean maintains a card file of all students who transfer to the General College and a file of instructors' grade reports.

III. Sources

- A. University - University sources augmenting student records are the Scholastic Standing Committee (decisions), the Student Counseling Bureau (test profiles), Admissions and Records (grade slips, initial application forms), advisers, administrators, and faculty (interview remarks, evaluative comments, decisions), departments (correspondence), and letters of recommendation.
- B. Extra-University - External sources augmenting student records include prospective employers (correspondence) and the police (records which are strictly confidential).
- C. Student - The student directly contributes to the record brief resumé sheets. One such resumé sheet is kept in the Student Personnel Office. A job placement file is kept for students seeking employment.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting and checks on enrollment and for use in the preparation of summary reports for the Board of Regents, the State Board of Higher Education, etc.

- C. Student Services - The primary purpose of student records is to insure that the student receives the most appropriate and beneficial faculty advising (academic and career consultation), psychological counseling (value clarification, human relations), referrals, and placement advising.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The person responsible for student records in General College is the Coordinator of Student Personnel Services. This position is currently held by G. Gordon Kingsley.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked. The confidential files are kept in a locked cabinet.
- C. Confidentiality - The student must provide written authorization for the release of any information. Information is released only to authorized third parties. Authorization is established by Gordon Kingsley. Faculty members and administrators have access to the new student file, the baccalaureate student file, and the regular student file; counseling staff members have access to all the files. All other individuals must receive authorization from Gordon Kingsley. The files are kept in the central filing system at all times. If an authorized individual wishes to remove a file, it must be checked out and may only leave for a maximum period of 24 hours, so the college knows at all times the whereabouts of any record. A student's records are not available to the student except through interpretation by a counselor.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The following statement appears on page 18 of the General College Bulletin, under the section on counseling:

"The confidential nature of the counseling interview is taken very seriously by General College counselors. It is considered the student's right to expect the counselor to hold in confidence all those details of the interview which were not previously 'public information', unless the student has granted permission for their release. The transfer of counseling information to a parent, another agency, or another institution is possible only with the consent of the student, with one possible exception: an emergency situation in which the counselor considers the information crucial to the well-being of the individual and/or society. Whenever any information is used for research purposes, the student is never identified by name."

- B. To Whom Information is Released - When authorized, information may be released to parents, faculty, administrators, staff, researchers, authorized external agencies, and prospective employers.

VII. Disposition (Disposal of Data)

- A. When? - Student records are destroyed two to three years following graduation or certification.
- B. How? - Records to be destroyed are collected in a barrel, and University Maintenance is called to take them to the University incinerator.
- C. Who? - The Coordinator of Student Personnel Services, currently G. Gordon Kingsley, is responsible for the disposal of data.

Student Records Policy and Procedure Documentation
Interview with Beverly Miller, Graduate School

Basic Content: All records kept by the Graduate School primarily concern the student's academic history and current progress.

I. Format

- A. Computer - A minimal amount of information is maintained in the computer.
- B. Paper and Ink - Copies of applicants' permanent records and quarterly progress reports are kept in folders.

II. Location

- A. Central Files - Applications are kept in 310 Johnston Hall, and permanent files are kept in 322 Johnston Hall.
- B. Peripheral Files - Confidential files concerning highly sensitive material are kept in the Dean's office.

III. Sources

- A. University - The student's department submits general information concerning degree requirements. Information is also received from Admissions and Records.
- B. Extra-University - The only information or materials from outside the University that are requested and kept are transcripts of previous work.
- C. Student - The application and test data come from the student.

IV. Purpose and Use

- A. Academic and Administrative - Records are kept to make decisions concerning admission, continuation, probation, graduation, certification, placement, and other scholastic standing decisions. The student's department and the Graduate School Office jointly make such decisions. The use of student records for Graduate Review Committee decisions concerning continuation and graduation are carried out within the student's own department.
- B. Institutional Functioning and Operations - Student records are kept for enrollment accounting, for preparing biennial reports to the President, and for preparing any legislative requests.
- C. Student Services - Records are kept to aid faculty and advisers in counseling and advisory roles. These services are offered by faculty and advisers in the field appropriate to the student's program and not by the staff in the Graduate School Office. Student records are also kept for occasional financial advising, especially in the cases of consideration for fellowships.

V. Administrative Responsibilities

- A. Individuals Responsible (Name and Title) - One Principal Clerk, currently Shirley Olson, is in charge of submitting application information to the computer system and is also responsible for maintaining the paper and ink application folder files. Another Principal Clerk, currently Dianne Krogan, is in charge of maintaining the old student permanent files. A Systems Analyst, currently Ruth Chovancek, is responsible for the computer quarterly progress report.

- B. Security Measures - The CRT identification code is used to insure accuracy in data. The files are supervised at all times that the office is open, and they are locked at all times that staff members are not in the room.
- C. Confidentiality - Only the Graduate School staff has access to the files. The student records are also available, as needed, by authorized University graduate faculty. Other University individuals seeking student record information must present to the Dean of the Graduate School justification for their requests and must obtain his approval and authorization. Only the Dean and the Dean's assistant have access to the confidential student file. Individuals from outside the University do not have access to anything but public information. Such individuals must come to the office to request the information from the staff. It is then released according to the Regents' 1968 policy. Written requests from the student to release information to authorized individuals is acceptable. However, the only information released is that which is unique to the Graduate School, not complete information on the student's academic history. Students may not see their own faculty evaluations.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The Graduate School has no such policy.
- B. To Whom Information is Released - Information is released according to Regents' policy to students, faculty, administrators, researchers, and authorized external agencies. Records are released in both verbal and written forms.

VII. Disposition (Disposal of Data)

- A. When? - Paper and ink application files of students who have been accepted are destroyed after two years. Rejected students' application files are destroyed after one year.
- B. How? - Non-essential records are ripped and thrown in the waste.

Student Record Policy and Procedure Documentation
Interview with Ralph Miller, College of Home Economics

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Cards containing a minimal amount of student information are kept.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location

- A. Central Files - The central filing system in 212 McNeal Hall comprises the college's complete record of past and present students. Records of students who graduated five or more years ago are removed from the current student file and placed in a more remote part of McNeal Hall (but are still considered part of the central filing system).
- B. Peripheral Files - The departments are responsible for their own grade books, and advisers may keep files at their own discretion.

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts), the faculty, administrators, and advisers (interview remarks, evaluative comments, decisions), and letters of recommendation.
- B. Extra-University - External sources augmenting student records include high schools (records), previous colleges and universities (transcripts), letters of recommendation, scholarship information, and correspondence.
- C. Student - Students directly contribute to their records application forms, personal data sheets, and test scores.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting, for checks on enrollment, for preparation of summary reports to the Board of Regents and the State Board of Higher Education, and for grant requests.
- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial faculty advising (academic and career consultation), referral, and placement advising.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of Student Personnel for the College of Home Economics is primarily responsible for student records. This position is currently held by Ralph Miller.

- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is double locked.
- C. Confidentiality - The College of Home Economics adheres to the Regents' policy on confidentiality of student records. No information is given over the telephone. Students must provide written authorization for the release of information, and information may only be released to authorized third parties (or authorization must be established by Ralph Miller).

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - Such policies are implied or stated during the student's initial orientation.
- B. To Whom Information is Released - When authorized, information may be released to the student, the faculty, administrators, researchers, authorized external agencies, and prospective employers with student's permission on personal resumé. Information is not released to insurance companies.

VII. Disposition (Disposal of Data)

- A. When? - Student records are kept while the student is currently enrolled and for one year following graduation. They are then moved to a total master file. At the end of five years, they are moved to a permanent file and kept indefinitely.
- B. How? - Any purged information is put in the waste.
- C. Who? - The Director of Student Personnel for the College of Home Economics, currently Ralph Miller, is responsible for the disposal of data.

Student Record Policy and Procedure Documentation

Interview with Forrest Moore, International Student Adviser's Office

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree and for his legal status and his social-personal life while he is at this University.

I. Format

- A. Computer - Bio-demographic and academic history information is kept on computer.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- C. Ledger - Ledger forms are used to keep basic information.
- D. Cards - Cards contain a minimal amount of statistical information.
- F. Microform - Microfiche transcripts from Admissions and Records are kept.

II. Location

- A. Central Files - The following files are located at 717 East River Road and comprise the division's most complete record of past and present information:
 - 1. Bio-demographic information for current students.
 - 2. Pre-Arrivals.
 - 3. Deactivated files (kept in the basement).
 - 4. Counselors' personal files (kept in counselors' offices, mostly at 719 East River Road).

