

2012

Missouri State University

Professional Education Unit/COE

[PEU/COE DOCUMENT RETENTION POLICY]

This document summarizes the policies and procedures used to store confidential student and administrative documents housed within the Professional Education Unit and the College of Education.

Document Retention Policy Professional Education Unit/COE

The purpose of this document is to describe in detail the Professional Education Unit (PEU) and COE policies regarding the retention of documents pertaining to student and other data. This policy was reviewed and revised Fall 2011 and has been submitted to the COE Administrative Council and the Professional Education Unit (PEU) for review.

Missouri State Policy: Before determining the documentation retention policies for the PEU, the Missouri State policy was reviewed. According to Kim Bell in Enrollment Services, any official paper document received by the Admissions or Registrar's Office is placed in the student's credential folder and is then stored for 4 years past the date of graduation. At that time, the file is destroyed. According to Kim Bell, while there have been attempts to formulate a campus-wide Document Retention Policy, as of Fall 2009 no policy has been approved. Therefore, according to Kim Bell once data from an official report (Praxis, CBase, Background check, etc) has been entered into Banner, any paper document should then be destroyed. Unless we can guarantee that the paper documents are being securely stored and cannot be accessed by unauthorized faculty, staff or students, it is more of a liability issue to store the documents than to shred them.

In general, Missouri State policy should follow the official State of Missouri policy as described on the following website: <http://www.missouristate.edu/procurement/30784.htm>

Praxis II

Banner Test Score Entry: Yes

Current Practice: Praxis II data is delivered to Missouri State on a CD that is then downloaded to the Missouri State database (Banner). A paper roster with all Praxis II data is also received. Once downloaded, the cd's are delivered to the COE – Student Services Office in Hill200. The contents of those CD's are downloaded to a secure electronic folder on the FOX server and the CD is then destroyed. The paper roster is stored in a binder in the Professional Education Advisement Center by test date. This paper roster is locked in a secure cabinet.

If a student's score report is not received by Missouri State, the student can print their score report from the Praxis II website and provide that printout to the Professional Education Advisement Center or the Teacher Certification Office. That overall score and all sub-scores will then be manually entered into Banner and the individual score report will be scanned and stored electronically in the BDMS system under the student's M-Number. The paper copy will then be shredded.

Summary Reports/Delete Rosters: A yearly summary report/Delete Roster is sent from ETS via US mail in both CD and paper form. Both paper roster and CD are delivered to Institutional Research where the scores are verified and Praxis II is updated. Both Paper roster and CD are then returned to the COE-Student Services Office in Hill 200. Data from the CD will be stored

on the secure FOX server and then destroyed. Paper summary reports will be stored for a period of 7 years (NCATE cycle) in a secure file cabinet in the Professional Education Advisement Center.

C-Base Exam Data

Banner Test Score Entry: Yes

Current Practice: Missouri State receives a paper report on each individual student, a test summary for each test date broken down by section, and a CD with all C-Base Data. All paper reports prior to fall 2010 are being stored in a secure location by the Professional Education Advisement Center and will be shredded after the current NCATE visit in 2011. All C-Base CD's are downloaded into Banner and the data is copied to the secure FOX server and destroyed.

Beginning Fall 2010, each individual paper score report is being scanned and uploaded to BDMS by student M-Number and then shredded. All CD's are then copied to the secure FOX server and destroyed. Missouri State also receives an "Expiration Forecast" report which is filed in a separate binder and stored in a secure location in Hill 202. Individual test scores are kept in BDMS as an advising tool. If a student is struggling to pass a section of the CBase, the advisor can review their sub-scores in BDMS and use that information to advise the student how to better prepare for the next test.

Student Contracts and Professional Disposition Checklists

Banner Test Score Entry: Yes

Current Practice: The staff from the Professional Education Advisement Center and the Director of Secondary Education currently visit each EDC150 (and program equivalent) course each semester and review both the Student Contract and Professional Disposition Checklist with the students. Those documents are then signed by the students and collected by the staff.

