ITEM: Review and Approval of the following Academic Affairs Policies:

- MUBOG AA-15 Course Withdrawal 03/08/06
- MUBOG IT-6 Electronic Records Management Policy 02/24/16

COMMITTEE: Committee of the Whole

RECOMMENDED ACTION: Resolved. That the Marshall University Board of Governors does hereby take the following action as it relates to these policies. Policies MUBOG AA-15; MUBOG IT-6 to be amended, as presented.

STAFF MEMBER: Jaime R. Taylor
Provost & Senior Vice President for Academic Affairs

BACKGROUND:

The President requested that the following policies be reviewed for presentation during the February 2020 Board of Governors meeting. Upon reviewing these policies, we find and make the following recommendations noted below.

- MUBOG AA-15 Course Withdrawal
  See attached. As requested by the BOG at its September 2019 meeting, we recommend adding the sentence, “The instructor’s Department Chair may sign in lieu of the course instructor” to section 2.1.1.

- MUBOG IT-6 Electronic Records Management Policy
  See attached. We recommend that this policy move from IT to the Division of Academic Affairs. As such we recommend changing the policy designation from MUBOG IT-6 to MUBOG AA-47 and recommend changing references to IT throughout the policy to Academic Affairs.

Fiscal Note: There are no anticipated costs associated with these changes.

Upon approval of this resolution, a comment period will open and remain open until 10:00 am on Tuesday, March 24, 2020. If substantive comments are received, a final policy will be presented to the Board for approval at a subsequent meeting. The policy changes for any individual policy are approved as final at the conclusion of the comment period if no substantive comments are received for that policy.

Comments should be sent via paper mail only (USPS mail or campus mail) to:

Michael McGuffey
Office of the President
MARSHALL UNIVERSITY BOARD OF GOVERNORS
Policy No. AA-15

COURSE
WITHDRAWAL

1 General Information.
1.1 Scope: Academic policy regarding students dropping courses, high demand courses, and withdrawing from the institution.
1.2 Authority: W. Va. Code §18B-1-6
1.3 Passage Date: March 8, 2006
1.4 Effective Date: Upon passage
1.5 Controlling over: Marshall University
1.6 History: SR 90-91(144)296(ASCR), SR 92-93(127)273(ASCR), SR 96-97(4)70R(BAPC), SR 96-97(17)82(BAPC/SCWC), SR 96-97(53)119B(BAPC)

2 Policy

2.1 Dropping of Courses

2.1.1 A student who wishes to withdraw from an individual course after the schedule adjustment period must first secure the instructor’s signature and then present the request to the Registrar in person, by email, or by mail. Students on academic probation must have approval from the student’s academic associate dean in order to drop a course. If the request is made in person, a drop form bearing the signature of the instructor or the department chair must be submitted to the Registrar’s Office. Requests by email must be sent from the student’s MU email account. For mailed requests, the postmark will be the official date of withdrawal. In cases where the student is unable to secure the instructor’s physical signature, instructor permission may be obtained via email. The instructor’s Department Chair may sign in lieu of the course instructor.

2.2 High Demand Course Withdrawal Policy

2.2.1 Any student who withdraws during the “W” period from a course identified as a “high demand” course shall not be allowed to pre-register for the course for the following semester until a week prior to the first day of class. Updated listings of high demand courses are available from the Office of the Registrar.

2.3 Total Withdrawal from the University
2.3.1 Total Withdrawal from the University is defined as dropping all classes for which a student is registered. A student who wishes to totally withdraw from the university must first secure the signature of the Director of Student Success and then present the request to the Registrar in person, by email, or by mail. If the request is made in person, a drop form bearing the signature of the Director of Student Success must be submitted to the Registrar’s Office. Requests by email must be sent from the student’s MU email account. For mailed requests, the postmark will be the official date of withdrawal. In cases where the student is unable to secure the physical signature of the Director of Student Success, permission may be obtained via email.