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts), the Graduate School, faculty advisers, other divisional advisers, other students, counselors, and administrators.
- B. Extra-University - External sources augmenting student records include community people and colleges in the student's home country, United States government offices abroad and in the United States, the State Department, the Labor Department, the police department (occasionally), private agencies (sometimes), and other colleges (letters of inquiry).
- C. Student - The student directly contributes to the record case notes, letters of recommendation, and personal data sheets.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate academic decisions and to provide legal bases for recommendations to allow students to work and take practical training.
- B. Institutional Functioning and Operations - Student records are kept to prepare reports on enrollment for the University (as requested) and to determine whether the student is maintaining legal status.
- C. Student Services - Student records are maintained so the student may receive the most appropriate and beneficial educational and personal counseling, financial counseling, referral, and activity coordination.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of the International Student Adviser's Office is primarily responsible for student records maintained in that office. This position is currently held by Forrest Moore.
- B. Security Measures - The office is supervised at all times that it is open. When the office is closed, the doors are double locked. The confidential files can be locked, and the staff is given regular instruction concerning the confidentiality and security measures that must be taken.
- C. Confidentiality - The International Student Adviser's Office has prepared a thorough document concerning the principles and procedures for handling confidential information. This document outlines their philosophy regarding confidential material and gives explicit instructions for the release of information and the circumstances under which information is or is not released. Their policies and guidelines concur with the Regents' policy and guidelines of 1968 concerning student records.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - This information, through the division's thorough document of the principles and procedures for handling confidential information, is communicated to the student at the time of orientation.
- B. To Whom Information is Released - Information is released to no one (not even to the student's parents or the government) without prior counsel with and consent of the student, except in life or limb matters.

VII. Disposition (Disposal of Data)

- A. When? - Applications of rejected students and pre-admit correspondence are kept for one year only. Current files are kept for 18 months if the student is in practical training or up to 12 months after the individual becomes a permanent resident.
- B. How? - Rejected applications and pre-admit correspondence are thrown in the waste. Current files for graduates or permanent residents are moved to a deactivated file in the basement.

Student Record Policy and Procedure Documentation
Interview with Marilyn Dean, Law School

Basic Content: All student records kept in the Law School are germane to the student's objective of a law degree.

I. Format

- B. Paper and Ink - A minimal amount of information is kept on computer print-outs. The majority of information is found in paper and ink form in folders.
- D. Cards - Index cards containing admission information are maintained.

II. Location

- A. Central Files - Central files are kept in the main administrative office at the Law School. Admission information, grades, and placement files are kept in separate files within the central office.

III. Sources

- A. University - Admissions and Records sends the microfiche transcripts to the Law School.
- B. Extra-University - The Law School receives letters of recommendation, LDAS and GAFSAS information, transcripts from undergraduate schools, and other extra-University correspondence.
- C. Student - In addition to the application form the student fills out, students also have the option of submitting a resumé to the Law School placement file.

IV. Purpose and Use

- A. Academic and Administrative - Information is collected to maintain a record of academic status in order to make decisions concerning admission, continuation, probation, graduation, placement, and other scholastic standing decisions.
- B. Institutional Functioning and Operations - The Law School prepares a first-year profile and class rank lists as necessary summary reports. They also maintain student records for their own personal use in gaining information relevant to enrollment in the Law School.
- C. Student Services - The records kept concerning the student are to facilitate academic and financial aid advising. Records are also kept as a resource for the Law School Placement Office.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Administrative Trainee to Associate Dean Robert Grabb, currently Phyllis Sims, is in charge of the current-student files. Phyllis Sims is also responsible for the old-student files, which are kept in a storeroom. Assistant Dean Patricia Lydon is responsible for admission records, index cards, and placement files.
- B. Security Measures - When the central office is open, it is manned at all times by Law School staff. The files' physical location in the office is such that it does not allow access by unauthorized individuals. When the office is unmanned, the record files are locked.

- C. Confidentiality - Students must authorize the release of any of their records to only authorized third parties, with the exception of public information, to which anyone has access.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The Scholastic Requirements Rule 5F states that all grade records are held in confidence by the Dean's Office, and such information is released only to the student, to persons designated by the student, to personnel in the Dean's Office responsible for grade records, or to the Dean. This is a written rule distributed to the student at the beginning of each academic year.
- B. To Whom Information is Released - When the student has given written authorization for its release, information may be released to students, faculty, administrators, researchers, authorized external agencies, the Educational Testing Service, and the Statistics Department.

- VII. Disposition (Disposal of Data) - Application files for rejected students are kept for one year. Accepted students' application files, along with all other information, are kept in an active file while the students are in attendance. Upon a student's graduation, the information is removed to a more remote part of the Law School and kept indefinitely. No information on active students is destroyed. The individuals responsible for the transfer of information are Law School staff.

Student Record Policy and Procedure Documentation
Interview with Carol Pazandak, College of Liberal Arts

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms (e.g., computer print-outs, student-completed forms, petitions, personal information, adviser interview summaries) in individual folders contain much of the information on students.
- C. Ledger - Ledgers are used to create and maintain degree progress records.
- D. Cards - Cards are used for registration and cancel/add information.
- F. Microform - Admissions and Records microfiche transcripts are kept on file.

II. Location

- A. Central Files - Only a minimal amount of information is kept centrally in 210 Johnston Hall. More complete and useful records are kept by the individual college offices. A central card file is kept in 210 Johnston Hall. A Student Scholastic Conduct file is kept in the office of the Coordinator for the Scholastic Committee.
- B. Peripheral Files - Separate filing systems are maintained by each separate college office, including the Placement Office. The Placement Office's files are kept in 17 Johnston Hall; inactive files are kept in the basement of Johnston Hall; very old files are kept at Rosemont.

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts and admission data) and colleges (advisers' notes, Scholastic Committee actions, office-prepared records of progress, test results).
- B. Extra-University - External sources that augment student records include previous colleges and universities (transcripts) and parents (correspondence from them).
- C. Student - Students directly contribute to their records academic programs, personal inventory sheets, plans for completion of major course work, correspondence, and petitions for exceptions to college regulations.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Records are kept for internal accounting and monitoring and for adviser training.
- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial faculty advising (academic and career consultation), referral, and placement assistance.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Assistant Dean for Student Personnel is primarily responsible for student records maintained by that college. This position is currently held by Carol Pazandak.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked.
- C. Confidentiality - Except for directly-concerned college office personnel, access to student records is restricted. The student must give authorization for the external release of any and all information from his file. When authorized, information may be released to authorized third parties. Information in the Student Scholastic Conduct file is available to no one except the student concerned, the Chairman of the Student Scholastic Conduct Committee, and the Executive Secretary of the Committee. The College of Liberal Arts is in a period of transition in terms of more clearly articulating and disseminating information and regarding policies concerning confidentiality. In general, however, they concur with the Regents' 1968 policy on the release of information.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - This information is communicated to the student in the CLA bulletin.
- B. To Whom Information is Released - CLA conforms to the Regents' 1968 policy on confidentiality. There is no external distribution of information except through the office itself in the form of an interview with the third party or individual seeking information from a student's file, and with the authority of the student. Information may be released internally to authorized third parties if the third party demonstrates a legitimate "need to know". The needed information is always interpreted from the file; the file itself is not accessible to such third parties. Data may be made available to authorized persons engaged in approved research projects, with careful conditions guaranteeing the confidentiality of individual record information. (Individual identification is guarded by a coding system.)

VII. Disposition (Disposal of Data)

- A. When? - Current records are kept on active file until graduation, at which time, they are purged and put in an alumni file in the basement of Johnston Hall. They are kept there for several years before being sent to Rosemont for permanent storage. Applications from students who were accepted but who did not register are kept for one year only. The drop-out and inactive files are kept for approximately three to five years before they are transferred to a more remote filing system. The Student Scholastic Conduct file is kept for five years following the incident and is then disposed of.
- B. How? - Irrelevant data are disposed of in the waste.
- C. Who? - The Assistant Dean for Student Personnel, currently Carol Pazandak, is responsible for the disposal of data.

Student Record Policy and Procedure Documentation

Interview with Pearl Rosenberg and Georgene Draheim, Medical School

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- A. Computer - A minimal amount of information is kept on the computer.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Large index cards are used to keep basic information on current students and alumni.
- F. Microform - The microfiche transcripts from Admissions and Records are kept on file.

II. Location

- A. Central Files - The individual folders kept in 1305 Mayo comprise the school's complete record of currently-enrolled students.
- B. Peripheral Files - The divisional offices and advisers keep information which is pertinent (at their discretion). An evaluation and research curriculum file is kept in Centennial Hall. These statistical studies are highly confidential.

