

Security & Confidentiality of Student Records

ULM Internal Audit Manual

<https://webservices.ulm.edu/policies/download-policy/661>

The University of Louisiana at Monroe Internal Audit Activity Charter, Section 1000 of the Internal Audit Manual, provides that internal audit shall have unrestricted access to all functions, records, manual and automated systems, properties, and personnel of the University. In addition, Section 2300 of the Internal Audit Manual provides that access to engagement (audit) records will be controlled to the extent allowed by applicable laws and regulations (e.g., Public Records Law). It also provides that approval of senior management and/or legal counsel will be obtained prior to releasing such records to external parties. Retention requirements for engagement records have been developed and these retention requirements are consistent with the University's guidelines and applicable regulatory requirements.

State of Louisiana Public Records Law

<http://www.legis.la.gov/Legis/Law.aspx?d=99632>

State of Louisiana Records Management Policies

<https://www.sos.la.gov/HistoricalResources/PublishedDocuments/RecordMgmtPoliciesPracticesAdminRules.pdf>

State of Louisiana Records Management Inventory Form

<https://www.sos.la.gov/HistoricalResources/PublishedDocuments/ssarc-960.pdf>

International Standards for the Professional Practice of Internal Auditing

<https://na.theiia.org/standards-guidance/mandatory-guidance/Pages/Standards.aspx>

The Department of Internal Audit also complies with the following University policies governing student records:

ULM Student Handbook

<https://www.ulm.edu/studenthandbook/documents/2019-2020-student-handbook-version-91119.pdf>

Various sections of the ULM Student Handbook provide policies and procedures governing student records.

- Section 9.03 “Access to Records” provides that the records maintained by the University are available only to the student, to University personnel with legitimate educational interests and to other institutions with the consent of the student. It also provides that the University adheres to the General Education Provisions Act or the Family Educational Rights and Privacy Act (FERPA) Compliance Guidelines for the University of Louisiana at Monroe. However, information may be released by the institution to appropriate persons in connection with an emergency if the knowledge of such information is necessary

to protect the health or safety of a student or other persons. Records may also be furnished in compliance with a judicial order or pursuant to a subpoena or with the consent of the student. The education records of a deceased student are not released; exceptions to this policy should be submitted in writing to the University Registrar.

- Section 9.06 “Directory Information” defines directory information and provides that student records may be released by the University without the consent of the student unless the student has notified the University Registrar, in writing, that the student objects to such release.
- The “Confidentiality of Student Records” subsection of the University General Information section provides that pursuant to the requirements of the 1974 Family Educational Rights and Privacy Act (FERPA)—Public Law 93-380, certain types of information, designated by law as “directory information,” may be released without the student’s permission. A list of the types of directory information which can be released (e.g., name, address, phone number) are listed in the publication and may be obtained in the Registrar’s Office. Students who wish directory information to be withheld should complete a “Withholding Information” form in the Registrar’s Office and on the Registrar’s Office webpage.

Requests to prevent either the releasing or publishing of directory information will be in effect indefinitely until written notification is received in the Registrar’s Office. Students have the right to file complaints with the FERPA Office in Washington, DC, concerning alleged failures by the University to comply with the Act. Student medical records are covered by FERPA privacy mandates.

ULM FERPA Policy

<https://www.ulm.edu/registrar/documents/ferpa-2017.pdf>

The University’s FERPA policy on the Registrar’s web site requires faculty, staff, and administrative officers at ULM to treat education records in a legally specified manner, outlines procedures for providing student access to such records, includes procedures for maintaining the privacy of student records, and provides institutional penalties for violation of its stipulations.

ULM Office of Information Technology

<https://webservices.ulm.edu/forms/get-form/756>

The University’s Office of Information Technology Access Request Form requires employees to certify that they (1) will use the University facilities for purposes associated with their official duties or studies at the University only, (2) will not allow other persons to use their account and acknowledge that providing other persons with access in such a manner is considered a serious violation of their obligations, (3) understand that they have an obligation to protect University hardware, software and data and will not attempt to gain access to accounts, data or other systems for which they have no authorization, (4) understand the ULM Office of Information Technology is co-owner of all files on the

system and has all rights to those files, (5) understand that any violation of these terms and conditions, abuse of equipment, breach of security or use of systems to intimidate or harass others will result in loss of privilege to use the system, and that serious offenses will result in more serious disciplinary action, and (6) have read the above statements and agree to abide by the computer use policies of the University of Louisiana at Monroe.