

# C22.0 Records Management

Special thanks to Aaron McGowan for taking the lead on this.

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# Issues to be addressed

The Records Management Schedule in C22.0 was not identical to the Records Management Schedule on the Legal Affairs website.

# Goals

1. Eliminate the conflicts.
2. Streamline the policy.
3. Leave it better than we found it.

# Biggest Change

We removed the Management Schedule from the policy and replaced it with a reference to the Office of Legal Affairs website.

The deadlines for record retention is often dictated by laws that change. Legal Affairs is responsible for the policy. It was only logical to make them the official depository of the retention schedule.

# We called in Legal...

We asked them 2 questions:

1. Is it logical to delete the retention schedule and just let them be the contact point? They agreed.
2. Could the introductory information in the policy be checked for accuracy and possible stream-lined.

**THE LAWYERS ACTUALLY REMOVED WORDS!!!**

# Results

1. The introduction went from 6 pages to 4 pages.
2. The entire policy went from 12 pages to 4 pages.
3. All references are made to the Office of Legal Affairs website and their retention schedule.
4. **NO CHANGES** were made to any operational elements of the policy.

# Comments?

We welcome and encourage any suggestions or edits.

# Current proposed policy

## **C22.0 RECORDS MANAGEMENT POLICY**

### **1. Introduction**

This Policy seeks to ensure that RIT Records, especially those that are required for compliance with the law, are retained for a sufficient period of time. In addition, this Policy seeks to ensure that RIT Records which document the history of RIT are preserved.

This Policy should be read together with the other policies of RIT. RIT's policies are available online at [www.rit.edu/policies](http://www.rit.edu/policies). The electronic version of this Policy will, from time to time, contain "Frequently Asked Questions" which interpret and detail the applicability of the Policy to various practical situations.

### **2. Effective Date**

This Policy will be effective on May 13, 2009 ("Effective Date"). It will apply to all divisions, departments and academic units of RIT.



### 3. Definitions

Terms not otherwise defined herein have the meanings listed below.

**Active Record** means a record with current administrative use for the division, department, or academic unit that created it. Records remain active for varying numbers of years, depending on the purpose for which they were created.

**Archival Record** means a record that is inactive, not required to be retained in the office in which it originated or was received, and has permanent or historic value. Archival records are retained and preserved indefinitely in the University archives.

**Hold Notice** means a communication issued by the Office of Legal Affairs as a result of a current or anticipated government regulation, investigation, litigation or other matter that warrants the suspension of this Policy.

**Record** means any document, communication, or similar item generated or received by RIT, by RIT personnel, or on RIT's behalf.

**Official Repository** means the division, department, or academic unit designated as having responsibility for retention, timely destruction of particular types of official University records, or forwarding to RIT Archives. Such responsibility is assigned to the division, department, or academic unit's vice president, director, dean, or designee.

**RIT Archives** means a department of the RIT Wallace Library that promotes knowledge and understanding of the University's origin, aims, programs, and goals; and facilitates effective record management.

**RIT Record** means the original or copy of any record which must be held for official business or regulatory purposes in accordance with the university's Records Retention Schedule. RIT Records do not include records that are not created in the official course of business, serve no legitimate or necessary business purpose, or are created for personal purposes only.

**Personnel** means all RIT staff and faculty, full-time and part-time, including student employees acting within their scope of employment, non-employee consultants, visitors, adjuncts and others using university resources.

**Scope of Employment** means all activities related to the employment responsibilities of personnel.

**Confidential Record** means a record that contains personal information protected from disclosure by law or RIT policy.

**Electronic Record** means a record maintained on a RIT network, email server, back-up tape, CD-ROM, hard drive, or data storage location.

**Student Employee** means students, who are also RIT employees, acting within the scope of employment.

**General Correspondence** means emails, letters, or notes received in the course of business that is directly related to the mission of a particular department, division, or academic units.

#### **4. General Provisions**

##### **Purpose**

The purpose of this Policy is to require consistent treatment of Records. This Policy is intended to ensure that RIT meets legal standards, preserves RIT's history, and destroys outdated and useless records.

##### **Scope**

All personnel shall comply with this Policy, as amended from time to time. This Policy is considered part of the conditions of employment for RIT personnel.

##### **Management of University Records**

Divisions, departments, or academic units that are Official Repositories for RIT Records are responsible for establishing appropriate records retention management practices.. Each division, department, or academic unit's vice president, director, dean, or designee must:

Implement the division, department, or academic unit's record management practices;  
Identify a records custodian for the division, department, or academic unit with responsibility to ensure that these record management practices are consistent with this Policy;

Educate staff within the division, department, or academic unit in understanding the record management practices;

Preserve inactive records of historic value and transfer those records to the RIT Archives;

Ensure that access to confidential files is restricted; and

Destroy inactive records that have no archival value upon passage of the applicable retention period by the Office of Legal Affairs.