III. Sources

- A. University - University sources augmenting student files are Admissions and Records (transcripts and evaluations), administrators, faculty, and advisers (interview remarks, evaluative comments, decisions, correspondence), the Student Counseling Bureau (test profiles, MMPI), Dean's copies of correspondence, internship letters to other hospitals, and letters of recommendation. Honors and awards are also kept in the file.
- B. Extra-University - External sources augmenting student records are previous colleges and universities (transcripts), honors divisions (pre-med communication), test scores (MCAT), National Board scores (an indication of pass/no-pass only), and letters of recommendation.
- C. Student - Students directly contribute to their records updated personal data sheets and application forms.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting and checks on enrollment, so the division can most adequately accommodate individual class and program changes. Student records are also kept to serve as evaluations. In addition, student records are used to prepare summary reports for the Board of Regents and the State Board of Higher Education. They also provide an indication of space needs for the Medical School.
- C. Student Services - Student records are kept so the student may receive the most appropriate and beneficial faculty advising and counseling, placement, financial aid, and any referrals necessary.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Associate Dean for Student Affairs, currently W. Albert Sullivan, and the Assistant Dean for Curriculum, currently Robert J. McCollister, are responsible for student records.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked, and the files within are locked.
- C. Confidentiality - Students must give complete authorization for the release of any information. Information is released only to authorized third parties.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The Student Council at the Medical School is responsible for disseminating such information.
- B. To Whom Information is Released - When authorized, information may be released to faculty, administrators, researchers, authorized external agencies, insurance companies, and loan offices of banks and for draft requests.

VII. Disposition (Disposal of Data)

- A. When? - Rejected applications are kept in a separate file for five years and are then disposed of. Current files are kept for a period of five years after graduation and are then transferred to an alumni file and kept indefinitely. Records over five years old are taken to Rosemont and stored.
- B. How? - Any purged information is given to the custodian with instructions that it contains confidential material to be destroyed.
- C. Who? - The Senior Secretary is responsible for or oversees the disposal of data. This position is currently held by Beatrice Miller.

Student Record Policy and Procedure Documentation
Interview with Verna Rausch, Medical Technology

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Index cards are used to keep basic data on graduate students (e.g., names, addresses).
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.
- G. Other - A tabulation sheet of progress information and a picture are kept on file for each student.

II. Location

- A. Central Files - The following files are kept in the Medical Technology main office and comprise the division's complete record of past and present students:
 - 1. Active file.
 - 2. Graduate file.
 - 3. Graduate address file.
 - 4. Discontinued file.
 - 5. Non-graduate file.
- B. Peripheral Files - Course records and evaluations (by students) are kept in the respective faculty office.

III. Sources

- A. University - University sources augmenting student records are Admissions and Records (transcripts, student summary information), Lower Division (files), the Student Counseling Bureau (test profiles), the Scholastic Standing Committee, the faculty, advisers, and administrators (interview remarks, evaluative comments, decisions).
- B. Extra-University - The primary external sources augmenting student records are previous colleges and universities (transcripts).
- C. Student - The student directly contributes to his record correspondence, personal data sheets, interview notes, and petitions.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admissions, continuation, probation, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting, for checks on enrollment, for preparation of summary reports to the Dean (budgetary) and to the Council of Medical Education of the American Medical Association (accreditation), for federal funding of Allied Health, and for census information.

- C. Student Services - Records are kept so students may receive the most appropriate and beneficial faculty advising (academic and career consultation), psychological counseling (human relations), placement advising, and referral.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of Medical Technology is primarily responsible for student records. This position is currently held by Ruth Hovde.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked.
- C. Confidentiality - Records may never leave the office complex. Requested references for students are released upon the scrutiny of the Director. (It is assumed that the student has listed the division as a reference, when prospective employers call for information and references.)

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - During the student's clinical experience phase (end of junior and senior years), the intended use of evaluations on the students are communicated.
- B. To Whom Information is Released - The student, the staff, administrators, authorized external agencies (e.g., the F.B.I.), researchers, and prospective employers and graduate schools may receive student record information.

VII. Disposition (Disposal of Data)

- A. When? - Rejected applications are kept for one year and are then transferred to a discontinued student file and kept indefinitely. Records kept in the current file are maintained until graduation and are then purged. Remaining pertinent data are transferred to the graduate file.
- B. How? - Purged materials are thrown in the waste.
- C. Who? - The Director of Medical Technology, currently Ruth Hovde, is responsible for the disposition of data.

- VIII. Problems - The division feels that transfer students to Medical Technology are disadvantaged because of inadequate records from either previous institutions or other divisions within the University.

Student Record Policy and Procedure Documentation

Interview with Earl Burger and Karen Healy, Department of Mortuary Science

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree. This included physical examination records at admission and at certification.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- C. Ledger - Basic information on course progress is kept in ledger form.
- D. Cards - Index cards are used to keep basic statistics on students.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.
- G. Other - A picture of each student is kept with his record.

II. Location

- A. Central Files - The following files are kept in 114 Vincent Hall and comprise the department's complete record of past and present students:
 - 1. Admission and current student file.
 - 2. File of graduates within the last year.
 - 3. File of graduates from two years ago and beyond.
 - 4. File of non-admitted students.
 - 5. File of discontinued students.
- B. Peripheral Files - There is no peripheral filing system in the Department of Mortuary Science.

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts, evaluations), the Student Counseling Bureau (test profiles), the faculty, advisers, and administrators (interview remarks, evaluative comments, decisions), and the University Health Service.
- B. Extra-University - External sources augmenting student records include previous colleges and universities (transcripts).
- C. Student - Students directly contribute to their records correspondence, personal data sheets, and placement forms.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions regarding admission, continuation, probation, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting and checks on enrollment and for preparation of summary reports for the State Board and accreditation.

- C. Confidentiality - With the exception of providing grades directly to the State Board, no information is released without the written consent of the student.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The senior class is informed of such policies by the director of the department.
- B. To Whom Information is Released - When authorized, student record information may be released to the faculty, administrators, researchers, and Federal and State Boards.

VII. Disposition (Disposal of Data)

- A. When? - Rejected students' files are kept for two years and then disposed of. Current students' records are kept until graduation or certification, at which time, they are purged. Remaining pertinent records are placed in an inactive file and kept indefinitely.
- B. How? - All materials to be disposed of are thrown in the waste.
- C. Who? - The department's Senior Secretary, currently Karen Healy, is responsible for the disposal of data.

- VIII. Problems - The new computerized student transcripts are less useful to the department than were the old ones, because they do not contain as much information or as much specific information. Another problem with the new computer-form transcripts is that the total number of credits taken are counted and added into the total cumulative credits. For example, if a student received an "F" in a course, the number of credits the failed course would have been worth is added into the total cumulative record, which is not the way total cumulative credits are computed. Therefore, the department has to recalculate credits, and the student is misled as to the number of credits actually completed toward graduation or certification.

Student Record Policy and Procedure Documentation
Interview with Isabel Harris, School of Nursing

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree. In addition, health records, which are pertinent to their clinical contacts, are kept.

I. Format

- B. Paper and Ink - Pager and ink forms in individual folders contain the majority of all information on every student.
- C. Cards - Index cards are used to keep basic biodemographic and degree information.
- D. Ledger - Current GPA's are kept on ledger form.
- E. Microform - A history of the students in the School of Nursing through five years ago is kept on microfilm. Admissions and Records also sends microfiche transcripts.

II. Location

- A. Central Files - The following files are centrally located in Powell Hall and comprise the school's complete record of present and recently-past students:
 - 1. Individual student files.
 - 2. A microfilm record of alumni from 1912 through five years ago is kept at Rosemont.
- B. Peripheral Files - Faculty may keep less complete records which contain pertinent information.

III. Sources

- A. University - University sources that augment student records are Admissions and Records (transcripts and evaluations), faculty and advisers (interview remarks and evaluative comments, decisions), the Student Counseling Bureau (test profiles), instructors (clinical evaluations), letters of recommendation, and correspondence.
- B. Extra-University - External sources that augment student records are letters of recommendation and correspondence.
- C. Student - Information contributed to the record directly by the student is usually only in the form of correspondence.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting checks on enrollment, so the division can most adequately accommodate the students. In addition, student records are used to prepare summary reports for the Board of Regents, the State Board of Higher Education, HEW, accreditation agencies, and nursing organizations and for curriculum development grants.

- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial faculty advising (academic and career consultation) and placement advising.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Student Personnel Officer is primarily responsible. This position is currently held by Georgia Park.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked.
- C. Confidentiality - The student must give authorization for the release of any information. Information is released only to authorized third parties.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - No such policy exists at this time.
- B. To Whom Information is Released - Students, faculty advisers, prospective employers and graduate schools, and researchers (only with special permit) may be authorized to receive student record information.

