
UCLA Policy 220: Disclosure of Information From Student Records

Issuing Officer: Vice Chancellor, Student Affairs

Responsible Dept: Registrar's Office

Effective Date: July 25, 2011

Supersedes: UCLA Policy 220, dated 7/1/1998

I. REFERENCES

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IV. DEFINITIONS

I. REFERENCES

1. University of California Policies Applying to the Disclosure of Information from Student Records, July 20, 2010;
2. Family Educational Rights and Privacy Act (FERPA);
3. UCLA Procedure 220.1, Student Grievances Regarding Violations of FERPA or University Policies on Privacy Rights Applying to Disclosure or Content of Student Records.

II. PURPOSE

UCLA maintains various types of Records pertaining to Students. Some are maintained for academic purposes; others, such as medical Records, are maintained for other specific purposes.

This policy applies only to Records directly related to students as Students, hereafter referred to as "Student Records" in this policy. The Disclosure of information from Student Records is governed by the Federal Family Educational Rights and Privacy Act (FERPA).

This policy is not applicable to other Records that are maintained for purposes unrelated to a Student's status as a Student. Specific categories of such Records are identified in Section IV (Student Records). The Disclosure of information from such Records is governed by the California Information Practices Act.

It is the purpose of this policy to provide reasonable interpretations of FERPA and to protect the Student's right of privacy as guaranteed by the Constitution of the State of California and the Information Practices Act. When the law is silent, UCLA shall be guided by two principles:

1. The privacy of an individual is of great weight; and
2. The information in a Student's file should be disclosed to the Student on request.

This policy incorporates the requirements set forth in the regulations implementing FERPA and all amendments thereto through January 8, 2009.

Although not strictly required under federal law, as a matter of University policy for the purposes of implementing the provisions of FERPA, the University of California generally views itself as eleven separate institutions, rather than as a single entity. Therefore, Personally Identifiable Information contained in Student Records maintained by UCLA may not be disclosed to the other campuses without the written consent of the Student, unless the Disclosure is consistent with the provisions of Section III.E. of this policy. Such information may be disclosed by UCLA to the Office of the President, as permitted by Section III.E. of this policy.

III. STATEMENT

A. Annual Notification of Rights

1. Students shall be informed annually of their rights under this policy and under FERPA and its implementing regulations, by such means and at such times as are reasonably likely to inform them of those rights.
2. Such notification shall be published in one or more official campus publications (paper and/or electronic) in a manner that will provide Students with clear and specific information regarding their rights.
3. The notification shall include a statement that the Student has a right to:
 - a. Inspect and review the Student's own Records (see Section III.B.);
 - b. Request correction of the Student's own Records (see Section III.G);
 - c. Grieve an alleged violation of privacy rights, as specified in this policy (see Section III.H.);
 - d. Have Personally Identifiable Information contained in Student Records not be disclosed without signed and dated written consent that specifically identifies:
 - 1) the Records to be disclosed;
 - 2) the purpose of the Disclosure; and
 - 3) the party or class to whom Disclosures are to be made.Consent is not required for those Disclosures authorized under Section III.D of this policy; and
 - e. File with the United States Department of Education a complaint concerning alleged failures by UCLA to comply with the requirements of FERPA (see Section III.H.).

B. Inspection and Review of Student Records by Students

1. Procedures to be followed in the Inspection and Review of Student Records by Students
 - a. With the exception of the Records listed in Section III. B.2., Students shall be permitted to inspect and review their Student Records within a reasonable period of time, but in no case longer than 45 days after receipt of the Student's request.
 - b. Students shall be entitled to a response to reasonable requests for explanations and interpretations of the Records. The response need only inform Students of what the Record contains, and not why the Records exist or why specific information is included in the Records. If a Student believes that a Record is inaccurate or misleading, procedures for seeking the correction of the Record can be found in Section III. G.
 - c. UCLA shall comply with written requests from Students who live 50 miles or more from campus for copies of their Records when failure to provide copies would effectively prevent them from exercising the right to inspect and review their Student Records.
 - d. Fees for copies of Student Records shall be assessed in accordance with UCLA fee schedules unless the imposition of a fee effectively prevents a Student from exercising the right to inspect and review the Student's own Records. No charge may be made to search for or to retrieve any Student Record. Fees to be charged for copies of Student Records are published in the Miscellaneous Fees section of the electronic *Schedule of Classes*.
 - e. Student Records shall not be destroyed if there is an outstanding request to inspect and review them (see also Section III. F.4.a). If there is no request pending, the Records may be destroyed pursuant to the UCLA or University Records disposition requirements.
2. Records Exempt From Inspection and Review By Students

