

# **APPENDIX A**

## **REGULATIONS ON STUDENT RECORDS**

**Ankeny Community School District**

**Ankeny, Iowa 50021**

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## TABLE OF CONTENTS

POLICY AND RULES CONCERNING IDENTIFICATION, MAINTENANCE AND DISSEMINATION OF STUDENT PERSONNEL RECORD DATA .....	1
STATEMENT OF POLICY .....	1
STATEMENT OF RULES .....	1
I.    PURPOSE OF STUDENT RECORDS .....	1
II.   DEFINITION OF STUDENT RECORDS .....	1
III.  AGE OF CONSENT.....	2
IV.  RIGHT TO CHALLENGE AND HEARING PROCEDURE.....	2
V.   RIGHT TO RESPOND.....	3
VI.  COLLECTION OF DATA.....	3
VII.  DIRECTORY INFORMATION .....	3
VIII.  CLASSIFICATION AND MAINTENANCE OF DATA .....	4
IX.  PERSONAL PROFESSIONAL WORKING NOTES .....	8
X.   COMPUTERIZED DATA BANKS .....	8
XI.  ADMINISTRATIVE RESPONSIBILITY FOR STUDENT RECORDS.....	8
XII. MAINTAINING LOG OR RECORD OF REQUEST FOR INFORMATION .....	9
XIII.  TYPES OF REQUEST FOR STUDENT INFORMATION .....	10
XIV.  SOURCES OF REQUESTS FOR INFORMATION .....	11
XV.  NOTICE TO STUDENTS AND PARENTS – DIRECTORY INFORMATION .....	12
XVI. NONPUBLIC SCHOOL STUDENTS ENROLLED IN PUBLIC SCHOOL OFFERINGS .....	13
XVII.  MINOR STUDENTS.....	13
XVIII. THIRD PARTY PERMISSION RELEASE .....	13
XIX. NOTICE OF RIGHTS .....	13
XX.  PUBLICATION OF POLICY AND RULES .....	13
XXI. THE RIGHT TO WITHHOLD INFORMATION .....	14

# **POLICY AND RULES CONCERNING IDENTIFICATION, MAINTENANCE, AND DISSEMINATION OF STUDENT PERSONNEL RECORD DATA**

Student records are an essential part of the educational process. To serve this end, information about students which is required by law, or which is considered necessary in accomplishing the educational goals and objectives established by the District and its sub-units, should be collected and maintained under the supervision of the professional and nonprofessional certified staff.

Collection, dissemination and retention of all student information should be controlled by procedures designed to implement the primary task of the District and its sub-units, while protecting individual rights in the best interest of the students and preserving the confidential nature of the various types of records.

The intent of rules concerning student records is to establish policy and procedures, to protect the rights of the individual, and to emphasize the concept of free flow of information between parents, student, and school.

It is of the utmost importance that a delineation be made between “policy” and “rules.” Policy is that general statement of direction given by the Board of Directors to all concerned. Rule is that procedure developed by the school administration by which the policy is to be carried out. Rules detail the application of policy to specific circumstances.

## Statement of Policy

An accurate record shall be maintained for all students attending the Ankeny Community School District. Records of a student shall be reasonably accessible to the student if 18 years of age or older or to parents of that student. Student records shall remain confidential.

## Statement of Rules

### I. Purpose of Student Records

Student records are collected and maintained to facilitate the instruction, guidance, and educational progress of the student and for legitimate research.

### II. Definition of Student Record

A student record means anything for others to see or hear concerning the instruction, guidance, and educational progress of a student which is maintained in any medium including, but not limited to, writing, print, film or tape.

A student record is distinguishable from personal professional working notes in that the latter is intended for use by the collector only. Such notes do not become a student record until they are made available to another person other than the student or a substitute. Such sharing other than with a substitute on a need-to-know basis automatically makes the notes a student record subject to the policies and rules governing student records. A substitute shall mean a person who is replacing that certified school employee who is the originator of the notes and who is absent from assigned responsibilities.

### III. Age of Consent

When a student reaches age 18 or is attending an institution of post-secondary education, the permission or consent required of and rights given to parents shall be required of and granted only to the student. This shall not affect the rights of parents of dependent children to have access to the student's educational records.

Reference is made to the rights afforded the parents of students. It should be understood that, for the purpose of these rules, the term parent means either natural parent, legal guardian, or an individual acting as a parent in the absence of a parent or guardian.