VII. Disposition (Disposal of Data)

- A. When? - Files are kept until graduation. Alumni files are eventually sent to Rosemont. Dropouts' records are kept in an inactive file for approximately 20 years.
- B. How? - Information not needed after graduation (or after 20 years) is thrown in the waste.
- C. Who? - The Student Personnel Officer, presently Georgia Park, and the record clerk are responsible for disposal of data.

Student Record Policy and Procedure Documentation
Interview with Dortha Esch, Occupational Therapy

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- C. Cards - Index cards are used to keep basic data on the student.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location

- A. Central Files - The following files are considered part of the central filing system within 378 Children's Rehabilitation, the Occupational Therapy main office, and comprise the division's complete record of past and present students:
 - 1. Individual student file.
 - 2. Rejected student file.
 - 3. Graduate file.
 - 4. Alphabetical listing of current students.
 - 5. Files on pre-occupational therapy students attending colleges other than the University of Minnesota who intent to transfer to the University of Minnesota for the professional program.
- B. Peripheral Files - The division does not have any policies concerning peripheral files.

III. Sources

- A. University - University sources augmenting student records are Admissions and Records (transcripts and evaluations and summaries of freshman admission data), previous colleges and universities (transcripts), the Student Counseling Bureau (test profiles), faculty advisers and administrators (interview remarks, evaluative comments, decisions), and Scholastic Standing Committees (decisions).
- B. Extra-University - External sources augmenting student records are previous employers (letters of recommendation), previous colleges and universities (transcripts), and reports of performance by student affiliations.
- C. Student - Students directly contribute to their records personal inventories, letters of introduction at the time of application, and interview notes.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.

- B. Institutional Functioning and Operations - Student records are kept for internal accounting and checks on enrollment, as federal funds are contingent on such accounting. Student records are also used to prepare summary reports for the Board of Regents and the State Board of Higher Education, for grant requests, for research (e.g., characteristics of students who choose Occupational Therapy), and for information to the American Occupational Therapy Association regarding certification and recertification.
- C. Student Services - Student records are kept so that the student may receive the most appropriate and beneficial faculty advising (academic and career consultation) and referral.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of Occupational Therapy is primarily responsible. This position is currently held by Dr. Marvin Lepley.
- B. Security Measures - When the offices are open, the files are supervised at all times. When the offices are closed, the doors are locked.
- C. Confidentiality - The student must give authorization for the release of any information, and information is released only to potential employers and other professional programs to which the student may apply.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - No such formal policy exists at this time.
- B. To Whom Information is Released - Students, faculty, administrators, and prospective employers may receive authorized information.

VII. Disposition (Disposal of Data)

- A. When? - Applications of students who are not admitted are kept for two years and are then destroyed. An active file is maintained for each enrolled student until graduation, at which time, it is purged of irrelevant information. Remaining records are kept in a graduate file indefinitely.
- B. How? - Information removed from graduates' files is thrown in the waste.
- C. Who? - The Director of Occupational Therapy, currently Marvin Lepley, is responsible for the disposal of data.

Student Record Policy and Procedure Documentation
Interview with Frank DiGangi, College of Pharmacy

Basis Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Each student has an individual folder in which paper and ink records are kept,
- C. Ledger - Ledger program sheets kept in notebooks by class contain the majority of all information necessary for the student's progress toward a degree.
- D. Cards - Basic statistical information is kept according to class.
- G. Other - Pictures are taken of incoming students and graduating students, and both pictures are kept in permanent files.

II. Location - The following files are located in 109 Appleby Hall and comprise the college's complete record of past and present students:

- A. Notebooks of progress by class.
- B. Individual folders with applications, letters of recommendation, correspondence, etc.
- C. Card file containing basic statistics.
- D. Dead file (contains pictures).
- E. File of rejected applications.
- F. File of letters of inquiry from students outside the college.

III. Sources

- A. University - University sources augmenting student records might include the undergraduate pre-Pharmacy adviser (records or files).
- B. Extra-University - External sources augmenting student records include previous colleges and universities (transcripts), correspondence, and letters of recommendation.
- C. Student - The student directly contributes to the record applications and questionnaires. The college is considering the idea of having students submit personal data sheets, but this has not yet been effected.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept to prepare reports in response to inquiries from the State Legislature and the American Association of Colleges of Pharmacy and are used for general accounting purposes.

- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial faculty advising (however, this is minimal, since the student's course work is clearly outlined, and there is, therefore, little reason for consultation), financial advising, and financial aid.

V. Administrative Responsibilities

- A. Individual Responsible - The Director of Student Affairs for the College of Pharmacy is responsible for the student records kept by that college. This position is currently held by Frank DiGangi.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the doors are locked.
- C. Confidentiality - The student must give authorization for the release of any information. Information may be released only to authorized third parties. When a prospective employer requests information, it is understood that the student gave the college as a reference, thereby authorizing communication between the college and the prospective employer.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The College of Pharmacy has no such policy.
- B. To Whom Information is Released - The student, prospective employers, faculty and administrators in the College of Pharmacy, and the American Association of Colleges of Pharmacy may receive student record information.

VII. Disposition (Disposal of Data)

- A. When? - Rejected applications are kept for one year and are then disposed of. The current record is pulled upon graduation of cancellation and is put into an inactive file. These files are purged of irrelevant information every five years.
- B. How? - All records or information no longer needed are thrown in the waste.
- C. Who? - The Director of Student Affairs for the College of Pharmacy, currently Frank DiGangi, is responsible for the disposition of data.

Student Record Policy and Procedure Documentation
Interview with Wilbur Moen, Physical Therapy

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- C. Cards - Index cards are used to keep basic biodemographic and degree information.
- D. Ledger - Ledgers are used to contain basic information and the cumulative GPA.
- F. Other - A picture of the student is also kept.

II. Location

- A. Central Files - The following files are centrally located in 377 Child Rehabilitation and comprise the division's complete record of past and present students:
 - 1. Individual folders.
 - 2. Miscellaneous information files on each graduating class.
 - 3. Card File.
 - 4. List of currently-registered students.
 - 5. Alumni file.
 - 6. Grade report kept in the department course-offering file.
- B. Peripheral Files - A student's record is maintained in the adviser's office while that student is currently registered.

III. Sources

- A. University - University sources that augment student records are Admissions and Records (grade reports, printouts of enrollment), faculty advisers and administrators (interview remarks and evaluative comments, decisions, and correspondence), the Student Counseling Bureau (test profiles), letters of recommendation, and the Health Service (physical examinations).
- B. Extra-University - External sources that augment the student records are physicians (physical examinations), previous colleges and universities (transcripts), letters of recommendation, correspondence, work experience evaluations, and evaluations of performance of internships (by supervisors).
- C. Student - Information the student directly contributes to the record includes resumés, personal data sheets, correspondence, and applications.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors, certification, and graduation.

- B. Institutional Functioning and Operations - Student records are kept for internal accounting checks on enrollment, so the division can most adequately accommodate individual class and program changes. In addition, student records are used to prepare summary reports for the Board of Regents, the State Board of Higher Education, the American Physical Therapy Association, the American Medical Association, and for grant requests.
- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial academic advising and counseling, financial assistance, and placement recommendations.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of Physical Therapy is primarily responsible. This position is currently held by Wilbur Moen.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked.
- C. Confidentiality - Information is released at the request of the student. Exceptions are made when prospective employers request information about students. At that time, scrutinized release of the information is acceptable. For example, a student's GPA may be released, as GPA rank is a determinant in the pay rate the student may eventually receive.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - There is no such policy at this time.
- B. To Whom Information is Released - When authorized, information may be released to the student, the faculty, administrators, researchers, authorized external agencies, and prospective employers.

VII. Disposition (Disposal of Data)

- A. When? - Rejected applications are kept for one year. The current records are kept in complete form until graduation. They are then purged of non-essential data. The remaining records are then placed in an alumni file and are kept forever.
- B. How? - After one year, rejected applications are thrown in the waste. Non-essential data from files of graduates are disposed of in the same manner. (Note: It has been recently discovered that waste paper from this office is not burned, but is disposed of by dumping. Consequently, the files would go the same way. From now on, records will be shredded before disposal.)
- C. Who? - The Director of Physical Therapy, currently Wilbur Moen, is responsible.

- VIII. Problems - The registered-student list received from Admissions and Records is almost always inaccurate and is useless in the form in which it is received. Advanced standing admissions, which go to Admissions and Records initially, may not get to the Physical Therapy Office until after all the other admission selections have been made, thus putting at a serious disadvantage the student who has had a delayed application.

