
POLICY TITLE: STUDENT RECORDS AND RETENTION POLICY**Date of Initial Approval:** 08/01/2018**Category** University Policy**Stakeholders Involved in Review:****Related Accreditation Standards:** COCA 9.2**Date Revised:** 11/18/2023**Responsible Office:** Registrar and Provost

PURPOSE & SCOPE

The purpose of this policy is to ensure that necessary records and documents are adequately protected and maintained and to ensure that records that are no longer needed or are of no value are discarded at the appropriate time.

The Office of the University Registrar (UREG) will release information from the student's academic record to college personnel who have demonstrated legitimate educational interest in the materials. A legitimate educational interest exists if the information requested has an educationally related purpose and is necessary for the college official to perform appropriate tasks or make a judgment within the scope of her/his assigned responsibilities or is related to a matter of safety and security of a student or the campus community. The UREG complies with the provisions of the Family Educational Rights and Privacy Act of 1974 and retains and disposes of records according to the guidelines in this policy.

POLICY STATEMENT

- a. The Office of the University Registrar (UREG) of Rocky Vista University is the final steward and authority of student records, the provision of and the safe-keeping therein. Other offices may have access to the records as authorized by the UREG, but the source and verification of such remains with the UREG.
- b. In the event of a governmental audit, investigation or pending litigation, record disposal will be suspended at the direction of the UREG and/or University Legal Counsel. In addition, the UREG should be informed of any record-related situation that might give rise to legal action as soon as the situation becomes apparent.

ROLES & RESPONSIBILITIES

University Registrar	Primary responsibility for retention of records listed under that office in the attached retention list (appendix 1)
Provost	Oversight of records retention by registrar and other offices listed in attached retention list (Appendix 1)

RELATED PROCESSES, PROCEDURES, AND/OR DEFINITIONS

- Appendix 1: Record Retention Guidelines

POLICY REVISION HISTORY

08/01/2018 Created Policy

08/28/2023 Revised to new template (reviewed by John Koren, Medforth Compliance Officer)

Please make sure all policies are sent to the policy manager: ldement@rvu.edu for proper vetting and approval.

APPENDIX 1: RECORDS RETENTION GUIDELINES

The following guidelines adhere to standard practices and industry guidelines under the relevant and appropriate affiliations and agencies, including but not limited to AACRAO, AAMC, HLC, COCA and the US Department of Education. Unless otherwise noted, all files are archived and preserved in electronic format in the institution's SIS and its connected secured internal portals.

Document Type	Description	Responsible Office	Retention Period
Academic Records	Transcripts, diplomas, final grades, and other final forms of degree completion used for external verification.	University Registrar	Physical files: 1 year in locked storage/vault. Electronic files: Permanent in the SIS.
Admissions	Application, post-secondary transcripts, transfer evaluation, Acceptance Letter, Matriculation Agreement, and other related documents.	Admissions Office: for non-matriculated applicants. University Registrar: for matriculated students.	Physical files: 1 year in locked storage/vault. Electronic files: Permanent in the SIS.
Advisement, Academic and Career Counseling	Working files of documents related to student issues and progression.	Student Affairs	Until 7 years past graduation.
Changes of Status	Requests for changes in status, including withdrawal, dismissal, leave of absence, reinstatement and fellowship designation.	University Registrar	Electronic files: Permanent.
Class Registrations	Student list of registrations for each academic term.	University Registrar	Electronic files: Permanent in the SIS.
Class Rosters	Enrollment rosters, snapshots, and graduates for each academic term and year.	University Registrar	Electronic files: Permanent in secured internal institutional shared drive.
Commencement Materials	Programs, brochures, and other documents related to commencement events and activities.	Office of Events and External Relations	Until academic need is satisfied
Course and Program Changes	Approval forms, emails and other types of requests for program or course registrations, drops, repeats, remediation, etc.	University Registrar	Electronic files: Permanent in the SIS.
Dean's Letters	Letter of Good Standing (LOGS) and Medical Student Performance Evaluation (MSPE)	Dean's Office	Electronic files: Permanent in the SIS.

Enrollment/Registration Statistics	Per term report of Enrolled students, e.g. by class, by course, totals, headcount and FTE	Institutional Research	Permanent.
Enrollment Verifications	Verifications of enrollment, graduation, GPA, class rank, and other related academic status.	University Registrar	Electronic files: Permanent.
Evaluations	Documents related to evaluations in a course grade.	Course Instructors/Departments	1 year after course grades are submitted.
FERPA Requests	Formal hearings, information disclosures, opt-outs, student statements on record, written student consent, written decisions from hearings.	University Registrar	Electronic files: Permanent.
Final Grade Submissions/ Changes	Final grade submissions or change requests by course directors or higher.	University Registrar	Electronic files: Permanent.
Grade Distributions	Report of grades given including summary grade point statistics by class	University Registrar	Until academic need is satisfied
Graduation Address Lists	Lists of mailing address for graduates in a specific graduating class showing to which address the diploma was mailed	University Registrar	Electronic files: Permanent in secured internal institutional shared drive.
Graduation Files	Files which document the fulfillment of qualifications necessary to graduate form a specific program of study	Office of relevant program. Why at programs? Isn't a degree audit a registrar's responsibility?	5 years after graduation or last day of attendance.
Hold Authorizations	Registration and transcript hold.	University Registrar	Until academic need is satisfied.

Honors Lists	Lists of graduates that have designated honors	University Registrar	Electronic files: Permanent in secured internal institutional shared drive.
Medical Board Scores (COMLEX/USMLE)	Numerical score assigned to the student upon completion of the national exam.	Clinical Education	Electronic files: permanent.
Personal Information Changes	Request initiated by the student with supporting legal documentation to change legal name, chosen/preferred name, current address, and legal/permanent address.	University Registrar	Electronic files: Permanent.
Petitions	Exceptions to academic rules.	Office of relevant program.	5 years after graduation or last day of attendance.
Record Requests	Request by student or with student consent for transcript, diploma copy, enrollment verification, and other academic record.	University Registrar	Electronic files: Permanent.
Student Conduct	Discipline records other than academic misconduct that are FERPA-protected and suspension/expulsion decisions.	Student affairs or Compliance Manager as may be appropriate for the matter	Electronic files: Permanent.
VA Certification Records	Certifying documents for federal VA benefits	Student Financial Services	5 years after graduation or last day of attendance.