FERPA
Family Educational Rights and Privacy Act of 1974
(also known as the Buckley Amendment)

Office of Records and Registration
Learning Outcomes

1. Understand the basics rights under FERPA

2. Learn about key FERPA terms and their importance in applying FERPA.

3. Understand the difference between directory and non-directory information.

4. Apply knowledge correctly to various scenarios.
What is FERPA?

A Federal Law designed to protect the privacy of education records.

Three basic FERPA rights:

1. Students have a right to inspect & review their educational record.
   a) Inspect and review within 45 days of the request to inspect.
   b) Students do NOT have the right under FERPA to inspect:
      - financial records of parents;
      - letters of recommendation when the student has waived, in writing, their right of access;
      - information about other students
2. **Students have a right to seek to amend** - address perceived inaccurate and misleading data.
   
   - Right to a hearing if school refuses to amend record.
   - Right to insert a statement.
   - This is NOT a right to dispute unsatisfactory grade by a teacher.
3. **Students have a right to have some measure of control over disclosure of information from their educational record.**

   a) Student’s written permission is required before releasing information from their record.

   b) Consent must:
   - Specify the records that may be disclosed (e.g. grades, health, advising, disciplinary)
   - State the purpose of the disclosure
   - Identify the party or class of parties to whom a disclosure may be made
Access to student records in Banner (INB and Wingspan) and DegreeWorks requires signing a security policy which outlines appropriate use and consequences for inappropriate use.
KEY FERPA TERMS

- eligible student
- education record
- directory information
- personally identifiable data
- school official
An “eligible student” is a student who is or has been enrolled at WU.

The Registrar defines “enrolled” as “registered for classes” (and therefore has FERPA rights).

Applicants for admission have limited FERPA rights.

- Records for freshman applicants can be discussed with parents.
- However, transcripts from other institutions are covered.
FERPA is in effect - regardless of age.

- Once a student enrolls, FERPA rights revert from parent to student.
- High school students taking college classes have FERPA rights.
- However, the high school & postsecondary institution may exchange information on student without student’s written consent.
- Parental access would be gained through the high school.
Educational records are:

1. Any record or materials which contain information where a student can be personally identified AND
2. Are maintained by any office, employee, or agent of the university.

- Electronic - an email, video conference, internet, other electronic data.
- Printed.
- Handwritten notes.
- Film, CD's, etc.
- Graded tests, papers, assignments, instructors' grade books.
A. Sole Possession Notes: (aka Sole Source Notes)
- Only kept in the possession of the person who created them.
- Notes an instructor or staff member keeps -
  Ø no one else was involved when creating the notes.

- Once shared with someone, or placed in an area where they may be accessed by others, they become educational records – and subject to FERPA and to subpoena.
MORE EXCEPTIONS TO “EDUCATIONAL RECORD”:

B. Law Enforcement Records.
- Kept only for law enforcement purposes.
- Once shared with WU administrators/staff/faculty (e.g. submitted for a committee to review) they become part of student’s educational record.

C. Medical Treatment Records.
Records created by a WU health facility but used only by professionals and disclosed only to individuals providing treatment.
- Can become educational record if provided by student, e.g. to a committee or to an instructor.
- Disclosure of “treatment records” are subject to FERPA not HIPAA. Any record subject to FERPA is not subject to HIPAA.
- Disability records are educational records, not treatment records.
More exceptions, cont.

D. Alumni Records:
- Only that information which is acquired after student has left the university. (For example, where the alum is now employed.)
- All non-directory information gathered during time the alum was a student remains protected by FERPA as part of the educational record.

E. Employee Records:
- Unless the employment is contingent upon school attendance, (e.g. GA records, work study records) then human resource records are not subject to FERPA.
Directory Information
Generally considered not to be harmful or an invasion of privacy if disclosed

Winthrop defines directory information as:

1. Student’s name
2. Address *(but never residence hall address)*
3. Telephone number
4. Email address
5. Place of birth
6. Major and minor fields of study
7. Participation in officially recognized activities and sports
8. Height/weight of athletic team members
9. Date of admission
10. Dates of attendance (enrollment verification)
11. Classification (Freshman, etc.)
12. Degrees and awards received
13. Eligibility for honor societies
14. Most recent educational institution attended
15. Photographic, video or electronic images of students
FERPA rules regarding directory information:

- Students must be notified of the items of directory information. (This info is in the catalog and on our website, and students are notified by email each semester.)