It will be presumed that either parent may exercise the rights granted parents under these rules unless documentary legal evidence shows that a parent has been expressly precluded from exercising parental rights. The mere awarding of custody to one parent shall not preclude the non-custodial parent from being granted access to the student's records, unless the staff person in charge of the records has reason to believe that release of the records will be detrimental to the student's welfare.

In the event that the student is institutionalized, the rights afforded to parents under these rules shall be granted to the appropriate institution or agency.

### IV. Right to Challenge and Hearing Procedure

Parents shall have an opportunity for a hearing to challenge the contents of their child's school records; to insure that the records are not accurate, misleading, or otherwise in violation of the privacy or other rights of the student; and to provide an opportunity for the correction or deletion of any such inaccurate, misleading, or otherwise inappropriate data contained therein.

A parent wishing to challenge the content of the student's school record shall make written application to the building principal. Within 10 days, or at a time mutually agreed to, an informal hearing will be held to determine the validity of the challenge. The parent of the student shall be given reasonable notice of the

time, place, and date of the hearing. The hearing panel shall consist of an equal number each of certified guidance personnel, teachers, and administrators (excluding the Superintendent). The panel shall hear evidence relevant to the matter including representatives of appropriate professional disciplines. Challenging parties shall be afforded a full and fair opportunity to present evidence relevant to the issues raised and may be assisted by reasonable action with regard to the challenged portion of the education record and may include alteration and deletion. Academic grades may be challenged only on the basis of accuracy in recording and not on the basis of evaluation of per written decision shall be rendered as soon as possible and include in the record, but in no case more than five school days after the hearing. The decision shall be based solely upon the evidence presented at the hearing and shall include a summary of the evidence presented at the hearing and reasons for the decision. Should the parent be dissatisfied with the decision of the panel, the parent may, within 10 days, request a review by the Superintendent. The Superintendent shall, within 10 days of the request for the review, either sustain, modify, or overrule the decision of the panel. Persons challenging the content of student records shall be informed of the right to place a written response in the record. No person with a direct interest in the outcome, or responsible for placing the challenged information in the record, may participate in the rendering of a decision. Should the Superintendent have a personal interest in the outcome or if the Superintendent was originally responsible for placing the challenged information in the record, the Ankeny Board shall designate a Superintendent of another district or an area education agency administrator to review the decision.

This section is not to preclude informal settlement of disputes over student records and their content when the challenging party and the school arrive at a mutually satisfactory agreement.

V. Right to Respond

The parent shall have the right to respond in writing to any information in the record, and the response shall become a part of the record. Such responses shall be disclosed whenever the challenged or objectionable material is disclosed.

VI. Collection of Data

Surveys or similar data gathering activities shall conform to the appropriate regulations promulgated by the Secretary of Health, Education and Welfare.

VII. Directory Information

The principal of each attendance center may release the following types of information to the public as the principal sees fit, keep the privacy of the student and the student's family and the totality of the surrounding circumstances: name,

address, telephone listing, date and place of birth, major field of study, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees and awards received, the most recent previous school or institution attended by the student, and other similar information.

This section shall not allow the release of any of the above information to which a parent has filed an objection in writing. When a parent so objects, the student records shall be clearly distinguished and identified as to what types of information are not to be released regarding that student.

## VIII. Classification and Maintenance of Data

For the purpose of security and access, student data should be classified. The classifications of information about students collected and maintained by school personnel are as follows:

### A. Category I – Permanent Records

Official permanent records constitute personal data necessary for operation of the school system and important for student needs.

1. Identification data, e.g., name, sex, birth date, address, parents' name and address, telephone number, photo.
2. Race or ethnicity (as stated by the student, and if requested for statistical purposes).
3. Attendance data.
4. Record of achievement.
5. Date of graduation.
6. Follow-up information after graduation.
7. Standardized tests.
8. Participation in school activities.

#### Maintenance of Permanent Records

Category I – Permanent Records shall be maintained in perpetuity. Updating is to be done as changes occur. For the purpose of security, identical duplicate data shall be maintained in secure files in separate locations.

### B. Category II – Cumulative Records

This classification includes information of importance in helping the student and protecting others. The information contained in this category is not absolutely necessary to the operation of the school system but is of a more

sensitive nature and of less historical importance. These cumulative records shall include general and observational data.

1. Health information.
2. Family background data.
3. Standardized tests.
4. Interest inventories.
5. Educational and vocational plans.
6. Honors and activities.
7. Report cards and conference reports.
8. Subject reports.
9. Discipline data.
10. Reports of support services.
11. Log for persons having had access to student record, except those excluded in Section XII.
12. Court orders.

