



# UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES

4301 JONES BRIDGE ROAD  
BETHESDA, MARYLAND 20814-4799  
www.usuhs.edu



July 25, 2022

## SUBJECT: Student Academic Files

### Instruction 1316

(OUR)

#### ABSTRACT

This instruction assigns the responsibilities and prescribes the procedures to be followed to define the official student academic file content for students at the Uniformed Services University of the Health Sciences (USU).

**A. Reissuance and Purpose:** This Instruction cancels PPM-014-2017 “Policies and Procedures on the Maintenance and Release of Student Academic Records” (*Reference (a)*) and describes the security measures used for storage of paper and electronic student records for all USU applicants and students earning University credit. Furthermore, the Instruction dictates the procedures for the centralization of the student record and the release of these records to students, alumni, and third parties that supports the Middle States Commission on Higher Education Standard IV; Support of the Student Experience, Criteria 3: “procedures for safe and secure maintenance and appropriate release of student information and records”(Reference h).

**B. Reference.** *See Enclosure 1.*

**C. Applicability:** This policy applies to all USU Schools and Colleges. The student population includes applicant and matriculated students into degree and certificate programs. This Instruction does not apply to shared military educational service facilities or their regulations for student records.

**D. Policy:** It is USU policy to properly identify and maintain all official student records throughout the student academic life cycle in compliance with the Office of the Secretary of Defense’s Records and Disposition Series 1900 (*Reference (b)*) and DOD 5400.11-R “Department of Defense (DoD) Privacy Program” (*Reference (c)*) for access to the student record. Official student records include admissions and academic activities of the student which are coordinated by the Office of the University Registrar (OUR) under the authority of the Administrative Support Division (ASD) following Instruction 5015 (*Reference (d)*). Student records are confidential and available only to those members of the USU faculty and administration with a need to know, unless released by the student or as otherwise governed by laws concerning confidentiality (*Reference (f)* and (*g*)).

Temporary student documents (paper documents) such as advising notes, committee minutes, and classroom materials for the student will utilize file Series 1901-01, 1901, 1901-06, & 1901-08 by the students’ School/College. Matriculated and non-matriculated student documents will be centralized by OUR using Series 1901-03 and 1901-05. USU student file management within

the student information system (SIS), which is maintained by OUR, will follow DoD Instruction 8510.01 (*see Reference (i)*) for the secure usage and maintenance of all corporate data bases that are used for academic record keeping on every campus, and the Office of Secretary of Defense Records Disposition Schedules for retention and disposal (*see Reference (e) through (g)*).

a. Student File Categories

1) Non-Matriculated Student Files (Series 1901-05). This records series stores applicant records who were admitted but never matriculated into a USU program, applicants who did not successfully meet all entrance requirements, and those who chose to withdraw during the application process. OUR will follow the document order outlined below for naming convention and data retrieval standards. The disposition date is determined based on the five-year date of non-matriculation.

- a) Admissions application
- b) College transcripts/JST
- c) Letters of recommendation
- d) Test scores
- e) Resume
- f) License
- g) Statement of purpose
- h) Addendum/Evidence-based sample

2) Matriculated Student Files (Series 1901-03). This records series incorporates the unique admissions criteria collected in series 1901-05 with academic records based on the student experience during attendance at USU. OUR will follow the document order outlined below for naming convention and data retrieval standards. The disposition date of 50 years is determined based on the date of graduation, transfer, withdrawal or death of the student.

- a) Admissions application
- b) College transcripts/Joint Service Transcript (JST)
- c) Letters of recommendation
- d) Test Scores
- e) Resume
- f) License

- g) Statement of purpose
  - h) Addendum/Evidence based sample
  - i) Transfer credit evaluations and equated USU coursework
  - j) Student request to view their record or consent for record disclosure
  - k) Registration changes
  - l) Course cancellations (prior to the first day or class) and course withdrawal (after the class begins)
  - m) Narrative evaluations
  - n) Competency assessments and clinical hour totals
  - o) Student name, address, or other demographic data change
  - p) Request for USU transcript or degree verification
  - q) Grade change and incomplete grade contract
  - r) Degree audit used to award USU degree: includes course substitutions, waivers and/or stipulations beyond the published catalog criteria
  - s) Notifications of leaves of absence or other breaks in attendance
  - t) Student Promotion Committee notices and decisions
  - u) Letters and conditions of dismissal from USU
  - v) Buy-out letter documenting tuition owed to the Service
  - w) Copy of USU diploma when degree is issued
  - x) External request or subpoena to review a student record
- 3) Student Promotion or Comparable Committee (SPC) Files (Series 1901-01). This records series stores originals or proceedings of SPC on proficiency, deficiency, graduation, deceleration and/or dis-enrollment as well as other student matters. The disposition date of 50 years is determined based on the date of graduation, transfer, withdrawal or death of the student.
- 4) Student Exam, Teacher, and Coursework Preparation Files (Series 1901-06). This records series stores materials concerning class activities such as but not limited to the course syllabus, lab sheets, testing and curriculum materials. The disposition date is determined when no longer needed for reference.