Pursuant to FERPA, the following Student Records are not subject to inspection and review by Students:

- a. Financial Records and statements of the Student's parents or guardians or any information contained therein. Information from the Parents' Confidential Statement, or equivalent information, may be disclosed to the Student on condition that the proper authorization has been signed by the parent(s) or guardian(s).
 - b. Confidential letters and statements of recommendation which were placed in a Student's Records prior to January 1, 1975, provided that the letters and statements are used only for the purposes for which they were specifically intended.
 - c. Confidential letters and statements of recommendation which were placed in a Student's Records after January 1, 1975, with regard to admission, application for employment, or the receipt of an honor, if the Student has waived the right to inspect and review those recommendations (see also Section III. D.).
 - d. Records containing Personally Identifiable Information about other Students. If Student Records contain information on more than one Student, Students may inspect and review or be informed of only the specific information which pertains to themselves, except as specified in Section III. E.1).
3. Parental and Spousal Requests for Information
- a. FERPA assigns privacy rights to all enrolled Students, regardless of age. Parents have no inherent rights to inspect a Student's Records. Records may be released to parents only with written authorization of the Student.
 - b. In the absence of written authorization for release by the Student, or a court order, Student Records may not be released to a spouse.

C. Inspection and Review of Admissions Records by Applicant

Privacy of and access to admissions Records of applicants who do not subsequently become Students are not covered by this policy, but are subject to the policies and procedures found in the University of California Business and Finance Bulletin, RMP Series, Records Management, and the California Information Practices Act. Information about those policies and procedures may be obtained from the office of the Information Practices Coordinator, 10920 Wilshire Boulevard, Suite 500, Los Angeles, CA.

D. Waivers of Access Rights to Student Records by Students and Limitations on Such Waivers

1. Subject to the limitations in this policy, Students may waive, or may be requested to waive, their right of access to confidential recommendations or evaluations regarding admission, application for employment, or the receipt of an honor or award. Such waivers must be voluntary, and may not be required as a condition for admission to UCLA or the receipt of any other service or benefit from the University. Waivers must be in writing and signed by the Student. Students may waive their rights to inspect and review either individual documents or classes of documents (e.g., part or all of an admission or career placement file).
2. Students shall be notified upon request of the names of all individuals providing confidential letters and statements of recommendation to which they have waived their right of access. Such recommendations retain their confidentiality only if they are used for the purpose for which they were originally intended. If used for other purposes, the waivers are void and the documents may be inspected by Students.
3. No Student may be required to sign a form saying that he or she has not waived access to any confidential recommendation.
4. Waivers may be revoked in writing with respect to Records obtained or received subsequent to the revocation. Such revocations shall not affect a Student's access to Records obtained or received prior to such written notice of revocation.

E. Disclosure of Personally Identifiable Information from Student Records

Some Personally Identifiable Information may be considered Public Information unless a Student notifies the Registrar's Office in writing or via electronic procedures established by the Registrar's Office that any or all of

the categories of information about that Student may not be disclosed. As a matter of practice, UCLA does not publish Student addresses or telephone numbers in the campus electronic directory unless released by the Student. The term Public Information in this policy is synonymous with the term “directory information” in FERPA.

UCLA hereby designates the following categories as Public Information:

- a Student’s name;
- address (mailing, permanent, and/or e-mail);
- telephone numbers;
- major field of study;
- dates of Attendance;
- number of course units in which enrolled;
- degrees and honors received;
- the most recent previous educational institution attended; and
- participation in officially recognized activities, including intercollegiate athletics, and the name, weight, and height of participants on intercollegiate UCLA athletic teams.