#### Maintenance of Cumulative Records

Category II – Cumulative Records shall be reviewed periodically and at a minimum when a student moves from elementary school to middle school, and from middle school to senior high school, and when the student transfers out of the district. No more than three years after a student graduates or is permanently dropped from school, Category II – Cumulative Records should be destroyed and selected data that may have permanent usefulness should be transferred to the permanent record. School personnel should be aware that what they write for the record about a student, in any and all contexts, may be shared with the student or parent.

#### C. Dissemination of Permanent and Cumulative Records

Written consent for dissemination shall be signed by a parent and dated and shall include a specification of the records to be released, the reasons for such release, and names of the party or class of parties to whom such records may be released.

Dissemination of Permanent and Cumulative Records and the information contained therein may be made to only the following without prior written consent, subpoena, or court order and then only under the terms specified:

1. Certified school staff employed by the District, clerical personnel responsible for the custody and keeping of the records, and certified staff of the area education agency serving students in the District, who have a legitimate educational interest, and other persons on the staff who have been determined by the Superintendent, principal or person in

charge of the attendance center to have a legitimate educational interest.

2. The Board sitting as a whole when deciding matters regarding individual students.
3. Officials of other schools of school systems in which the student seeks or intends to enroll, upon the condition that the student's parents be notified of the transfer and have the opportunity to request a copy of the record at a reasonable cost if desired and to challenge the content of the record in accordance with Section IV.

The education records of a nonpublic school student enrolled in courses or receiving services from this District may be shared with the certified staff of the nonpublic school in which the student is also enrolled, provided the parents of the student are notified.

4. Authorized representatives of Federal and State educational authorities auditing and evaluating Federally supported education programs.
5. Financial Aids officials in connection with a student's application for, or receipt of, educational financial aid and only that information which is necessary for the receipt of such aid.
6. State and local officials or authorities to which information is required to be reported or disclosed pursuant to state statute adopted prior to November 19, 1974.
7. Organizations conducting studies in this District for the purpose of developing, validating, or administering predictive tests, organizations administering student aid programs, or organizations conducting studies for the improvement of instruction.

Such studies shall be conducted in a manner which will not permit the personal identification of students and their parents by persons other than representatives of such organization, and destruction of such information shall be required when no longer needed for the purpose for which they were conducted.

8. Accrediting organizations in order to carry out their functions.
9. Parents of a dependent student as defined in the Internal Revenue Code of 1954. It shall be presumed that a student is a dependent of his or her parents until such time as substantial proof to the contrary is shown. Anyone alleging facts to the contrary shall be given up to 15 days to

produce substantial evidence of the fact, during which time access shall not be granted.

10. Appropriate persons in the event of an emergency if such information is necessary to protect the health or safety of a student or other persons. Whether a true emergency exists will be determined by the seriousness of the threat, the need for the information to meet the emergency, the ability of the person to whom information is released to deal with the situation, and the extent to which time is essential.

D. Category III – Tentative Records

This classification includes information of clear importance to the educational process but not absolutely necessary thereafter. These records include data of a subjective or clinical nature. The following are examples of tentative records:

1. External agency reports include confidential reports received from cooperating agencies such as child welfare, juvenile courts, hospitals, etc., as well as those from private practitioners who are working or have worked with the students.
2. Data may include reports of personality assessment, developmental histories, case studies, personal observations, and impressions based upon available data.

Maintenance of Tentative Records

Category III–Tentative Records must be maintained separately from Category I–Permanent Records and Category II–Cumulative Records in order that their tentative nature be protected from unauthorized use. Tentative Records do not become a part of the student’s cumulative folder nor do they become a part of the Permanent Record. Tentative Records shall be kept in secure files for only such period of time as they are relevant to the work with a particular student.

Dissemination of Tentative Records

These records may be shared only on a need-to-know basis with other certified school personnel within the school system at the discretion of the person in charge of the record. Such records are not to be duplicated without permission of the originator or the person in charge of the record. Requests for these records from other agencies must be accompanied by a release signed by the parent and be referred to the originator or the person in charge of the record.

These records remain confidential. However, the parent is entitled to see such records and not merely to have items selected and read by school officials. A challenge to the Tentative Records shall follow the procedure set forth in Section IV.