2.4 Grades Assigned in Cases of Dropping Courses or Total Withdrawal from the University

2.4.1 In all cases of dropping courses or total withdrawal from the university the instructors will report grades as follows:

2.4.1.1 A student dropping courses or totally withdrawing from the university on or before the tenth Friday after the first class day of the regular semester will receive a grade of “W”. For eight-week courses, summer sessions and other courses of varying lengths, the “W” period ends on the Friday immediately following the two-thirds point in the course. Exact “W” dates are identified in the annual university Academic Calendar.

2.4.2 A “W” grade (withdrew) will have no bearing on the student’s grade point average, but may affect a student’s Satisfactory Academic Progress (SAP) for purposes of financial aid.

2.4.3 Students who drop courses without approval, or who do not follow regulations provided in the preceding paragraphs, receive a grade of “F” at the end of the semester.

2.5 Final Date for Dropping an Individual Course or Totally Withdrawing from the University

2.5.1 The final date for dropping an individual class is the tenth Friday in a regular term. The last date for complete withdrawal from the university is the last day of classes. In both cases, “W” grades are assigned.

2.6 Military Service

2.6.1 Men and women called to active duty in the armed services of the United States are granted full refund of fees, but no credit, if the call comes before the end of the first three-fourths of the semester or term; and full credit, but no refund of fees, is granted if the call comes thereafter. Credit, as described above, will be granted only in those courses in which the student is maintaining a passing mark at the time of departure to military service. The term “called to active duty” is herein defined as being called to active duty as the result of the federal activation of a total reserve component, National Guard unit, or any portion thereof which involves a particular student or an individual who is a bona fide member of the reserve component or a National Guard unit. The final grades, both passing and failing, for three-fourths of a semester or more are to be shown on the student’s permanent record card.

2.6.2 NOTE: It is extremely important to direct students with questions regarding military activation to the Registrar’s Office, which certifies students for educational benefits. The Registrar’s
Office is required to notify the Veteran’s Administration when students receiving educational benefits are activated for military service.

2.7 Illegal Dropping of Classes

2.7.1 When a single class is dropped and the withdrawal form contains a fraudulent instructor signature, the action is nullified, and the instructor will assign an appropriate final grade. In those instances where a drop-date appears on an instructor’s grade sheet and the instructor’s records do not indicate that a drop-slip was signed, the instructor may question the validity of the drop in the Registrar’s Office at the time grades are submitted. Then it can be determined whether the signature is valid or not, and the instructor can supply the grade that is appropriate for the situation.

2.7.2 In cases where a fraudulent instructor signature is submitted on a course withdrawal form, an Academic Dishonesty form should be submitted to Academic Affairs by the instructor, chair, dean, or appropriate university official.

2.8 Medical or Emergency Withdrawal

2.8.1 In cases when students withdraw from the university for medical reasons, their request for total withdrawal must be supported by certification from the attending physician. In order to be readmitted after this total withdrawal, the student must provide a letter and supporting documentation from the attending physician indicating that the student is able to return. Confidentiality will be maintained at all times except on a need-to-know basis.

2.8.2 In cases when students withdraw from the university for emergency reasons, their request for total withdrawal must be supported by appropriate documentation related to a catastrophic situation. In order to be readmitted after this total withdrawal, the student must provide supporting documentation indicating that the student is able to return. Confidentiality will be maintained at all times except on a need-to-know basis.

2.8.3 Requests for medical or emergency total withdrawals from the university or from an individual class will be handled on a case-by-case basis through the Assistant Dean of Students for Advocacy. Students who receive a medical or emergency total withdrawal shall receive a grade of “W”.