5) Advisor/Instructor Individual Student Files (1901-08). This records series stores files kept for the convenience of the staff, consisting of materials duplicated in, or not appropriate for inclusion in, the official academic file or other series described elsewhere in this instruction. The disposition date is determined upon graduation, transfer, withdrawal or death of the student.

**E. Procedures:** OUR coordinates student files in non-matriculated OSD Series 1901-05 and matriculated student files in OSD Series 1901-03. The Schools/Colleges manage the other Series 1901 categories outlined within this Instruction. The following guidelines have been established for submitting official student record documents for file Series 1901-03 and 1901-05 to OUR for a centralized student record that is viewable for 50 years and procedures for the release of the official student academic record:

- a. Admissions representative from the student's School/College forwards documents used for acceptance within 60 days from admission;
- b. School/College forwards any significant academic actions to OUR throughout the student's career at USU and utilizes the centralized system for future reference thus removing duplicate records;
- c. OUR records any student request action directly to the student file for future reference;
- d. OUR will issue a student or alumni an official transcript and the Medical Performance Evaluation (MSPE) free of charge with proper written release requirements;
- e. USU administrators may request a copy of the student transcript should they not have access to the student information system for official use with written authorization;
- f. OUR will be the USU authority to verify attendance and degree completion;
- g. OUR will provide relevant student information or a transcript for background and security investigators with a document release waiver.

**F. Responsibilities:**

1. ASD Director:

a. Directs and administers the Records Management Program to oversee the operation of the records management and its disposition for the University. The records disposition program provides life-cycle management of all USU records, regardless of format or content, from creation to destruction for temporary materials and transfer permanent records to the National Archives and Records Administration (NARA) for retention.

b. Ensures the management of USU records is in compliance with IA-15 *Reference (f)* by conducting annual Records Management audit.

2. Assistant Vice President for Academic Records/OUR:

a. Directs the coordination, identification, and modification of the students' records in accordance with OSD Record Series 1901-03 and 1901-05 and upholds DoD 5400.11-R "DoD Privacy Program" (*Reference (c)*) for access to the official student record.

b. Directs the electronic file security for all active and inactive students receiving University credit. Redirects inactive student files within the centralized OSD 1900 Records Series to ensure reduced viewing access throughout the University as well as initiating the respective disposition timeline.

c. Ensures the security of active electronic student records by granting view only access on the need to know basis in accordance with the AI-15 (*Reference f*).

d. Directs the student's right to review their educational record after receiving a formal written request and arrange a time and location where the records may be inspected. Coordinates the student's right to request an amendment to their educational record that they feel is misleading; any amendments are made at the discretion of the University.

3. Deans of Schools and Colleges:

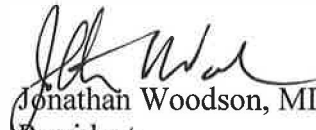
a. Directs staff to comply with MSCHE accreditation and USU policy on centralized student records Series 1901-03 and 1901-05 in a timely manner.

b. Directs staff to maintain Student Promotion Committee (SPC) original documents and minutes including unique student details that are not required for the official student record managed by OUR with OSD Records Series 1901-01 and follow OSD's disposition schedule.

c. Directs staff to maintain Coursework Preparation Files with OSD Records Series 1901-06 as needed and destroy them when no longer required for reference based upon its disposition instruction.

d. Directs instructors, advisors, and staff to maintain all convenience copies of individual student records that do not belong in the official student record with OSD Record Series 1901-08 and follows its disposition instruction. The OSD disposition must be implemented when the student departs or their documentation is forwarded to OUR for future reference using the centralized OSD Series 1901-03.

**G. Effective Date:** This Instruction is effective immediately.

  
Jonathan Woodson, MD, MSS, FACS  
President

Enclosure:

1. References

**REFERENCES**

- (a) PPM-014-2017, "Policies and Procedures on the Maintenance and Release of Student Academic Records and Information," dated February 10, 2017 (hereby cancelled).
- (b) Office of the Secretary of Defense's Records and Disposition Series 1900.
- (c) DOD 5400.11-R "Department of Defense Privacy Program" dated May 8, 2007.
- (d) USU Instruction 5015, "USU Records Management Program," dated November 8, 2010.
- (e) Administrative Instruction #15, "OSD Records and Information Management Program," dated May 3, 2013, Incorporating Change 2, November 17, 2020.
- (f) Office of the Secretary of Defense, Records Disposition Schedules, formally AI-15, Volume II, June, 2019.
- (g) DoD Instruction 8510.01, "Risk Management Framework for DoD IT," dated December 29, 2020.
- (h) Middle States Commission on Higher Education, Standard IV-Support of the Student Experience.