1. Disclosure of Public Information About a Student

- a. Students shall be informed at the time they enroll in, or register with, any academic program of the campus, and at least annually thereafter, of their right to refuse to permit any or all of the categories of Personally Identifiable Information to be designated as Public Information with respect to themselves.
- b. Students shall notify the Registrar’s Office in writing or via an established electronic procedure of the Personally Identifiable Information related to themselves that is not to be designated as Public Information. Within a reasonable time after receipt of notification, information so designated may not be disclosed without either the written or electronic consent of the Student, except as otherwise noted in Section III. E.3.
- c. Students shall be informed of the time period during each academic term in which they may update information directly through URSA (University Records System Access).
- d. Students may not use the right to refuse Disclosure of their Public Information to prevent the University from disclosing information pursuant to the applicable provisions in Section III.E.3.a. Further, Students may not use the right to refuse Disclosure of their Public Information to prevent the University from disclosing or requiring a Student to disclose the Student’s name, University ID Number, or University e-mail address in a class in which the Student is enrolled, including but not limited to online classes.
- e. The University may not disclose or confirm Public Information without the Student’s consent, if a Student’s social security number or other non-Public Information is used, alone or combined with other data elements, to identify or help identify the Student or the Student’s Records.

2. Disclosure of Public Information About Former Students

Information regarding former Students that was designated Public Information by UCLA at the time they were Students may be disclosed without the former Students' consent unless their last written notification received by the UCLA Registrar's Office at the time they were Students specified that the information with respect to themselves was not to be considered Public Information. For Students who attended before February 1, 1977, the Public Information shall be limited to former Students' registration, dates of Attendance at UCLA, degrees granted, and dates on which degrees were conferred.

3. Disclosure of Personally Identifiable Information

Personally Identifiable Information which has been identified by Student a as confidential may be disclosed under specific circumstances as follows:

a. Permissible Disclosures

Except for the Disclosure of Public Information under conditions specified in Section III. E.1, Personally Identifiable Information from Student Records may not be disclosed without the prior written consent of the Student, *other than* to the following parties and under the following circumstances:

- (1) To University Officials, as specified below, who have been determined to have Legitimate Educational Interest in the Records (see Definitions, Section IV). Determinations as to whether the Legitimate Educational Interest requirement is satisfied shall be made by the head administrator of the unit retaining the information. University personnel receiving or utilizing the information shall be responsible for its subsequent Disclosure pursuant to the provisions of this policy.
 - UCLA Officials;
 - Officials in the UC Office of the President and the Office of the General Counsel and Vice President for Legal Affairs;
 - Officials at other campuses of the University, in connection with the administration of joint programs or activities;
 - Officials at other campuses of the University or other institutions, if a Student is concurrently enrolled in, or concurrently receives services from UCLA and another institution, or from UCLA and another campus of the University. This provision includes institutions participating in Education Abroad Programs;
 - Officials at other UC campuses for the purposes of facilitating:
 - (a) the enrollment of a Student seeking to attend a summer session program at another campus;
 - (b) the reporting of academic achievement in the summer coursework once completed; or
 - (c) other administrative needs related to summer session programs, such as but not limited to, Student disciplinary matters as specified in the UCLA Student Conduct Code or Section 104.30 of the University of California Policy Applying to Campus Activities, Organizations, and Students; and
 - The UCLA Chancellor, or his or her designees, in connection with Disclosures arising from disciplinary procedures of another UC campus, as specified in the UCLA Student Conduct Code or Section 104.30 of the University of California Policy Applying to Campus Activities, Organizations, and Students.
- (2) To authorized representatives of the Comptroller General of the United States, the Attorney General of the United States, the Secretary of Education, or state and local educational

authorities, in connection with the audit and evaluation of Federally and State supported education programs, or in connection with the enforcement of Federal or State laws which relate to such programs.

- (3) In connection with Financial Aid for which a Student has applied or which a Student has received, only as may be necessary:
 - (a) To determine the eligibility of the Student for Financial Aid;
 - (b) To determine the amount of the Financial Aid;
 - (c) To determine the conditions which will be imposed regarding the Financial Aid; or
 - (d) To enforce the terms or conditions of the Financial Aid.