Student Contracts: For ECE, ELE, MID and SPE programs (including undergraduate and post-bac students), the Professional Education Advisement Staff makes an entry into the Banner "TEST" screen indicating the date the contract was signed, and then scans the original document into the campus BDMS system under the student's M-Number. The original document is then destroyed. For all Secondary and K-12 programs, the Director of Secondary Education makes an entry into the Banner "TEST" screen and then stores the original contracts in the Secondary Education office. When the Secondary Education Director is unable to attend an EDC150 class meeting, the Advisement Center staff collects the contracts, makes the Banner entries and delivers the originals to the Secondary Education Office.

Professional Dispositions Checklists: For ECE, ELE, MID and SPE programs (including undergraduate and post-bac students), the Professional Education Advisement Staff collect the signed form from the student, makes an entry into the Banner "TEST" screen, and then scans the original document and uploads it to the campus BDMS system under the student's M-Number. The original document is then shredded. For all Secondary and K-12 programs, the

Director of Secondary Education makes an entry into the Banner “TEST” screen and then stores the original contracts in the Secondary Education office. When the Secondary Education Director is unable to attend an EDC150 class meeting, the Advisement Center staff collects the disposition checklists, makes the Banner entries and delivers the originals to the Secondary Education Office.

Recommended Changes to Policy: Procedure for scanning, uploading and shredding all original documents should be adopted by the Secondary Education Office. A new system is also under development which will allow students to read both documents online through My Missouri State, sign them electronically and then submit them. When submitted, a TEST score entry will automatically be made. This will completely eliminate the use of paper forms.

Professional Dispositions Referral Forms and Contracts

Current Practice: When a faculty or staff member has a concern regarding the professional dispositions of a teacher education candidate, that individual will complete a Professional Dispositions Referral Form. That form is then submitted to the Program Coordinator who will then work with the Department Head of the department of the student’s major. All paperwork regarding the professional disposition, including referral forms and disposition development plans will be stored in a secure location in the department of the student’s major.

In addition, when a student has a professional disposition issue a TEST score entry will be made in Banner using the Transition Points system. Once the issue has been cleared, the banner entry will be removed allowing the student to proceed through Transition Points.

Documentation of Professional Dispositions should be kept in the Departmental Office for a period of 5 years after the student has graduated from Missouri State.

Recommended Changes: Students with disposition issues and those who are allowed to graduate non-certifiable need to be tracked in a central location so that data can be gathered regarding these students. Currently, the Student Services Office is attempting to gather this data with mixed results. If academic departments could send a copy of the file to the Student Services office upon graduation, we could track these students more affectively.

Student Advisement Files in Education Advisement Center

Current Practice: Each student advised by the Professional Education Advisement Center currently has a paper file in the Advisement Center. That file contains:

- Advising Notes (taken during and advising session)
- course sequencing worksheets
- course descriptions for transfer courses
- degree program applications
- copy of re-evaluation/substitute forms
- Other data needed to advise students.

Advising notes are then summarized in the Advising Notes section of My Missouri State. All current student files are kept in a secure cabinet in the Professional Education Advisement Center, Hill Hall 202. When a student graduates, any relevant documentation is scanned into BDMS under the student's M-Number and all paper files are shredded.

Student Files in the Teacher Certification Office

Current Practice: Every post bac or graduate-level student pursuing teacher certification or counseling certification has a file in the teacher certification office. Those files are kept in a secure file cabinet in the Teacher Certification Office. Advisors and administrative staff are also required to store any file currently being worked on in a locked file drawer in their desk. No confidential information should be left unattended. These files contain the following:

- Application for Admission and Post Bac Transcript Analysis
- Official transcripts for every institution attended
- Transcript Analysis
- Copy of paperwork for Provisional Certificates, teacher's aide rule credit, etc.
- Course descriptions for courses taken at other institutions
- Course sequencing worksheet and any other data needed to advise students

Advising notes are currently being kept in the Banner Database in the Advising Notes section. Advising notes are not kept in the individual student files.