- If a data element isn’t explicitly defined as directory information, it is not directory information.
  - It cannot be released without the student’s written permission unless the release can be justified under one of the exceptions in FERPA (e.g. school officials, regarding financial aid application, subpoena).
• Students must be given the opportunity to request that directory information **NOT** be released.

- At WU this is the Banner **CONFIDENTIALITY** flag.

- Banner CONFIDENTIALITY flag applies to non-disclosure of directory information only (degree verification, dean’s/president’s list, etc.)

- CONFIDENTIALITY is requested, in writing, at the Office of Records and Registration and once in effect remains so until revoked by the student, in writing.

- All or nothing – can’t pick and choose directory items.
If you see the Confidentiality note in Banner or Wingspan:

- Suggested response:
  - “I have no information related to that individual.”
- Do not even confirm they are a student.
- Could be a situation involving personal safety.
Confidential notation in Banner

This will appear on every screen in Banner:
Confidential Notation in Wingspan:

- The word “Confidential” will appear by the student’s name.
By law, these are never directory information:

- Student ID number
- Social Security Number
- Race/ethnicity
- Gender
- Grades
- GPA
- Country of citizenship/nationality
- Religion
- Academic Standing

The above are always subject to FERPA protection!
“PERSONALLY IDENTIFIABLE DATA”

1. A data element unique to that individual such as Social Security Number, WU student ID number, or fingerprints.
2. Direct identifiers: name of the student, the student’s parent, or other family members.
3. Indirect identifiers: date of birth, place of birth, or mother’s maiden name.
4. The student’s campus (residence hall) or home address.
5. A list of personal characteristics or other information which alone or in combination would make the student’s identity easily traceable.

While some of these may be directory information, you cannot release any items that if disclosed alone, or together with another data element, would allow “a reasonable person to reasonably identify” an individual... per Jan.2009 US DOE FERPA clarifications.
Review: basic student FERPA rights

1. Right to inspect and review everything in their record. (Students have 24-hour access to grades through Wingspan/DegreeWorks.)
2. Right to request changes to their educational records and to appeal a decision of the university to not make requested changes.
3. Right of some control over the disclosure of information from their education record.
   - Without a student's written permission, it is a violation of FERPA to release non-directory information to third parties (unless it’s one of the “exceptions”).
   - Parents are a “third party”.
1. Right of access and control of information transfers from the parent to the student when a student enrolls at a postsecondary institution (regardless of age).

2. Parents may obtain non-directory information, (grades, etc.), by obtaining a signed written consent from the student.

3. Parents may obtain non-directory information (grades, etc.) after it has been determined that their child is legally their dependent, (IRS Tax form), at the discretion of the institution - not required to do so ("may" vs "must").
   - WU allows parent access to their student’s information under this caveat.
FERPA exceptions to written consent rule:

Written consent to release non-directory information is **NOT** required from the student when it involves:

1. A “school official” with a **legitimate educational interest** or education related "need to know“.
2. Other institutions where student has **applied for admission**, e.g. requesting information such as a transcript.
3. U.S. Department of Education, or state/local education authorities (e.g. SC Commission of Higher Ed).
4. Student’s request for **financial aid**, e.g. sending data to National Student Clearinghouse.
5. Protecting **the health or safety of the student or others**.
   - In an emergency, when there is an “articulable and significant threat” to the health or safety of a student or other individuals.
6. State/local officials in conjunction with legislative requirements.

7. To comply with a judicial order or lawfully issued subpoena.

8. To the victim of an alleged perpetrator of a crime of violence, or nonforcible sex offense. *(Clery Act)*
   - Only the final results of the disciplinary proceeding conducted by the institution with respect to alleged crime/offense.

9. To parents of a student < 21 yrs., in connection with use or possession of alcohol or controlled substance in violation of law or policy.
Who is a “school official?”

A **school official** can be:

- A University administrator, faculty, or support staff, (including law enforcement and health staff personnel).
- A member of the Board of Trustees.
- A company or individual contracted by college to perform a special task such as the attorney, auditor, or collection agency.
- A student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.
Definition: A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility.

FERPA dictates that a school official must have a "legitimate educational interest" or valid need to know the information before accessing an educational record.