Such information shall be disclosed to donors only if the conditions of the gift or award expressly require that the information be disclosed.

- (4) Information concerning the juvenile justice system to state and local officials or authorities to whom information is specifically required to be reported or disclosed pursuant to State statute adopted prior to November 19, 1974.
- (5) To organizations conducting studies for, or on behalf of, educational agencies or institutions for the purpose of developing, validating, or administering predictive tests, administering Student aid programs, or improving instruction. The University must enter into a written agreement with the organization that specifies the purpose, scope, and duration of the study or studies and the information to be disclosed; requires the organization to use Personally Identifiable Information from education Records only to meet the purpose or purposes of the study as stated in the written agreement, requires the organization to conduct the study in a manner that does not permit personal identification of parents and Students, as defined in this part, by anyone other than representatives of the organization with Legitimate Educational Interests, and requires the organization to destroy or return to the educational agency or institution all Personally Identifiable Information when the information is no longer needed for the purposes for which the study was conducted and specifies the time period in which the information must be returned or destroyed. The term "organizations" includes, but is not limited to, Federal, State, and local agencies, and independent organizations. The University is not required to initiate the study or agree with or endorse the conclusions or results of the study.
- (6) To accrediting organizations in order to carry out their accrediting functions.
- (7) To comply with a judicial order or subpoena. A reasonable effort shall be made to notify the Student in advance of the Disclosure of the Record unless responding to a grand jury or other subpoena issued for a law enforcement purposes that specifies that the Student not be informed of the subpoena, or unless responding to an ex parte court order obtained by the office of the United States Attorney General concerning an investigation or prosecution of an offense listed in 18 U.S.C. 2332b(g)(5)(B) or an act of domestic or international terrorism specified in 18 U.S.C. 2331.
- (8) To appropriate parties, including but not limited to parents, law enforcement agencies, University Officials, next-of-kin, emergency contacts, spouse/partner, or other institutions, when there is an articulable and significant threat to the health or safety of the Student or any other person(s), and the Disclosure of the information is necessary to protect the health or safety of the Student or other persons. In making a determination about whether this exception applies, the University may take into account the totality of the circumstances pertaining to a threat to the health or safety of a Student or other individuals. Under this provision, the University may disclose Personally Identifiable Information to any person whose knowledge of the information is necessary to protect the health or safety of the Student or other individuals, including Disclosure to persons who may be able to provide necessary information about the situation. The University must record the articulable and significant threat that formed the

basis for the Disclosure, and the identities of the persons to whom the information was disclosed, and must maintain that information with the Student's Records.

- (9) To Students requesting their own Records. With the exception of information from Records specified in Section III.B.2, UCLA must disclose Student Records or components thereof upon appropriate authentication of identity to Students who request information from their own Records.
- (10) To the alleged victim of an alleged forcible or nonforcible sex offense, as defined in 34 CFR 668.46(c)(7). The scope of the information to be provided is UCLA's final determination with respect to the alleged sex offense, and any sanction that is imposed against the alleged offender.
- (11) To any person, information concerning sex offenders and other individuals, where the information as provided to the University under the Jacob Wetterling Act (federal sex offender registration and Disclosure requirements).

b. Redisclosure of Personally Identifiable Information

Any Disclosure of Personally Identifiable Information which is permissible under this policy must meet the following requirements:

- (1) The recipient of the information must be informed that the information may not be further disclosed without written consent of the Student. Any consent form obtained from the Student must be maintained in the Student's file.
- (2) The recipient (including the officers, employees, and agents of the party of the recipient) may use the information only for the express purposes for which the Disclosure was made.

These requirements do not apply to Disclosures made pursuant to court orders or to lawfully issued subpoenas or to Disclosures to a Student under Section III.B, Section III.E.3.a, or to Disclosures of Public Information under Section III.E.1.

Notwithstanding the above, a party that receives a court order or lawfully issued subpoena for Personally Identifiable Information in Student Records may redisclose that information in compliance with the court order or subpoena, but must provide the notification required under section III.E.3.a.

c. Requests to Forward Academic Records

UCLA may forward appropriate Student Records, including academic Records, disciplinary Records, and other Student Records, to other educational institutions in which a Student seeks or intends to enroll, or is currently enrolled, so long as the Disclosure is for purposes related to the Student's enrollment or transfer. UCLA will either provide annual notification of this Disclosure policy to Students (see Section III.A.), or else a reasonable attempt will be made to provide notification to individual Students about whom information is disclosed.