Once a student either completes their program or has been inactive for a total of 3 years, their file is removed from the student files. If the student has completed their program, the file is scanned and stored on a secure server and is backed up daily. If the student is inactive for a total of 3 years, the file is shredded and a note is made in the Teacher Certification Database.

Liability Insurance

Banner Test Score Entry: Yes

Current Practice: Every student enrolled in a Professional Education course which contains a practicum or student teaching component is required to have current Pre-Professional Liability Insurance on file with Missouri State. Students may choose to use their own private insurance if available, but are encouraged to utilize Pre-Professional Liability Insurance offered by both MSTA and NEA.

Private Insurance: The student provides a copy of their insurance information via fax, email or in person verifying that it does include professional liability insurance and the expiration date of that insurance. The Educational Field Experiences Office staff makes a copy of that information, enters the data into the Banner "TEST" screen and then scans and uploads the copy into BDMS. All paper or electronic copies are then shredded/deleted.

MSTA: The student calls MSTA at 1-800-392-0532 to enroll via the phone and pay with a credit card. The student will then provide a copy of the email confirmation to the Field Experiences Office staff. The staff then enters the data into the Banner "TEST" screen and uploads the confirmation to BDMS.

NEA: The student must apply online for insurance through NEA. The student then emails verification of their insurance to the Educational Field Experiences Office. The staff will enter the data into the Banner “TEST” screen and then upload the confirmation to BDMS.

TB Skin Test Results

Banner Test Score Entry: Yes

Current Practice: Every student enrolled in a Professional Education course which contains a practicum or student teaching component is required to have a current (within 1 year) negative result on a TB Skin test on file with Missouri State. If they are not able to have a TB skin test, we will also accept a negative result on a chest X-Ray. Students may choose to use their own private physician for the test, or may utilize Taylor Health Center for the test.

Students are required to fax, email or deliver a negative TB skin test result to the Educational Field Experiences Office. The staff will then make a copy of that test result. An entry is made into the Banner “TEST” screen showing that they have “met the TB Skin Test requirement and the date that test expires. Banner does not indicate whether or not they have a positive or negative result for HIPPA reasons. However, no entries are made in Banner unless the result is negative. Because many out of area schools require a copy of the students’ TB skin test results before accepting a student teaching placement, a copy of their results is scanned and stored electronically on the secure FOX server. Those files are backed up daily by Computer Services. A copy is not available in BDMS due to HIPPA regulations.

Family Care and Safety Registry (FCSR) Results

Banner Test Score Entry: Yes

Current Practice: Every student enrolled in a Professional Education course which contains a practicum component is required to have a current FCSR background check on file. Students register online with FCSR during their initial practicum course (ELE/SEC302 or equivalent) and will email the Educational Field Experiences Office with verification that they are registered. The staff will then run the FCSR background check and make an entry in the Banner TEST screen indicating the semester that background check is valid. Each semester the student is in a course that contains a practicum, the Educational Field Experiences staff will run a new check.

FCSR background checks are run, the Banner TEST screen is updated, and those with no findings are then electronically uploaded to BDMS by student M-Number. Those with “findings” follow the process for background checks with findings. Since many students need a copy of their FCSR background check for the school where they are completing a practicum, a copy is stored in BDMS so it can be easily printed for the student.

FBI Background Check Results

Banner Test Score Entry: Yes

Current Practice: Every student enrolled in a practicum of over 30 clock hours or student teaching at Missouri State is required to have a current FBI Background check on file with Missouri State prior to entering the classroom. Students complete the FBI Background check process and should include the ORI number for Missouri State University on their paperwork. If they do include the MSU ORI number, the Educational Field Experiences Office will receive an official copy of the FBI Background Check results once completed.