Student Record Policy and Procedure Documentation
Interview with Dennis Countryman, Public Health

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree and for his relevant occupational experience.

I, Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on students. Registration records of students are filed together for all students rather than in individual student folders.
- D. Cards - Index cards are used to keep addresses for alumni centrally and may also be used for this or other purposes by the several programs of the school.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location

- A. Central Files - The central files contain the school's most complete record of general inquiries, past and present students for all programs excepting three (Hospital & Health Care Administration, Biometry graduate students, and Public Health Nursing). For these three programs, the most complete student record is maintained within the program office. Current students' files kept by the school are in Room 1325 Mayo. Most alumni files are located on another floor within a locked room.
- B. Peripheral Files - Less complete records which contain pertinent information are kept by the programs in their own program offices, except for the three programs mentioned above which maintain the complete file in their own program office.

III. Sources

- A. University - University sources augmenting student records are the Student Counseling Bureau (test profiles), Admissions and Records (transcripts, evaluations), undergraduate divisions, faculty, advisees, (interview remarks, evaluative comments, decisions), previous employers (evaluations), and letters of recommendation.
- B. Extra-University - External sources that augment student records are previous undergraduate and graduate schools, previous employers (evaluations), foreign verification of sanction for degree pursuits, pre-admission interviews, and letters of recommendation.
- C. Student - The student directly contributes to his record through correspondence, personal data sheets, curriculum vitae, and application forms.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions regarding admission, continuation, probation, certification, and graduation.

- B. Institutional Functioning and Operations - Student records are kept for internal accounting and checks on enrollment and for preparing summary reports for federal and institutional financial support, for the Board of Regents, and for the Higher Education Coordinating Commission.
- C. Student Services - Records are maintained so that the student may receive the most appropriate and beneficial faculty advising (academic and career consultation), tutoring, financial assistance, and program placement advising.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Dean of the School of Public Health, Lee Stauffer, is responsible for student records in an overall sense, with specific responsibilities delegated to others.
- B. Security measures - when the office is open, the files are supervised at all times. When the office is closed, the door is locked, as are the files.
- C. Confidentiality - Release of information to extra University sources would require student authorization. Such authorization would be made for purpose of release of information to specified third parties. Information is generally not released to prospective employers and in most cases student information is utilized only by faculty members of the school.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The Program directors of the thirteen divisions are responsible for the communication of this information.
- B. To Whom Information is Released - Information may be released to the student, the faculty, and administrators.

VII. Disposition (Disposal of Data)

- A. When? - Records are kept indefinitely and are not purged. The records are merely moved from current files to more remote files in the school.

Student Record Policy and Procedure Documentation
Interview with Lee Ponto, Institute of Technology

Basic Content: All records kept are directly or indirectly significant for the student's progress toward a degree.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Cards containing GPA information are kept.
- F. Microform - Microfiche transcripts from Admissions and Records are kept in the students' files.
- G. Other - A CRT unit is also used to keep information.

II. Location

- A. Central Files - The files kept in 106 Main Engineering comprise the institute's complete record of past and present students.
- B. Peripheral Files - Less complete records containing pertinent information are kept by the divisional office and/or the faculty adviser (at their discretion).

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts, evaluations), faculty advisers and administrators (interview remarks, evaluative comments, decisions, correspondence), the Scholastic Standing Committee (decisions), and letters of recommendation (for placement).
- B. Extra-University - External sources augmenting student records include previous colleges and universities (transcripts), previous high schools (counselors' and parents' notes), and employers (correspondence to and from).
- C. Student - Information contributed directly by the student includes application forms and resumes for placement.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to facilitate scholastic standing decisions concerning admission, continuation, probation, honors (Dean's lists and honor societies), certification, and graduation.
- B. Institutional Functioning and Operations - Student records are kept for internal accounting, for checks on enrollment, for retention surveys, for the selection of student members for standing committees, and for the preparation of reports to the Board of Regents and the State Board of Higher Education.
- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial faculty advising (academic and career consultation) and financial advising, and because recognition and awards are provided.

V. Administrative Responsibilities

- A. Individual Responsible - The Assistant Dean of the Institute of Technology is primarily responsible for student records. This position is currently held by Paul Cartwright.
- B. Security Measures - When the office is open, the files are supervised at all times, and non-staff access to the files is limited. When the office is closed, the door is locked.
- C. Confidentiality - The student must give authorization for the release of any information. Information is released only to authorized third parties. In addition, information to be released to a third party is reviewed and summarized so that only information beneficial to the student is actually released. (Exception: The release of student's names who qualify for membership in the Honor Society is permitted. Such neames are released at a faculty adviser's request.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - Students are aware of the institute's grading policies and the computations made on their records.
- B. To Whom Information is Released - When authorized, information may be released to the student, the faculty, administrators, staff, authorized external agencies, academic societies, and authorized researchers.

VII. Disposition (Disposal of Data)

- A. When? - Complete records are kept for five years following graduation. After five years, graduate records are purged of all but the vital statistics, which are kept forever. Files of non-current students, those who have been dismissed and those who have voluntarily left school, are kept for fifteen to twenty years.
- B. How? Any purging or disposal of data is done by ripping and throwing in the waste.
- C. Who? - The Assistant Dean of the Institute of Technology, currently Paul Cartwright, is responsible for the disposal of data.

VIII. Problems - The policy of holding student records is unfair to the good student who may otherwise receive extra-University honors or recognition.

Student Record Policy and Procedure Documentation
Interview with Wendell DeBoer, College of Veterinary Medicine

Basic Content: Records kept are directly or indirectly significant for the student's progress toward a degree. In addition, notices of recognition (e.g., newspaper clippings) are submitted to the student's file. The purpose of this is to accumulate as much information on each student as is possible. Faculty and administrators then make reference to these accomplishments when preparing recommendations for prospective employers, etc.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- C. Ledger - A tabulation sheet on incoming classes is kept.
- F. Microform - The microfiche transcripts from Admissions and Records are received and kept on file.
- G. Other - A class composite picture of all students is also kept.

II. Location

- A. Central Files - The central filing system is in 301 Veterinary Science and comprises the college's most complete record of past and present students. The files kept include a graduate file (alumni), a file on currently-enrolled students, and an inactive file. All files are filed alphabetically.

III. Sources

- A. University - University sources augmenting student records are Admissions and Records (test scores, evaluation forms, applications, correspondence, transcripts from previous colleges and universities), the Veterinary Medicine Admissions and Scholastic Standing Committees, and the faculty and administrators (correspondence and evaluations). Also included are registration forms, notices of "holds" on student records, and any other correspondence.
- B. Extra-University - External sources augmenting student records include donors of financial aid or scholarships (correspondence).
- C. Student - Students contribute directly to their records application forms, personal data sheets, and address and telephone information.

IV. Purpose and Use

- A. Academic and Administrative - Records are kept to facilitate scholastic standing decisions regarding admission, continuation, and graduation. They are also used to check students' progress through the Doctor of Veterinary Medicine program.
- B. Institutional Functioning - Records are kept for internal accounting, for preparation of summary reports to the Board of Regents, the central administration, the Curriculum Committee, and professional and federal agencies, for financial aid arrangements, and for preparing statistical characteristic sheets on incoming classes. Information derived from student records is provided such agencies as the National Institute of Health and the American Veterinary Medical Association.

- C. Student Services - Student records are kept so the student may receive the most appropriate and beneficial faculty advising, academic advising, and financial advising. Placement information is currently maintained in the Department of Veterinary Clinical Sciences. Future plans are to join the School of Dentistry's computer placement service when this becomes available. In the meantime, students' records are used to prepare letters of recommendation to prospective employers.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Coordinator of Student Services in the College of Veterinary Medicine is primarily responsible for student records. The position is currently held by Wendell DeBoer.
- B. Security Measures - The files are supervised during all times that the office is open. When the office is closed, the files and the doors are locked.
- C. Confidentiality - The College of Veterinary Medicine has a policy which concurs with the Regents' 1968 policy on confidentiality. The student must authorize the release of any and all information from his file. Data may only be released to authorized third parties, and such authorization is determined by either Wendell DeBoer or the Scholastic Standing Committee. The college is making every effort to increase their security and confidentiality.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - There is no such written policy. However, procedure is explained upon request.
- B. To Whom Information is Released - With the exception of references, any data may be released to anyone, as long as the release is authorized. Occasionally, researchers from within the office go through the files. Authorized external agencies may have access, as may firms that work with practicing veterinarians. Authorization must be given by Wendell DeBoer or the Scholastic Standing Committee.