When Students request that their academic Records be forwarded to other institutions, Students may be required to pay all fees and charges due UCLA before the Records are forwarded.

d. Authentication of Identity of Person to Whom Disclosure is Made

UCLA must use reasonable methods to authenticate the identity of any parties to whom Disclosure of Personally Identifiable Information is made, including but not limited to parents, University Officials, and Students who are requesting their own Records.

F. Record Keeping Requirements Regarding Requests for and Disclosure of Information

1. UCLA shall maintain Records, kept with the Student Records of an individual, which indicate:
 - a. The parties who have requested or obtained Personally Identifiable Information from Student Records;
 - b. The legitimate interest these parties had in requesting or obtaining the information; and

- c. The date of the requests for the information and the dates of the Disclosure of the Records.
2. A Record of Disclosures is not required for:
 - a. Disclosures to Students of their own Records;
 - b. Disclosures pursuant to the written consent of a Student, when the consent is specific with respect to the party or parties to whom the Disclosure is to be made;
 - c. Disclosures to University Officials under Section III. E.3.a.(1);
 - d. Disclosures of Public Information; or
 - e. Disclosures made pursuant to court order or subpoena, and the Student has been notified in advance of compliance with the order or subpoena to the extent required by III.E.3.a.(7).
3. The Record of Disclosures may be inspected:
 - a. By the Student;
 - b. By the University Official and his or her assistants who are responsible for the custody of the Records; or
 - c. For the purpose of auditing the Record keeping procedures of the campus, by the parties authorized in and under the conditions set forth in Sections III.E.3.a.(1) and (2).
4. Student Records are subject to mandatory disposition schedules contained in the *UC Disposition Schedules*, with the following exceptions:
 - a. Student Records shall be retained if there is an outstanding request to inspect and review them (see also Section III.B.1.e);
 - b. Explanations placed in the Student Record of an individual seeking to correct the Record shall be retained as long as the contested portion of the Record is retained; and
 - c. The Record of access shall be retained as long as the Student Record to which it relates is maintained by UCLA.

G. Procedures for Seeking the Correction of Student Records

1. Request for Correction of Records

Students shall be entitled to a response to reasonable requests for explanations and interpretations of the Records as specified in Section III.B. of this policy. If they believe information contained in their Student Records is inaccurate or misleading, or otherwise in violation of their right of privacy as provided in this policy, they may request of the UCLA Official responsible for maintaining the Records that their Records be corrected (see UCLA Procedure 220.1). If their request is granted, the Records shall be corrected within a reasonable period of time following receipt of the request. If their request is denied, they shall be informed of the refusal and advised of their right to a hearing.

2. Hearing Procedures

UCLA Procedure 220.1 describes the procedures to be used for responding to grievances regarding challenges to the content of Student Records when a request for the correction of Student Records has been denied. Following are key provisions of this procedure:

- a. The hearing shall be held within a reasonable period of time after it has been requested, and the Student shall be notified of the date, place, and time reasonably in advance of the hearing;
- b. The hearing shall be conducted by a hearing officer who has no direct interest in the outcome of the hearing and who may be a campus administrator;
- c. Students shall be afforded a full and fair opportunity to present evidence relevant to the issues raised under Section III.G, and may be assisted or represented by individuals of their choice, at their own expense;
- d. The decision rendered shall be made in writing within a reasonable period of time after the

conclusion of the hearing; and

- e. The decision shall be based solely on the evidence presented at the hearing and shall include a summary of the evidence and the reason for the decision.

If, as a result of the hearing, University Officials decide that the information in question is inaccurate, or misleading, or otherwise in violation of the privacy rights of the Student, the Record shall be corrected accordingly and the Student informed in writing of the action taken.