IX. Personal Professional Working Notes

Data of this category shall consist of those data maintained in confidential personal notes of professionals in the school (e.g., teachers, administrators, school psychologists, school counselors, school nurses). These data shall be maintained only so long as they are useful to the professional in contacts with the student. These data are not subject to require release to parents or their legal representatives except in compliance with judicial order or orders of administrative agencies where those agencies have the power of subpoena.

X. Computerized Data Banks

Computerized data banks pose special problems of maintenance, security, and access. Procedures developed for dealing with computerized data banks shall be in accord with the following principles:

- A. There must be no personal data record keeping system whose very existence is secret.
- B. There must be a way for a student to find out what information about the student is in a record and how it is used.
- C. There must be a way for a student to prevent information about the student that was obtained for one purpose from being used or made available for other purposes without the student's consent.
- D. There must be a way for a student to correct or amend a record of identifiable information about the student.
- E. Any organization creating, maintaining, using, or disseminating records of identifiable personal data must assure the reliability of the data for their intended use and must take precautions to prevent misuse of the data.

XI. Administrative Responsibility for Student Records

- A. The Superintendent or the Superintendent's designee shall be the custodian of all student records maintained at the district level. Even though the Superintendent designates someone to be custodian of all student records at

the district level, the Superintendent shall remain primarily responsible for all student records.

- B. The principal or his designee shall be the custodian of all student records at the building level. Even though the principal designates someone to be custodian of all records at the building level, the principal shall remain primarily responsible for all student records.
- C. The principal shall make maximum provision for protection of student records from review by unauthorized personnel and for maximum physical security of such student records.
- D. The principal or a designee is responsible for classifying student records and maintaining them so that each student record can clearly be identified by classification, for reviewing the files and deleting cumulative and tentative student records when necessary, and for granting or denying access to student records on the basis of the policies or procedures set forth in this document.
- E. The principal shall ensure that the school staff, under the principal's jurisdiction, receives periodic instructions and training regarding the privacy rights of students and parents. The procedures for collection, maintenance, accessibility, dissemination, and retention of student information shall be reviewed periodically for the staff by the principal.

## XII. Maintaining Log or Record of Request for Information

There shall be maintained, as part of the records file, a card which shall be kept permanently with the file of the student for inspection by the parents. That card shall indicate the legitimate educational or other interest that each person, agency, or organization had in seeking information. Certified school staff employed by the District and clerical personnel responsible for the custody and keeping of the record do not need to record their own access to student records unless such access is pursuant to a request for information from a person not on the school staff or for other than legitimate educational interests.

The card shall state the name, date, and purpose of the use of the file and be made available to parents and to the school official responsible for record maintenance as a means of auditing the operation of the record-keeping system. In no case shall the log be accessible to anyone other than the parent or the official and assistants responsible for student records.

The log is not required to show disclosures obtained through written consent when the party receiving the record was specifically named in the consent form

or for disclosures of directory information. Consent forms shall be kept as part of the student's record.

### XIII. Types of Requests for Student Information

#### A. Telephone Requests

Requests for information via the telephone, except directory information, shall not be honored when information requested must be obtained from student records, except when parent or requesting school district personnel have been properly identified.

#### B. Written Requests

Written requests for information may be honored under the following conditions:

1. The inquirer is properly identified.
2. The purpose of the request is clearly stated.
3. The type of information required is expressly stated.
4. Prior written consent is given by the parent, except in instances exempt under the provisions of Section VIII. C.

#### C. Personal Visit Requests for Information

Upon presentation of proper identification, a request for information via personal visit shall be honored under the following conditions:

1. The inquirer is properly identified.
2. The purpose of the request is clearly stated.
3. The type of information required is exactly stated.
4. Prior written consent is given by the parent, except in instances exempt under the provisions of Section VIII. C.
5. A professional staff member is present during the entire in-person visit and available to interpret the data to the visitor.
6. A record of the visit is made.

### XIV. Sources of Requests for Information

#### A. Parent, Student, Former Student, or Parent of Former Student Under Age 18.

1. A student's parent shall have access to educational records by scheduled appointment.
2. A counselor or other school official competent in interpreting student records must be present to explain the records that are examined.
3. The following exception shall be made to the principle of parental consent with respect to a student's age and legal rights: A parent of a student or former student shall have access to the student's records as long as the child is a dependent. It shall be presumed, until sufficient showing to the contrary, that a student attending school in this District is a dependent of his or her parents.
4. Parents shall be granted the opportunity to copy student records at a reasonable cost not to exceed the actual cost of reproduction.