VII. Disposition (Disposal of Data)

- A. When? - At the end of each year, inactive, current, and graduate files are placed in their respective filing systems. They are not purged or destroyed, but are kept indefinitely.
- C. Who? - The person responsible for the transfer of records to their proper places is the Principal Secretary, currently Jo Lilleodden.

- VIII. Problems - The college would be able to function more efficiently if it had a more complete and comprehensive statement on all students, past and present, in a form that would permit data to be obtained more efficiently than "going through the files". If this would fit some kind of computer system through Admissions and Records, it would be optimal.

- IX. Additional (Non-Standard) Files - The Honor Case Commission consists of two elected representatives from each class. Any situation dealt with and recorded is kept in an individual filing system, which is locked at all times and strictly confidential. In the Commissions's dealings with students, it does use due process, and all material on a student is destroyed at graduation. The cases customarily dealt with concern honesty in taking examinations.

C. Units Responsible to Office for Student Affairs

1. Financial Aid, Office of
(Student Loans and Collections)
2. Student Activities Center
3. Student Counseling Bureau
4. Special Counseling Office
5. University Health Service
6. University Housing Office

Student Record Policy and Procedure Documentation
Interview with Samuel Lewis, Financial Aid Office

Basic Content: All records kept are directly or indirectly significant to the student's financial history, status, and condition.

I. Format

- A. Computer - A history of applicants for and recipients of financial aid is kept on computer.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on the students.
- C. Ledger - Ledger forms are used to keep basic data.
- D. Cards - Cards are used to summarize financial aid received.
- F. Microform - Microfiche transcripts are received from Admissions and Records.

II. Location - The student record files are centrally located in 107 Armory Building and comprise the division's most complete record of past and present students.

III. Sources

- A. University - University sources augmenting student records include Admissions and Records (transcripts, I.D. numbers, fee statements, admission and registration information), the faculty (academic status information), the Bursar (paid fee information, loan collection status), the HELP Center, and the Minnesota Medical Foundation.
- B. Extra-University - External sources that augment student records include high schools (transcripts, records, recommendations), previous colleges and universities (previous financial aid information), parents (Parents' Confidential Statement), the court system (bankruptcy statements), the Internal Revenue Service (income tax information), and other agencies, such as the Minnesota Higher Education Coordinating Commission, the Bureau of Indian Affairs, and the Welfare Department.
- C. Student - Students directly contribute to their records interview notes, letters, application forms, scholarship applications, resumés, and student data sheets.

IV. Purpose and Use

- A. Academic and Administrative - Student records are kept to decide type and amount of aid for which the student is eligible (federal, state, and University regulations pertaining to eligibility) and to aid students in applying for financial aid.
- B. Institutional Functioning and Operations - Records are kept for audit by state and federal agencies and by the University and for reports to those agencies.
- C. Student Services - Records are kept to maintain checks on amount and type of financial aid awarded each student and, therefore, to keep track of financial aid still available. The Financial Aid Office provides financial aid counseling, budget management counseling, and any necessary referrals.

V. Administrative Responsibilities

- A. Individual Responsible - The Director of Student Financial Aid is responsible for student records maintained by that office. This position is currently held by Samuel Lewis.
- B. Security Measures - When the office is open, the files are supervised at all times. When the office is closed, the door is locked.
- C. Confidentiality - Parents' Confidential Statements are not released without written authorization by the parent (not even to the student). Students must give authorization for the release of any information from their financial aid files. Recipients of this information must demonstrate a legitimate "need to know" before information may be released to them. Only summary information is released to external agencies.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The chief confidential element of financial aid records is the Parents' Confidential Statement. This statement has in it a written policy on the confidentiality of the information contained therein.
- B. To Whom Information is Released - When authorized, information may be released to auditors, scholarship agencies, researchers, and other authorized external agencies.

- VII. Disposition (Disposal of Data) - All records are maintained in their entirety and are never purged or destroyed. Records currently on file only date back to 1960, because those prior to that time were destroyed in a fire.

Student Record Policy and Procedure Documentation
Interview with Edwin Siggelkow, Student Activities Center

NOTE: The Student Activities Center includes Coffman Memorial Union, the West Bank Union, the St. Paul Union, the Student Organization Finance Division, and the Student Orientation Office.

Basic Content: The Student Activities Center maintains only records of student organizations. Any records of individual students they may have are by virtue of the individual's position, status, and/or membership within an organization (as designated by the organization) or by virtue of any correspondence the student may have had with SAC or with one of its divisions. SAC keeps no academic, bio-demographic, or service information unless the organization sends it.

I. Format

- A. Computer - The registration of student organizations is kept on computer.
- B. Paper and Ink - The majority of all information maintained is on paper in files. Student Orientation, in particular, has lists of freshman and transfer students (their names and residences) on paper and ink forms.
- F. Microfiche - Microfiche records and correct enrollment figures from Admissions and Records are received quarterly but are not kept beyond a year or so.

II. Location

- A. Central Files - Central files are kept in the main administrative offices at each of the individual divisions.
- B. Peripheral Files - Peripheral files are kept at the discretion of individual staff members, but except for the Regents' policy on confidentiality, no policy exists that regulates such files.

III. Sources

- A. University - Admissions and Records and faculty and student organizations are sources of information maintained by SAC.
- B. Extra-University - Local and national fraternities and sororities, their alumni, and police may also contribute to the records.
- C. Student - The student may contribute to the records that are kept by way of interview and personal data only if the organization provides it. Application forms and data sheets are temporarily kept by the unions and Student Orientation.

IV. Purpose and Use

- B. Institutional Functioning and Operations - An inventory of historical information is necessary for SAC and, in turn, the University.

- C. Student Services - In general, the purpose for keeping organization records is to advise the organization itself, to advise the organization about student members, and to advise students as members of organizations. Advising is obligatory in problem situations and is optional to organizations desiring it. The service of advising is an integral part of the functioning of SAC. However, with the exception of the Student Organization Finance Division, the major purpose of keeping student records is to facilitate the SAC staff in an advisory capacity.

V. Administrative Responsibilities

- A. Individual(s) Responsible (Name and Title) - The Coordinator of Student Activities, currently Edwin Siggelkow, is the individual responsible for records kept by the Student Activities Center. Files kept in Coffman Union, the West Bank Union, the St. Paul Student Center, the Student Organization Finance Division, and the Orientation Office are under the supervision of each unit's director/head.
- B. Security Measures - Files with locks are used, and relevant information is sent to the University Archives after about three years.
- C. Confidentiality - Confidentiality is maintained by not allowing organizational files to be opened to anyone beyond SAC staff. They selectively respond to requests for information which is germane and does not compromise any confidentiality.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - SAC communicates to the student organizations the value of registering with SAC. For instance, SAC is a source of continuity and reference, particularly in times of conflict. SAC communicates this information at the time of registration, usually yearly, and in the MAIL SAC publication they send out.
- C. To Whom Information is Released - Anyone seeking public information may receive it. The Student Activities Center does not collect and keep highly-sensitive information concerning students.

VII. Disposition (Disposal of Data)

- A. When? - Complete organizational information is kept three to five years. Information is kept longer if it is relevant and germane, according to the discretion of the staff.
- B. How? - Historical information is sent to the Archives. Irrelevant information is put in the waste.
- C. Who? - Any information that is disposed of is handled by secretaries, under the supervision of professional staff.

- VIII. Problems - Because no personal individual files are kept, services such as recognitions and referrals are, unfortunately, impossible, beyond the ability of existing staff to know and recall relevant information.

Student Record Policy and Procedure Documentation
Interview with Theda Hagenah, Pete Meyer, and Dallis Perry,
Student Counseling Bureau

Basic Content: The records kept in the Student Counseling Bureau (SCB) can be broken down into four basic types: 1) individually identifying information; 2) test scores; 3) counseling notes; 4) University academic progress and status. Since the diversity of information maintained in this division is so great, the basic information is divided into two large categories: 1) counseling population information; 2) testing population information.

I. Format

(For the counseling population:)

- A. Computer - Certain test scores and descriptive client characteristics are kept on computer.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Basic demographic and activity information is kept on index cards.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

(For the testing population:)

- A. Computer - A certain amount of information is kept on computer tapes.
- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Test answer forms are card formatted.
- F. Microform - Microfiche transcripts from Admissions and Records are kept on file.

II. Location

(For the counseling population:)

All files are centrally located in the Student Counseling Bureau. They are kept in individual folders and on separate "Form 1" file cards. Intake records are located at 3008 University Avenue. While these are not kept in the same building as the others, they are still considered part of the central filing system.

(For the testing population:)

Individual card forms for each student are kept in the Student Counseling Bureau. Magnetic tapes are stored at 3008 University Avenue. Answer sheets are kept in 242 Burton Hall. All these are considered part of the central filing system.