If, as a result of the hearing, University Officials decide that the information in question is not inaccurate or misleading, or otherwise in violation of the privacy rights of the Student, the Student shall be informed of his or her right to insert into the Record a statement commenting upon the information in the Record and/or setting forth any reasons for disagreeing with the decision to leave the Record unchanged. This statement shall remain a permanent part of the Record as long as the contested portion remains a part of the Record, and it shall be revealed to any party to whom the contested portion is revealed.

3. Request for Correction of Grades Given in a Course of Study

Grades given in a course of study, including written evaluations which reflect institutional judgments of the quality of a Student's academic performance in a course of study, are not subject to challenge under Section III.G. (See Section 114.00 of the University of California Policy Applying to Campus Activities, Organizations, and Students).

4. Records Concerning Disciplinary Action

Whenever any information is included in any Student Record concerning any disciplinary action taken by UCLA personnel in connection with the Student, the Student shall be allowed to include in the Record a written statement or response concerning the disciplinary action. A Student may not request a change in the underlying disciplinary decision through this process.

H. Alleged Violation of Privacy Rights

Any alleged violation of privacy rights as provided by this Policy, other than those rights specified in Section III.G., relating to the content of Student Records, may be grieved pursuant to Section 111.10 of the University of California Policy Applying to Campus Activities, Organizations, and Students

See UCLA Procedure 220.1 for procedures to be used for Student grievances regarding violation of FERPA or University policies on privacy rights applying to Disclosure of Student Records.

Complaints regarding alleged violations of the rights accorded Students by FERPA may be filed with the Family Policy and Regulations Office, U.S. Department of Education, Washington, D.C. 20203.

IV. DEFINITIONS

Attendance means "Registered (fees paid) and enrolled", as specified in this policy, and is equivalent to the term "attendance" as used in FERPA. UCLA uses "Registered (fees paid) and enrolled" rather than "attendance" as a measure of Student status.

Disclosure means to permit access to or the release, transfer, or other communication of Personally Identifiable Information contained in a Student Record by any means, including, but not limited to, oral, written, or electronic means. Disclosure to the party identified as the party that provided or created the Record does not constitute a Disclosure for purposes of FERPA.

Financial Aid means the provision of financial resources to Students, based on the strength of their academic achievements, or on the strength of their financial need, or on a combination of the two.

Legitimate Educational Interest means:

1. The information or Record is relevant and necessary to the accomplishment of some task or determination; and

2. The task or determination is an employment responsibility for the inquirer or is a properly assigned subject matter for the inquirer.

A University Official is determined to have a Legitimate Educational Interest in a particular Record if the information requested is relevant and necessary for that official to:

1. Perform a task or determination that is an employment responsibility or is a properly assigned subject matter for the inquirer;
2. Perform a task that is related specifically to the official's participation in the Student's education;
3. Perform a task that is related specifically to the discipline of the Student; or
4. Provide a service or benefit relating to the Student or Student's family, such as health care, counseling, job placement, or Financial Aid.

Reasonable physical, technological or administrative methods must be used to ensure University Officials obtain access to only those Student Records in which they have Legitimate Educational Interests.

Personally Identifiable Information means any information that identifies or describes a Student. It includes, but is not limited to:

- a Student's name;
- the name of a Student's parent or other family members;
- the address of a Student or Student's family;
- any personal identifier such as a Student's social security number, Student number, or biometric Record;
- other indirect identifiers such as the Student's date of birth, place of birth, and mother's maiden name;
- other information that, alone or in combination, is linked or linkable to a specific Student that would allow a reasonable person in the campus community, who does not have personal knowledge of the relevant circumstances, to identify the Student with reasonable certainty; or
- information requested by a person who the University reasonably believes knows the identity of the Student to whom the Record relates.

Personally Identifiable Information is divided into two categories:

- Public Information, which may be disclosed to any party without the prior written consent of the Student to whom the information pertains, except as specified in Section III.E.1; and
- Confidential information which may not be disclosed to any party without prior written consent of the Student to whom the information pertains, except as specified in Section III.E.3.

Public Information means information contained in a Student Record that would not generally be considered harmful or an invasion of privacy if disclosed. UCLA is required to give public notice of the categories of Personally Identifiable Information that have been designated by the campus as Public Information (see Section III.E. for more information).

