MIDDLE TENNESSEE STATE UNIVERSITY

Office of Compliance and Enterprise Risk Management

FERPA Case Investigation Process

I. NOTIFICATIONS

For any incident involving the Family Educational Rights and Privacy Act ("FERPA") related to the unauthorized disclosure of student educational records, the following University offices must be notified:

1. Office of the Registrar
2. Office of University Counsel
3. Office of Compliance and Enterprise Risk Management
4. Information Technology Division ("ITD")
5. Office of the Provost (for incidences or cases related to Academic Affairs)
6. Supervisor of individual who allegedly made the unauthorized disclosure

II. INVESTIGATION PROCESS

The investigation of FERPA incidences, and specifically the unauthorized disclosure of student educational records, is performed by the Office of Compliance and Enterprise Risk Management ("Office of CAERM").

A. Time-Frame and Confidentiality

1. The Office of CAERM will conduct an adequate, reliable, and impartial investigation of any allegation of unauthorized disclosure of student educational records in a reasonable, and timely, manner. The complaining student will be contacted within 48 hours of the allegation to discuss the issues presented.

2. If an investigation is required, interviews with individuals and the department, as well as documentation may be required to determine a final disposition of the disclosure.

3. The investigation of a student's FERPA case by the Office of CAERM shall be kept confidential, and shall only involve individuals, including staff, administrators, and faculty, who have a legitimate educational need to know about the student's case or its details.

B. Summative Report

1. A summative report will be issued by the Office of CAERM at the conclusion of the investigation with review and acceptance by any one of the following individuals:

a. University Provost
b. Vice President for Business and Finance

A copy of the summative report will be provided to the Office of University Counsel upon acceptance by the individuals in B(1)(a) or B(1)(b) above.

2. The appropriate supervisor will be notified of the summative report and final disposition, and a final interview will be scheduled with the effected student.

C. Training

The Office of CAERM, in collaboration with the Office of University Counsel and other departments as needed, will provide and/or schedule additional training on FERPA for the individual or department that committed the unauthorized disclosure of student educational records. Other remedial/corrective action may be determined by the individual's or department's supervisor/Dean/Chair/Vice President.

D. Appeals

If the student is dissatisfied with the determination by the Office of CAERM, the student may appeal with the Office of the Provost and/or the University President within fifteen (15) business days of the investigation's final disposition meeting between the student and the Office of CAERM.

On appeal, the determination of the Provost and/or the University President shall be final.