IV. Purpose and Use

(For the counseling population:)

- A. Academic and Administrative - Student records are kept to facilitate decisions in other University divisions, should such information be requested of SCB.
- B. Institutional Functioning and Operations - Student records are kept for SCB's own internal accounting and for the preparation of summary reports to authorized internal and external agencies.
- C. Student Services - Records are kept to facilitate effective counseling of students in all areas of concern.

(For the testing population:)

- A. Academic and Administrative - Student records are kept to facilitate decisions in other University divisions, should such information be requested of SCB.
- C. Student Services - Student record information facilitates admission and placement and supports other student service offices.

V. Administrative Responsibilities

(For both the counseling and the testing populations:)

- A. Individual Responsible (Name and Title) - The Director of the Student Counseling Bureau is directly responsible for all student records maintained by that division. This position is currently held by Theda Hagenah.
- B. Security Measures - The offices are always supervised when they are open, and they are locked when closed. Some files are individually locked, but this is not contingent to the type of files contained therein.
- C. Confidentiality - Files are completely confidential. Individuals must authorize the release of any and all information. Policy is according to the Regents' 1968 policy on confidentiality. If a student is taking a test for a particular reason, however, it is assumed that the student wishes that information released for that purpose.

VI. Communication of Student Records

(For both the counseling and the testing populations:)

- A. Communication of Intended Use, Availability, and Confidentiality - This information is available upon request and is posted in the entryway in Eddy Hall.
- B. To Whom Information is Released - Information is only released with informed consent. Some psychometric information is released only to those who are professionally qualified. Only summary information is released to authorized third parties, not entire files.

VII. Disposition (Disposal of Data)

(For the counseling population:)

- A. When? - One current file is purged five years following the student's last visit to SCB. Only basic statistics are kept after the five year purging.

B. How? - All purged information is burned in the University incinerator.

(For the testing population:)

A. When? - Certain test information is kept for one year, and other test information is kept indefinitely.

B. How? - Purged data are burned in the University incinerator.

(For both the counseling and the testing populations:)

C. Who? - The administrator responsible for the disposal of student record data is the Director of the Student Counseling Bureau, currently Theda Hagenah. The actual duty is normally delegated to the office staff.

Student Record Policy and Procedure Documentation
Interview with L.F. Snoxell, Special Counseling Office

Basic Content: The Special Counseling Office maintains files on students against who complaints of code violations have been received. These files contain the following kinds of information: complaints filed by the principal witness; offense reports; statement and summary of facts obtained from complaintants, witnesses, advisers, parents, and professionals; copies of admission applications and scholastic records; pleas; test scores; case history information; correspondence with the students, other individuals, and agency or institutional representatives; Judiciary Board reports; transcripts of hearings by campus adjudicative boards; case notes of interviews.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every student.
- D. Cards - Index cards contain a numerical coding system identifying certain information contained in individual folders.

II. Location - The following files are centrally located in 302 Eddy Hall and comprise the office's complete record of past and present students and are considered a central repository:

1. Individual files.
2. Coded index card file.
3. Records of hearings before the Committee on Student Behavior.
4. Monthly, annual, and special statistical reports.
5. Reports by the residence halls of offences and dispositions.

III. Sources

- A. University - University sources augmenting student records include residence halls, the Student Counseling Bureau (test files), psychological counselors (mental health evaluations), University community members (complaints), University advisers (evaluative comments), and University police (offence reports and evidence).
- B. Extra-University - External sources augmenting student records include the community at large (complaints), the police department (previous reports), the court system (previous records, minutes of hearings, previous sentences, investigations), probationary officials (previous reports), psychiatrists (reports), and previous high schools, colleges, and universities (interview remarks, evaluative comments, high school tests).
- C. Student - Students directly contribute to the record interview notes, statements, and pictures.

IV. Purpose and Use

- B. Institutional Functioning and Operations - This office keeps records in accordance with a Regents' mandate to maintain records for keeping account of the kinds and frequencies of offences. Other purposes are to meet internal obligations to the University, for research study, for the preparation of summary reports to the Vice President for Student

Behavior (which, in turn, reports to the Twin Cities Campus Assembly annually), for the preparation of special reports (summary data), and to provide statistical information which may be used for preventative efforts.

- C. Student Services - The primary purpose of keeping student records and the primary purpose for the adjudicative process in the Special Counseling Office is to provide the University community with an adjudicative service to maintain University standards of conducts and to resolve conflicts among students organizations. The Special Counseling Office serves the campus community's needs collectively, and only secondarily does it provide service to the individual student.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of the Special Counseling Office is primarily responsible for the student records maintained in that office. This position is current held by L.F. Snoxell.
- B. Security Measures - Locked files are supervised at all times that the office is open. When the office is closed, the files remain locked, and the doors are also locked.
- C. Confidentiality - University Senate action (Minutes, University Senate, May 29, 1943) permit the recording of disciplinary action by a special notation on the student's permanent record. A policy statement approved by the President ("Jurisdiction over Student Misconduct", February 18, 1963) provides for the exchange of information between the Special Counseling Office and colleges required or traditionally expected to make recommendations on students to licensing agencies. A written agreement ("Memo to Conferees of Special Meeting Called on May 20, 1957") with the University Police allows the Special Counseling Office to release to that agency the following types of information:
 - 1. The existence of a disciplinary file.
 - 2. The nature of the complaint.
 - 3. The date of the complaint.
 - 4. The counselor's statement of the student's problem.
 - 5. The counselor's opinion on the progress of counseling.
 - 6. The latest address of the student.

The "Disciplinary Proceedings" (Minutes, Board of Regents, September 11, 1970) permits exchange of disciplinary information among the University presenter, the Conduct Code Coordinator, and the Special Counseling Office. The same policy, by its grant of authority for a student disciplined, the President, and his designee, implies consultation between the Special Counseling Office and the central administrative Office. The general policy on the release of information ("Student Records", Minutes, Board of Regents, January 12, 1968) specifies that there should be no communication of student records outside the University (except under proper authorization and due consideration of the student's welfare and the integrity and public obligation of the University). Student records are not released outside the University except when the student so authorizes, in which case, information may only be released to authorized third parties, authorization being designated by the Director of Special Counseling. These files are strictly confidential.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - The student is completely aware of the policies regulating the records. The student is given a two-page explanation of due process, which includes the policies on confidentiality, availability, and intended use.
- B. To Whom Information is Released - Information may be released to colleges (when they are required or traditionally expected to make recommendations on students to licensing agencies), to the University Police, to the University presenter, to the Conduct Code Coordinator, to central administrative offices, and to agencies outside the University "under proper authorization and due consideration of the student's welfare and the integrity and public obligation of the University".

VII. Disposition (Disposal of Data)

- A. When? - Ordinarily, no information from an individual's file is available four years after his last conduct contact with the Special Counseling Office. In addition, the Special Counseling Office will not maintain an individual file for more than ten years after the student's last conduct contact with the Special Counseling Office, except under unusual circumstances. However, upon request within the time limits specified above, the Special Counseling Office will release to persons recognized as having a legitimate "right to know" information regarding whether or not a student has a disciplinary record.
- B. How? - When records are eventually destroyed, they are specially boxed, and University maintenance people take them to the incinerator where, monitored by the director, they are burned.
- C. Who? - The Director of Special Counseling, currently L. F. Snoxell, is responsible for this disposal of data.

Student Record Policy and Procedure Documentation
Interview with Margaret Nelson, University Health Service

NOTE: Mental Health, Dental Health, and Eye Care Departments are considered autonomous divisions within the University Health Service, but the policies and procedures regulating student records are similar to those of the Health Service at large.

Basic Content: All records kept relate directly or indirectly to the student's health status.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information on every active student.
- F. Microform - Records of former students are kept on microfilm.

II. Location

- A. Central Files - The central filing system is located in the patient reception area on the third floor of the Health Service and comprises the Health Service's complete record of currently-enrolled students.
- B. Peripheral Files - Mental health, dental health, and eye care records are kept in the patient reception areas within their respective divisions in the University medical complex.

III. Sources

- A. University - University sources augmenting Health Service records include physicians (reports), laboratories (reports), and clinics (findings).
- B. Extra-University - External sources that augment Health Service records include other health care facilities and physicians (health records for students transferring into the University of Minnesota).
- C. Student - Students directly contribute to their Health Service records health history forms.