B. Family Members Other Than Parents

Requests for information contained in the student's record shall not be honored when made by a student's relative or immediate family members other than parents, whether the request is made in writing or in person. The release of information to those persons can be made only with the consent of the parents.

C. Certified School Staff

Only certified school personnel who have a proper educational purpose shall have access to student records. Staff members shall respect and observe the importance of the student record. The utmost personal and professional responsibility is required in the uses to which they put their special knowledge about a student.

D. Noncertified School Staff

Noncertified school staff shall have access to student records only in the routine performance of duty under supervision of a certified person. They will not evaluate or interpret school records.

E. Board of Education

Requests for information from the Board as a whole may be honored under the safeguards established for staff requests.

F. Court, Agency, or Institution

All information released to a court, agency, or institution should be directed to a specifically named representative therefrom. Requests for information originating from any federal, state, county, or local agency having any legitimate interest in the student's record and exercising the power of judicial order or subpoena may be processed according to these regulations so long as the use is consistent with their statutory powers or responsibility.

#### G. Other

No other person may have access to any data in a student's records except under one of the following circumstances:

1. When proper written consent to the access of such records has been obtained.
  - a. The consent must be given by the student's parent. However, when a student reaches the age of 18 years, his or her consent and not that of the parents must be obtained for access of the information.
  - b. The written consent must specify the records to be accessible and to whom they are to be accessible. Each request for consent must be handled separately. Blanket permission for the access of the information shall not be honored.
2. When data for outside research purposes are obtainable in such a manner that no individual student is identifiable.
3. When an exception under Section VIII. C.

#### XV. Notice to Students and Parents — Directory Information

The student handbook or similar publication given each student containing general information about the school shall contain the following statement which shall also be published at least annually in a prominent place in a newspaper of general circulation in the District:

THE FOLLOWING INFORMATION MAY BE RELEASED TO THE PUBLIC IN REGARD TO ANY INDIVIDUAL STUDENT OF THE SCHOOL DISTRICT AS NECESSITY OR DESIRABILITY ARISES: (ANY STUDENT, PARENT, OR GUARDIAN NOT WANTING THIS INFORMATION RELEASED TO THE PUBLIC MUST MAKE OBJECTION IN WRITING TO THE PRINCIPAL OR OTHER PERSON IN CHARGE OF THE SCHOOL WHICH THE STUDENT

IS ATTENDING. IT IS DESIRABLE TO RENEW THIS OBJECTION AT THE BEGINNING OF EACH SCHOOL YEAR.)

NAME, ADDRESS, TELEPHONE LISTING, DATE AND PLACE OF BIRTH, MAJOR FIELD OF STUDY, PARTICIPATION IN OFFICIALLY RECOGNIZED ACTIVITIES AND SPORTS, WEIGHT AND HEIGHT OF MEMBERS OF ATHLETIC TEAMS, DATES OF ATTENDANCE, DEGREES AND AWARDS RECEIVED, THE MOST RECENT PREVIOUS SCHOOL OR INSTITUTION ATTENDED BY THE STUDENT, AND OTHER SIMILAR INFORMATION.

XVI. Nonpublic School Students Enrolled in Public School Offerings

The public school records of a nonpublic school student attending the public schools shall be available to the parents of that student to the extent that student is in attendance in schools belonging to this District.

The education records of a nonpublic school student enrolled in courses or receiving services from this District may be shared with the certified staff of the nonpublic school in which the student is also enrolled, provided that the parents of the student are notified.

XVII. Minor Students

All students under age 18 shall have reasonable access to their records. Withholding any material from the minor student must be educationally justifiable or a result of parental request. These records may also be utilized in counseling minor students.

XVIII. Third Party Permission Release

Except for the release of directory information, every time confidential information regarding a student is released to other than the student, parent, or local school personnel, it shall be accompanied by a letter indicating the confidentiality of the material and the necessity for obtaining written consent prior to release of any information by the third party.

XIX. Notice of Rights

The school administration shall cause to be published, at least annually, in a newspaper of general circulation in the District and in appropriate school publications notification of the rights accorded students and parents under school rules governing student records.

XX. Publication of Policy and Rules

The District shall publish and make available to interested persons upon request at each attendance center copies of policies and rules pertaining to the maintenance of student records.

XXI. The Right to Withhold Information

In the course of processing a request for information, a reasonable doubt on any aspect of the request or concern about the authorization to process the request shall be deemed sufficient reason for the staff member to act in a prudent manner and to withhold all or part of the information until such time as the question is resolved. Every reasonable effort shall be made to comply within 45 days of the request.