**Suspension of Policy / Legal Holds.** This Policy may be suspended for any Record due to a requirement by a consent order, private or governmental contract, pending or anticipated litigation, investigation, or audit requirement. Such suspension supersedes the requirements listed in this Policy and shall be made by the Office of Legal Affairs, which has the authority to suspend and revise any retention schedule. The Office of Legal Affairs will implement such a suspension by sending out a Hold Notice for relevant records to affected divisions, departments, or academic units. This Hold Notice shall be in effect until rescinded by the Office of Legal Affairs.

- **5. Implementing Record Management Practices**

- **Retaining of Records.** In establishing appropriate record management practices, each division, department, or academic unit's vice president, director, dean or designee will be responsible for setting up a process for the identification of RIT. In addition, in connection with setting up record management procedures, the following should be considered and incorporated:

- Archival Records. Generally, Records which document the history of administration, academic programs, and the social and cultural life of RIT should be preserved. To decide if the RIT records are of historic value, consult the RIT Archivist, who has the authority to designate which records are Archival Records.
- Electronic Records. The retention and preservation of electronic records shall be in accordance with this Policy. If an electronic record falls within one of the retention schedule's categories of records, then the record must be treated the same way as a similar hard copy record.

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- Email. In considering the nature of email for retention purposes, an email and its attachments should be considered as a whole. If one retention period applies to an email and a different retention period applies to the email attachment(s), the entire email with attachment(s) should be retained for the longer of the two retention periods. If a person is merely copied on an email (either listed as a "cc" or "bcc"), he/she should treat the document as a duplicate in accordance with sub section 5 below.

Disaster Recovery. Electronic records maintained by the Information Technology Services (ITS) for disaster recovery and backup purposes only shall be retained and preserved by ITS in accordance with a uniform rotation schedule. This uniform rotation schedule shall require that no ITS backup of electronic records shall be maintained for longer than thirty (30) days.

Duplicates. Generally, only one copy of each record shall be retained. A duplicate is an exact replica of the original and shall be destroyed as soon as it does not serve a legitimate business purpose and as long as is not subject to a Hold Notice indicating otherwise. Prior drafts, revisions, or original documents that have additional hand written notes are not considered duplicates of the original and shall be subject to the same requirements as an original record.

**Destruction of Records.** Records that are neither Active Records, Archival Records, RIT Records, nor the subject of a Hold Notice should not be maintained. In addition, when the required retention period for RIT Records has passed, a determination of whether to preserve the record as an Archival Record or to dispose of the record must be made. The division, department, or academic unit's vice president, director, dean, or designee should make this determination, in consultation with the RIT Archivist. The division, department, or academic unit's vice president, director, dean, or designee shall certify annually in writing to the Office of Legal Affairs that compliance with this policy has been achieved for the prior academic year.

**Using the Retention Management Schedule.** Divisions, departments, or academic units may establish their own records management policy, with the approval of the Office of Legal Affairs, to determine the retention period for the Records created and/or kept in their respective areas. Current retention schedules for RIT divisions are located on the [Office of Legal Affairs](#) website.

If two or more categories with different retention periods are applicable to a record, the record shall be retained for the longest applicable retention period.

Records required to be destroyed must not be destroyed before the prescribed retention period has expired. Records that are required to be destroyed and are subject to specific retention periods shall be destroyed within a reasonable period of time following the expiration of the retention period unless subject to a Hold Notice.

The default retention period for records whose retention period has not been specifically determined shall be six (6) years.

**Exceptions.** Requests for exceptions to this Policy should be granted rarely and only with good cause. Requests for exceptions to this Policy should be submitted to the Office of Legal Affairs.

**Training.** Each division, department, or academic unit's designee or records custodian will be responsible for ensuring their personnel are informed of the Policy and procedures established pursuant to the Records Management Program and devising the appropriate training to ensure appropriate implementation.

Please refer to the [Office of Legal Affairs](#) website for the official current retention schedules governing each RIT division.

# Comments?

We welcome and encourage any suggestions or edits.



# D 11.0 Final Exam Policy

Thanks to the entire committee for work on this one.

Special thanks to Chris Licata and Joe Loffredo for numerous suggestions and edits.

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# Goals

- Clarify the expectation that Final Exam week is an instructional week.
- Clarify the language referring to deadlines for rescheduling exams.
- Leave it better than we found it.

# Elements of the New Policy

1. Final Exam Week is a MANDATORY instructional period.
2. You are NOT restricted to a traditional seated Final Exam – but it MUST be spelled out in the syllabus.
3. Students have RIGHTS (very controversial 😊) and cannot be expected to take 2 exams simultaneously or be too busy on any one day.
4. There is a process for exceptions with a simpler to understand timeline.
5. Reading Day is SACRED.

If the method of student evaluation includes a formal final examination, this exam must be scheduled during exam week as specified in the university calendar. Instructors should make clear in their syllabi whether they are giving a final exam, or if they are planning an appropriate educational activity for the exam week. Instructors will notify their college scheduling officer to include their course in the final examination schedule.