As soon as the student completes the FBI Fingerprinting process, they are asked to email, fax or deliver a copy of the receipt to the Educational Field Experiences Office. That receipt is verification that they have completed the fingerprinting process and their background check is "in process". At that time, the staff will enter the date the background check was initiated into the Banner "TEST" screen and will indicate that the check is "Pending". For students who have requested an out of area student teaching placement, that receipt is scanned and stored on a secure server to be included with their "Out of Area" packet. Paper copies for all students are scanned and uploaded into BDMS and then shredded.

The Educational Field Experiences Office receives FBI Background check results via US mail only for those students with a "finding" on their background check. Procedures for those results can be found below. For those with no findings, we do not receive a paper background check. Instead, Field Experiences staff checks the status of their background check on the student's DESE online profile. If their status shows as "cleared by DESE", we enter an expiration date in the Banner TEST screen. For out of area students, the staff also create an official FBI clearance letter for their out of area packet indicating they have been cleared. This packet is stored on the secure FOX server.

FCSR or FBI Background Checks "With Findings"

Current Practice: If the Educational Field Experiences Office receives either an FCSR or FBI Background check with a "finding" (a record of criminal history), the staff will follow established policy for handling students with a "finding" which can be found at the following website: <http://education.missouristate.edu/services/efe/clearances.htm> . Depending on the nature of the violation, this process may include additional documentation by the Director of Student Services, Department Head of the students major and the student. During the process, all documentation is stored in paper form in a secure file cabinet in the Director of Student Services Office. Once the student has completed the process, all documentation will be scanned and stored on the secure FOX server and all paper documentation will be shredded. At this time, this documentation will be stored on fox indefinitely.

Because these students may have additional background checks run in future semesters, a spreadsheet is maintained on the secure FOX server with the following information regarding every student that has a "finding":

- Name and M-Number

- Class Enroll in when the last check was run
- Certification Area pursuing
- Information regarding the finding and the final outcome

Out of Area Student Teaching Packets

Current Practice: Students requesting an Out of Area, Out of State or Out of Country student teaching assignment must complete a separate application process. In addition to the student teaching application, a folder is created on the secure FOX server for each student containing the following information:

- Student Teaching Application*
- Transcripts*
- Resume*
- Official FBI Clearance Letter*
- Philosophy of Education Statement*
- 3 Letters of Reference*
- TB Skin Test Results*
- MSHP Background Check indicating “no findings”*
- FBI Background Check Receipt/Results
- Out of Area request with Departmental Approval (also includes signed permission from student to share information with districts)

An * indicates items sent to school districts in an “e-packet”. This packet is sent via secure email system. Currently these packets are being stored indefinitely on the secure FOX server.

Student Teaching Applications and Materials

Current Practice: Since Fall, 2006 all student teaching applications have been submitted by students via E-Stars and are stored electronically in this secure computer system. Student Teaching files typically contain only the following items: Student Teaching Application, copy of MSU transcript, any notes relating to the placement process. Beginning in Fall 2010 E-Stars will have the capability of storing notes. Therefore, placement notes will also be retained in that system and paper files will no longer be necessary.

Notes regarding professional dispositions have in the past been stored in the Student Teaching folder. Those notes will be removed and will be stored per the Document Retention Policy for Professional Disposition documentation.

Student Teacher Document Storage

Current Practice: See attached document for “documents collected and storage recommendations” from ELE committee. Recommend adopting this policy

Official Correspondence between MSU and other entities

Current Practice: “Official Correspondence” between MSU and other entities would include any documentation of program changes sent to DESE and any official response regarding those changes received from DESE, NCATE approval documentation, Memorandums of Understanding and yearly MoSTEP, Title II and other official reports sent to DESE or other entities. These documents are currently kept indefinitely.

Program changes sent to DESE: The Director of Student Services – Certification Officer is responsible for sending all program changes to DESE. A copy of the program change is kept electronically on a secure server in the Student Services Office. In addition, a paper copy is sent to the program coordinator of the affected program.