Record means any information recorded in any way, including, but not limited to, handwriting, print, computer media, video or audio tape, film, microfilm, and microfiche.

Student means an individual for whom UCLA maintains Student Records and who:

1. is registered (fees paid) and enrolled in class in an academic program of the University as of the 1st day of the term of the respective academic calendar; or
2. has completed the immediately preceding term, is not presently enrolled, and is eligible for re-enrollment; or
3. is on an approved educational leave or other approved leave status, or is on filing-fee status.

Student Records means those Records that contain information directly related to a Student and that are maintained by UCLA, by the Office of the President, or by any organization authorized to act on behalf of UCLA.

Student Records include, but are not limited to, academic evaluations, including Student examination papers, transcripts, test scores and other academic Records, general counseling and advising Records, disciplinary Records, and Financial Aid Records, including Student loan collection Records.

The term “Student Records” as used in this policy is synonymous with the term “education records” in FERPA.

The term “Student Records” *does not* include the following Records, and therefore such Records are not governed by this policy, except as described below in number 4, Health Records:

1. Records of instructional, supervisory, and administrative personnel and educational personnel ancillary to those persons, which:
 - a. Are kept in the sole possession of the maker of the Record; and
 - b. Are not accessible or revealed to any other individual, except to an individual who performs on a temporary basis the duties of the individual who made the Record.
2. Campus Police Records which are created and maintained by campus police solely for law enforcement purposes.
3. Employment Records, when UCLA employment did not result from and does not depend upon the fact that an individual is a Student at the University, provided that the employment Records:
 - a. Relate exclusively to the individual in that individual's capacity as a UCLA employee; and
 - b. Are made and maintained in the normal course of business; and
 - c. Are not available for use for any other purpose.

All Records relating to a Student who is also an employee of UCLA are included in the definition of Students Records, if the Student's employment is contingent upon the fact that he or she is a Student. For example, work-study program Records are Student Records.

4. Health Records which:
 - a. Are created or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in his or her professional or paraprofessional capacity, or assisting in that capacity;
 - b. Are created, maintained, or used only in connection with the provision of treatment to the Student; and
 - c. Are not disclosed to anyone other than individuals providing the treatment, except that the Records may be personally reviewed by a physician or other appropriate professional of the Student's choice.

For the purpose of this definition, “treatment” does not include academic and career advising, tutoring, disability management counseling, or any activities which are part of the program of instruction offered by UCLA.

These are commonly referred to as “treatment Records”. Despite the fact that “treatment Records” fall outside the definition of Student Records, they may only be disclosed for treatment purposes, or under the conditions that apply to Student Records under Section III.E. of this policy. In addition, please note that “treatment Records”, like Student Records, are not subject to the HIPAA Privacy Rule's restrictions on use and Disclosure.

5. Applicant Records of individuals who do not enroll in or register with an academic program of UCLA. If and when applicants become Students, their applicant Records become Student Records, which are then accorded the same privacy rights as any other Student Records governed by this policy. Insofar as applicant Records are not Student Records, they are governed by the privacy protections found in the California Information Practices Act (Civil Code §1798 et seq.).
6. Records (i.e., alumni Records) created or received by UCLA after an individual is no longer a Student, and that are not directly related to the individual's Attendance as a Student.

University Official means any individual designated by the University of California to perform an assigned function on behalf of the University (including UCLA). A University Official may be:

1. A person employed by the University in an administrative, supervisory, academic research, or support staff position;
2. A person serving on a University governing body;
3. A contractor, consultant, volunteer or other party to whom the University has outsourced institutional services or functions provided that the outside party performs an institutional service or function for which the University would otherwise use employees; the outside party is under the direct control of the University with respect to the use and maintenance of Student Records; and the outside party may not disclose the information to any other party without the Student's consent, and may not use the information for any purpose other than the purpose for which the Disclosure was made; or
4. A Student serving on an official committee, such as disciplinary or grievance committee, or assisting another University Official in performing his or her tasks.

Issuing Officer

/s/ Janina Montero

Vice Chancellor, Student Affairs

**Questions concerning this policy or procedure should be referred to
the Responsible Department listed at the top of this document.**