Final examination week is a mandatory component of the academic term designed to meet New York State and regional accreditation requirements for instructional hours.

The University scheduled final examination time periods meet this requirement. Final examinations are to be given during this time period and instructors must make clear in their syllabi how they will meet this requirement. If the final assessment is not conducive to a scheduled classroom format, the alternative must be clearly stated on the syllabus, disclosed to the department head, and satisfy the course instructional credit hours as defined in policy D01.V. Under no circumstances shall a final examination or final assessment be scheduled on Reading Day.

The Registrar's Office will provide the final examination schedule no later than the first day of each term, and make it available to the entire RIT community. Instructors may not change the official date and time of the exam. In extraordinary circumstances, instructors may request their department head for a change in time. The department head will work with the college scheduling officer in an attempt to change the time of the exam. The decision of the department head shall be final.

The Registrar's Office will provide the final examination schedule and make it available to the entire RIT community no later than the first day of each term. Instructors may not change the official date and time of the exam. In extraordinary circumstances, instructors may request their department head for a change in time. **This request must be received by the end of week three.** The department head will work with the college scheduling officer in an attempt to change the time of the examination. The decision of the department head shall be final.

In case of conflict where the student has two finals scheduled at the same time, service course examinations will take precedence over home department examinations. If both examinations are service course examinations, the class with the larger enrollment will have precedence.

Students have the right (if they wish) not to take three or more final exams in one day. In a case where the student does have three or more finals scheduled on the same day, service course examinations will take precedence over home department course examinations. If two or more of the examinations are in the home department, the department head will resolve the issue. If two or more examinations are service course examinations, the class with the larger enrollment will have precedence over the others.

If a student has two final examinations scheduled at the same time, the student must request a scheduling change.

Students shall not be required to take more than two examinations or more than twelve (12) hours of exams on a single day. In such an instance, the student may request a scheduling change.

Whenever a scheduling change needs to be made, service course examinations will take precedence over home department course examinations. If two or more of the examinations are in the home department, the department head will resolve the issue. If two or more examinations are service course examinations, the class with the larger enrollment will have precedence over the others.

In all cases by the last day of the 10th week of classes during fall or spring term or in the case of summer term or other sessions less than 16 weeks by the last day of 2/3 of the session, the student should submit a written request for rescheduling to the head of the home department, with a copy to the instructor being asked to provide the rescheduled examination. By the last day of the 12th week of classes the department head will, after consultation with the parties involved, notify the student of the date of the rescheduled examination. The decision of the department head shall be considered to be final.

In all cases requiring a scheduling change, the student should submit a written request for rescheduling no later than four weeks before the first day of final examinations. The written request should be submitted to the head of the home department with a copy to the instructor being asked to provide the rescheduled examination. The department head will, after consultation with the parties involved, notify the student of the date of the rescheduled examination no later than two weeks before the first day of final examinations. The decision of the department head shall be final.

If the instructor chooses not to give a formal final examination, it is the expectation that the instructor will treat the exam week as a full component of the academic term. During this exam week, appropriate educational activities should be scheduled, including the opportunity for students to benefit from the instructor's professional counsel.

{already covered above}



# The New Policy

Final examination week is a mandatory component of the academic term designed to meet New York State and regional accreditation requirements for instructional hours.

The University scheduled final examination time periods meet this requirement. Final examinations are to be given during this time period and instructors must make clear in their syllabi how they will meet this requirement. If the final assessment is not conducive to a scheduled classroom format, the alternative must be clearly stated on the syllabus, disclosed to the department head, and satisfy the course instructional credit hours as defined in policy D01.V. Under no circumstances shall a final examination or final assessment be scheduled on Reading Day.

# The New Policy

The Registrar's Office will provide the final examination schedule and make it available to the entire RIT community no later than the first day of each term. Instructors may not change the official date and time of the exam. In extraordinary circumstances, instructors may request their department head for a change in time. This request must be received by the end of week three. The department head will work with the college scheduling officer in an attempt to change the time of the examination. The decision of the department head shall be final.

If a student has two final examinations scheduled at the same time, the student must request a scheduling change.

Students shall not be required to take more than two examinations or more than twelve (12) hours of exams on a single day. In such an instance, the student may request a scheduling change.

# The New Policy

Whenever a scheduling change needs to be made, service course examinations will take precedence over home department course examinations. If two or more of the examinations are in the home department, the department head will resolve the issue. If two or more examinations are service course examinations, the class with the larger enrollment will have precedence over the others.

In all cases requiring a scheduling change, the student should submit a written request for rescheduling no later than four weeks before the first day of final examinations. The written request should be submitted to the head of the home department with a copy to the instructor being asked to provide the rescheduled examination. The department head will, after consultation with the parties involved, notify the student of the date of the rescheduled examination no later than two weeks before the first day of final examinations. The decision of the department head shall be final.

Your comments?

We Thank YOU!