Being curious about famous alumni, friends, or relatives is not a valid need to know!
FERPA expectations of WU:

1. Expectation of security—that information in education records will be kept confidential.

2. Expectation that institutions use “reasonable methods” to limit access of “school officials” to only those records where there is a legitimate educational interest.

3. Expectation of tracking access to records – school is responsible for ensuring that it is taking appropriate measures to restrict and record access and disclosures.

4. Expectation of usage of “reasonable methods” to authenticate identity of parents, students, school officials, etc. to whom educational records are disclosed. Security questions or other information known or possessed by the student would be considered reasonable.
1. Access to Banner, or any other repository of student records where you work, does NOT authorize unrestricted use of that student data.

2. Records should be used only in context of official business.

3. Curiosity does NOT qualify as legal right to know.

4. When in doubt, do not release information, directory or otherwise. Feel free to contact the Office of Records and Registration.

5. Oops!- an inappropriate release of information - could harm a student if they have a need for confidentiality or result in a violation of federal law and such complaints trigger federal FERPA audits.
Notes for Faculty & Staff:

**GRADES:**
- Protect a student’s grades from being accessible by others. Never post or leave in pick-up boxes with public access, or pass around the room.

**RECOMMENDATIONS:**
- Any recommendation that references grades or academic standing in a class must have the student’s written release. There is a form on the Rec and Reg website which can be used for this purpose.

**EMAIL:**
- Do not discuss a student’s academic record via email unless it is a Winthrop-issued email

**STUDENT SPOUSES:**
- Never release academic record information to a spouse without written permission of the student or power of attorney. Spouses have no rights to information.

When in doubt, refer the parent/guardian or spouse to the Registrar or Assistant VP for Academic Affairs.
Forms Online:

Please Note: These forms may NOT be submitted online because a signature is required. However, you may print, complete, and turn them in to the appropriate office. When completed, these forms may be faxed to Records and Registration at 803-323-4600 or scanned and emailed to Records and Registration unless designated otherwise on the form.

The following forms are being made available to you as .PDF files unless otherwise noted. To access a form as a .PDF file, you must have the Adobe Acrobat Reader software which is available free of charge. (Install Acrobat Reader software.) Once you have installed the Acrobat Reader software, simply click on a form title below to open it in .PDF format:

* indicates typable PDF. Handwritten signature still required.

- Address Changes and Corrections Request *
- Application for Undergraduate Graduation * (Bachelor's degrees)
- Application for Graduate Graduation * (Master's degrees)
- Application for Completion of Graduate Certificate *
- Application for Undergraduate Readmission *
- Approval to Transfer Credit (Transient Form)--Undergraduate'
- Approval to Transfer Credit--Graduate
- Change of Curriculum- Undergraduate (Major/Minor/Concentration/Catalog) *--Read Directions first!
- Change of Concentration or Catalog- Graduate
- Citizenship Status Verification
- Consent For Release (Used to allow faculty/staff to give recommendations for scholarships, job applications, and admission to graduate schools)
- Course Audit (To register for a course as an audit. Tuition still applies)
Balancing Student Privacy and School Safety.....the Patriot Act of 2001

- Permits educational institutions to disclose without the consent or knowledge of the student personally identifiable information from the student’s education records to the Attorney General of the United States in response to an *ex parte* order in connection with the investigation or prosecution of terrorism crimes.

- *Ex parte* order is an order issued by a court of competent jurisdiction without notice to a possible hostile party.

This amendment came out of the 2007 Virginia Tech shootings:

A school official (includes faculty) can in general share with a parent personal knowledge or an observation about a behavior of a student without a student’s written consent.

Examples:
- **OK** to speak to responsible parties about observations or direct information.
  - You see two students get into a fight.
  - A student tells you something directly, and you are concerned.
- **Not OK** to share anything derived from their academic record.
  - You know from personal knowledge that a student is failing.
Balancing Student Privacy and School Safety... continued

- A school official can share with medical personnel, law enforcement officials, and public health officials (as well as parents) records and information about a student without a student’s written consent.

- Only good for the time period of the emergency.
**Scenario:**
A loan officer at Founders Federal Credit Union calls and wants to verify a student’s degree for a special loan rate for new graduates.

- You check Banner and find the person did graduate from WU but has a **CONFIDENTIALITY** flag.

*Do you verify to the officer that this person graduated?*
You respond:

“I have no information that I can release on that individual.”