IV. Purpose and Use

- A. Academic and Administrative - Records of physical examinations are kept to verify health requirements for particular colleges (e.g., Medical School, the School of Nursing, the College of Education, the Occupational Therapy and Physical Therapy Programs). Records of physical education ratings (extra-curricular activities, sports) are kept for coach-physician communication.
- B. Institutional Functioning and Operations - Records are kept to facilitate preparation of summary reports for the State Board of Health, for the Board of Regents, and in answer to other authorized requests. In addition, records are kept to facilitate preparation of summary information used for internal planning (growth, expansion, innovation) and for regulating operations such as accounting. Activity information is recorded when medically significant.
- C. Student Services - The University Health Service is primarily a service division of the University, and records are kept so the students may receive the most appropriate and beneficial health care and medical services. There is also counseling available from a Public Health Nurse, a Campus Assistance Center representative, the Mental Health Clinic, and health education services (brochures, pamphlets) are provided as part of the Health Education Through Health Information Program. The Health

Service employs a staff of psychiatrists, psychologists, and social workers who provide such forms of counseling as crisis, marital, group therapy, and individual interviews.

V. Administrative Responsibilities

- A. Individual Responsible - The Medical Records Administrator is responsible for all records maintained by the University Health Service. This position is currently held by Margaret Nelson.
- B. Security Measures - Records are kept in a fire-proof filing system which is constantly supervised by Health Service personnel whenever the Health Service is open. When the Health Service is closed, the files are locked. Only authorized personnel have access to the opening and closing of the files.
- C. Confidentiality - Information may be released to authorized third parties when written authorization is provided by the student. When information is released, it is first interpreted by a physician, and only information considered beneficial to or to the advantage of the student is released to the third party. Patients have the right to review their records only as they are interpreted by a physician. The State Board of Health and authorized government agencies are exempt from policies of disclosure in the case of communicable diseases which must be reported. The only other exceptions to standard policy are emergency situations that demand immediate information for the health or benefit of the student. In such cases, a guardian or spouse may authorize release of the information.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - This policy exists in written form in the Health Service brochure and is communicated verbally during new student orientation sessions. In addition, this information is repeated in cases where a student is apprehensive and needs reassurance. Students are always aware of the means by which information is being disclosed and must authorize this disclosure.
- B. To Whom Information is Released - Clinical information relevant to a patient's condition is communicated to the student directly by a physician, not through a staff member. Once authorized for release and reviewed by a physician, records may be sent to such third parties as insurance agencies, scholastic divisions, and any of the State Board agencies. Records may be subpoenaed or may be used in an exchange program with University Hospitals. The primary purpose of the program is to promote continuity of medical care for patients who have been referred to University Hospitals for treatment. Otherwise, they never leave the Health Service.

VII. Disposition (Disposal of Data)

- A. When? - Medical records are kept in the active file until the student is no longer eligible for care (i.e., upon graduation, cancellation, or dismissal). After graduation or cancellation, records are moved from the active file area to a remote file area and are kept for seven years. After seven years, medical records are microfilmed to maintain them in permanent form for research and medical purposes.
- B. How? - Purged records are burned by a ground maintenance person under the supervision of Health Service personnel.
- C. Who? - The Medical Records Administrator, currently Margaret Nelson, is responsible for the disposition of data.

VIII. Problems - The Health Service filing system for student medical records is alphabetical. In addition, each student is given a unique number. This system is obsolete and should be coordinated with central administration.

Student Record Policy and Procedure Documentation
Interview with Betty Roe, University Housing Office

Basic Content: Two basic types of data are kept: 1) disciplinary offenses and 2) student employment.

I. Format

- B. Paper and Ink - Paper and ink forms in individual folders contain the majority of all information regarding disciplinary offenses and employment.

II. Location

- A. Central Files - Records of student offenses are kept in the central office at 312 Fifteenth Avenue S.E. Student employment records are also kept in this office.
- B. Peripheral Files - Student records regarding disciplinary offenses are kept in the Disciplinary Counseling Office (L. F. Snoxell), and copies are also kept in the residence halls (appropriate to the particular offense).

III. Sources

- A. University - University sources augmenting student records include Admissions and Records, supervisors (quarterly evaluations), and letters of recommendation.
- B. Extra-University - External sources that augment student records include letters of recommendation or reference.
- C. Student - The student directly contributes to the record application forms, resumés, and interview information.

IV. Purpose and Use

- A. Academic and Administrative - Disciplinary records are kept to aid in decisions regarding probation, discontinuation, or expulsion of the student from University housing in order to safeguard the welfare of other students. Records of student employment are kept to regulate work experience at the University.
- B. Institutional Functioning and Operations - Records are kept for use in preparing summary reports (specifically for Dr. Snoxell's office).
- C. Student Services - Records are kept so the student may receive the most appropriate and beneficial advice, treatment, and counseling (rather than to subject him to state prosecution) and to keep record of offenses for due process and safeguard group living. Employment records are kept to enable the office to provide students with the greatest opportunities and possibilities for regulated work experience at the University and to aid in writing references.

V. Administrative Responsibilities

- A. Individual Responsible (Name and Title) - The Director of Housing is primarily responsible for student records maintained in that office. This position is currently held by David Anderson.
- B. Security Measures - Files containing student employment records are supervised when the office is open and are locked when the office is closed. Disciplinary files are maintained in the same fashion.

Additional security measures include keeping these sensitive files in individual locking file cabinets in the office of the Director.

- C. Confidentiality - For employment records, written authorization from the person who authored a letter of recommendation must be received before that recommendation may go out to a third party. Otherwise, authorization by the student is necessary before information may be released. For the disciplinary records, the student is permitted to see the complete form and due process information. This information is not released to anyone outside of authorized individuals within the Disciplinary Counseling Office, except under subpoena or other exceptional circumstances, such as the need for immediate treatment in a hospital situation.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality - For student employment records, information relating to such policies is listed on the application form. For disciplinary records, confidentiality policies are verbally communicated when the student is initially counseled.
- B. To Whom Information is Released - Student employment records may be released to anyone with proper authorization. (Authorization is established by the Director of Housing.) Disciplinary records may not be released to anyone except individuals in the Disciplinary Counseling Office, under subpoena, and when necessary for treatment under hospital conditions.

VII. Disposition (Disposal of Data)

- A. When? - Student employment application forms are kept for seven years following termination of employment, at which time they are destroyed. Disciplinary counseling records are kept for three years following the incident and are then disposed of.
- B. How? - Purged records are torn and thrown in the waste or burned.
- C. Who? - The Coordinator of Student-Staff Development, currently Betty Roe, delegates the responsibility for disposal of data to a staff secretary, currently Linda Turnquist.

- VIII. Problems - The August provision for allowing students to see any and all written information pertaining to themselves may have detrimental ramifications because of the sensitivity of the information and the potential inability to interpret it.

Student Data and Procedure Documentation
Interview with Kenneth L. Erickson, Bursar's Office

Basic Content: All records kept are directly significant for the collection and accounting of student loans.

I. Format

- A. Computer - The majority of the information is kept in the computer.
- B. Paper and Ink - Correspondence files are kept on those students to whom it pertains.
- C. Ledger - Short Term Loan records are kept on ledger.
- F. Microform - Microfiche records are kept.

II. Location - The West Bank Bursar in Blegan Hall of the Main Campus Bursar in Morrill Hall maintain the microfiche copies and other loan relevant information.

III. Sources

- A. University - University sources augmenting student records include the Financial Aid Office (information on currently enrolled students).
- B. Extra University - External sources that augment student records are the references the student lists.
- C. Student - Students directly contribute to their records upon application for loan and graduation or termination from the University.

IV. Purpose and Use

- A. Academic and Administrative - The Administrative purpose is the collection of loans. This may influence the student academically as the bursar can put holds on records and transcripts.
- B. Institutional Functioning and Operations - Student records are kept to facilitate University loans, accounting and collection.
- C. Student Services - The Bursar's Office may aid the student by setting up the most feasible re-payment program without harming the students credit rating.

V. Administrative Responsibilities

- A. Individual Responsible - The Director of the Bursar's Office is responsible, this position is currently held by Mr. Kenneth L. Erickson.
- B. Security Measures - When the office is open, the files are supervised, when the office is closed the files are locked.
- C. Confidentiality - The Bursar's Office adheres to the 1968 Regents' policy and in many cases, imposes more strict regulations.

VI. Communication of Student Records

- A. Communication of Intended Use, Availability, and Confidentiality- None.
- B. To Whom Information is Released - When authorized, information may be released to: Financial Aid Office, Internal Revenue Department, Courts on Bankruptcy Petitions, Committee on Student Behavior (Dr. Snoxell).

VII. Disposition

- A. When? - Records are kept three years after loans are paid in full.
- B. How? - Records are then destroyed by burning under the supervision of the auditor.
- C. Who? - The administrator responsible is the Assistant Bursar. This is currently Donald G. Gullickson.

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