Program change approval received from DESE: DESE typically sends notification of any decisions regarding program approval to both the Dean – College of Education and the Certification Officer. A copy of that letter is kept in both the Dean’s Office and in the Student Services Office along with the original program change documentation. In addition, a copy of the letter is sent to the program coordinator of that program for their records.

MoSTEP, Title II and other official reports: A designated member is responsible for submitting all official reports to DESE and other government agencies including the Department of Education and NCATE. Those reports are typically created electronically, but may be printed and mailed in paper format. In addition, spreadsheets and other reports containing supporting data are often generated in order to create accreditation reports. An electronic version of each report and all supporting documentation is saved electronically on the secure FOX server in a file named “Education Compliance Reports”. Access to this folder has been granted to a small list of individuals responsible for providing data or submitting these reports. Data for DESE/NCATE visits is stored on a secure Sharepoint Server.

Fiscal Records housed within COE

Current Practice: When storing financial records, all offices should follow the State of Missouri guideline of 3 years after the end of the fiscal year the expense was incurred or the income was received. Financial documents include the following:

- P-Card receipts, statements and log sheets. Housed at departmental level and with the COE budget coordinator
- Budget Sheets – Housed at departmental level and with the budget coordinator
- Travel Expense Reports – Original housed in Financial Services. Copies kept at departmental level.
- Invoices and Payment Requests – Originals kept at Financial Services. Copies kept at departmental level.
- Requisitions – Originals kept at Financial Services and within Banner Finance. Printed copies may be kept at departmental level.
- Money Received Log Sheets – Originals kept Financial Services. Printed or electronic copies may be kept at departmental level.

Minutes from PEU Committee Meetings

PEC Meetings: Meeting minutes are uploaded to the PEU website.

PEC Sub-Committees: Meeting minutes are uploaded to the PEU website. In addition, committees required to work with confidential information (student data, faculty/staff applications for PEU, etc. utilize a secure folder on the FOX server.

BSED Meetings: Meeting minutes are uploaded to the PEU website

BSED Sub-Committees: Meeting minutes are uploaded to the PEU website

COLLEGE OF EDUCATION RETENTION POLICIES

Minutes from COE Meetings

College Council – Minutes from College Council meetings are housed on the COE website

Administrative Council – Minutes from Administrative Council meetings are house on the COE website

Departmental Faculty or Staff Meetings – Minutes from faculty meetings are housed within the academic department and are available to faculty upon request.

COE Budget Committee Meetings: Minutes from COE Budget Committee Meetings are housed within the College of Education – Dean’s Office and are available to faculty and staff upon request.

Human Resources Records

Current Practice: Per State of Missouri policy, official documentation of employment history should be kept for 75 years from the date employment was ended. The official employment history for all Missouri State employees is housed in the Human Resources office. During a person’s employment at Missouri State, a Human Resources file should be kept in the departmental office where that person is employed. This departmental record may include copies of Position Authorization and Personnel Action Forms, performance evaluations, promotion and tenure documentation, leave statements and any other employment-related documentation.

When employment is ended, the departmental file should be maintained for an additional 5 years and then be destroyed. Upon termination of employment, any critical documentation not already sent to the Human Resources Office can be sent to be included in their permanent Human Resources record.

Search Records: Each time a search for a faculty or staff member is conducted, a copy of all documentation from that search must be kept at the departmental level for 2 years from the date of hire. Guidelines regarding what documents need to be maintained for each search can be found in the Guidelines for Hiring Executive, Administrative and Professional Staff handbook and the Guidelines for Hiring Faculty and Academic Administrators.

Seminar/Thesis Papers

Current Practice: Per Missouri State policy, seminar and thesis papers written by graduate students for completion of master's degree requirements should be permanently stored. Currently, seminar and thesis papers for the MAT program are being scanned and uploaded to the College of Education folder in BDMS by student M-Number. These documents will remain in BDMS indefinitely. Other graduate programs currently store these documents in the departmental office in secure file cabinets.

Recommendations: It is recommended that all academic programs in COE utilize the BDMS system for the storage of documents related to the admission and completion of master's degree programs.