You are honoring the student’s FERPA right of non-disclosure.
True or False?

- Deceased student’s educational records are still protected under FERPA.
False.

- The privacy interests of an individual expire with that individual’s death.

- So, NO, deceased students are not protected by FERPA.
Consider this situation....

A faculty member has an emergency and must leave class before distributing test results to his students. He leaves the graded exams in a pile on the desk and instructs the student to pick them up themselves.

Is this distribution method in compliance with FERPA?
NO – This method of grade distribution is a VIOLATION of FERPA and could subject the faculty and the University to a formal complaint.

Why? Because while trying to locate their own exam results the students would have access to other student’s data.
A student has asked you to write a recommendation for a job. Which of the following can you disclose without the student specifying in their request?

A. Grades in your class
B. Work ethic
C. Grasp of the subject material
B and C

The student must specify if he or she wants her grade in your class to be released. The others are observations.
True or False:

1. The Catawba Indians have requested a list of students who list native American as their race. Winthrop can provide this list. **FALSE = race is not directory information**

2. Faculty have a right to inspect education records of any student attending WU without giving a reason. **FALSE = only if they have a legitimate educational purpose**

3. WU must release, to anyone, upon request, any information identified as directory information by the institution. **FALSE = they “may” --it is at the discretion of the institution**
4. Currently attending WU students have the right under FERPA to request that all of their educational records not be disclosed, to anyone, and WU must comply.

**FALSE** = confidentiality rights only apply to directory information

5. Parents may obtain confidential information from their student’s academic record.

**TRUE** = if student is a dependent, WU “may” legally release information

6. A WU student’s degree can be confirmed to some external source without first obtaining the permission of the student.

**TRUE** = degree is directory information
7. A former student is involved in a lawsuit and some of her records have been made public. A reporter from the Herald calls and wants to discuss these records. It is OK to do this.

False
Review.......KEY FERPA CONCEPTS...

1. **Written permission required for disclosure of student education record:**
   - If it’s not Directory Information – don’t release it.

2. **Exceptions to written permission rule exist:**
   - Entities (school officials) with Legitimate Educational Interest
   - Financial aid providers and authorities

3. **Students have right to access & review their records, and due process for complaints.**

4. **Parents/parental disclosure –**
   - Parents may have access if they can produce current tax return which shows student is a dependent.
FERPA website

Office of Records & Registration

Office Hours:
Monday through Friday, 8:30 a.m. to 5:00 p.m.

Mission Statement
The Office of Records and Registration upholds the Winthrop Plan by providing programs and services that support students and the faculty and staff who serve them. We do this by

- Interpreting and communicating university academic policies to assist students in their growth and success;
- Providing exceptional service in areas including, but not limited to, Academic Space and Course Scheduling, Cultural Events, Degree Audits, Graduation, Registration, Transcripts, and Benefits for Veterans and their dependents;
- Ensuring institutional and student records are kept secure and confidential and
- Utilizing effective technology to ensure efficiency in student and administrative services.

Registrar’s Welcome
As the one office on campus which interacts with every student and every faculty member every semester, we strive to provide the very best service possible to every person.

These pages are one way of giving our students, faculty, staff and the entire Winthrop community access to our services at any time and any place. Within these pages, you will find information regarding Winthrop’s academic policies, procedures, and calendars as they relate to both the student and faculty.

Our staff is here to support students both while they are enrolled and afterwards as they need transcripts or verification of their degree. For any assistance, please stop by our office in 126 Tillman Hall, call us at 803/323-2194 or e-mail us at RecandReg@winthrop.edu.
AUTHORITATIVE SOURCES

This PowerPoint presentation used by permission from Tina Davis, Registrar, Eastern Kentucky University. It was revised and added to in order to fit Winthrop University’s practices.

- **2010 FERPA Quick Guide.** American Association of Collegiate Registrars and Admissions Officer. LeRoy Rooker, editor. (Senior Fellow AACRAO and former Director – US DOE Family Policy Compliance Office.)


- **U.S. Dept. of Education. Family Policy Compliance Office.**
  - ferpa@ed.gov;
Contact Information

Gina Jones, Registrar
126 Tillman
323-3692
jonesg@winthrop.edu

Tim Drueke, Assistant VP for Academic Affairs
126 Tillman
323-4862
drueke@winthrop.edu