2.9 Backdated Withdrawal Procedures

2.9.1 In those rare instances when a backdated withdrawal from a class (or classes) is justified, the following guidelines must be followed:

2.9.2 For undergraduate students, the applicable dean is the academic college dean. For graduate students, the applicable dean is the Dean of the Graduate College. Before determining a date of withdrawal, the applicable dean will consult with the Financial Aid Office. If the student has received a loan predicated upon full or part-time enrollment, the student may have to repay the university before he/she can be backdated out of the class. Establishing the appropriate withdrawal date is important in terms of institutional policy.
1 General

1.1 Scope: This Policy applies to all faculty, staff, and third-party agents of the University as well as any other University affiliate who is authorized to access Institutional Data. This policy also applies to all electronic records created by or acquired in the course of university business. This includes e-mail and records created on personal computers or electronic devices.


1.3 Passage Date: February 24, 2016

1.4 Effective Date: upon passage

1.5 Background: Electronic records are information or data files created and stored in digitized form using computers and software. Many types of electronic files are records, and each type of file must be managed differently. All electronic documents will be stored and managed using methods appropriate for the format and contents. The Electronic Records Management Policy will provide guidelines that the academic and administrative units of the University will need to govern their electronic records, addressing the creation, use, and long-term preservation of those records. This policy complements MUBOG GA-14 Records Retention Policy. The associated procedure is ITP-45 Electronic Records Management Procedure.

The intent of the Electronic Records Management Policy is to establish best practices that will protect the confidentiality, integrity, and availability of institutional records; shield the university from liability; preserve Marshall history; and improve overall efficiency of operations.

2 Definitions

2.1 Access: Managing the means and permissions by which users find, request, and receive an electronic record.
2.2 **Appraisal**: The process of determining the value of records based upon their administrative uses, and evidentiary and informational content. This assessment will determine the long-term retention and disposition of the record. Appraisal also establishes the linkage of records to each other. Information gathered during the appraisal processes is used to analyze records series and develop official retention schedules.

2.3 **Convenience Copy**: Copies of documents kept on individual computers for easy access. Convenience copies should be kept only as long as needed to complete university business.

2.4 **Data Classification**: Data classification is the process of sorting and categorizing records and other data into different types, classes, and forms. Data classification allows for efficient processing and sorting of information.

2.5 **Data Management**: Management of databases of appropriately updated and preserved metadata.

2.6 **Draft (or Working Copy)**: Drafts or working copies are the early versions of what may eventually become a final document, or master record copy. Drafts only need to be kept until the final version of the document is finished.

2.7 **Electronic Record**: An information or data file that is created and stored in digital form through computing devices. Electronic Records are stored in various formats and on a variety of software platforms and storage types. Whether or not a document is electronic has no impact on whether or not it is considered a record, but does pose unique challenges.

2.8 **Electronic Records Management**: The planning, budgeting, organizing, directing, personnel training, and controlling activities associated with managing electronic records and their lifecycle.

2.9 **Ingest**: The acceptance of data or information and its preparation for inclusion in the repository. This process may include virus scanning, isolation, and other steps.

2.10 **Master Record Copy**: The official copy of a record.

2.11 **Metadata**: Metadata, or data about data, is fundamental to preserving electronic files accurately. Metadata describes certain information about a file including, but not limited to, date of creation, name and office of the record creator, software version used to create the record and other information as directed by the Information Technology Division. Metadata must be preserved from all files, in order to maintain the authenticity of the file, provide essential file information, and allow for easier migration of the file to different formats.
2.12 **Preservation planning:** Preservation planning is the process of creating policies, procedures, and processes to preserve information for the long term. It may include monitoring internal and external environments and monitoring changes in technology.

2.13 **Record:** Records include all books, papers, maps, photographs, electronic reports, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of Marshall University in connection with the transaction of public business and by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the university or because of the informational value in them. (Adapted from 44 U.S.C. Chapter 33, Sec. 3301)

2.14 **Storage:** Computer equipment and software that provides long-term storage of electronic records, that is appropriately backed up with periodic scheduled maintenance checks to prevent file degradation and corruption.

3 **Roles and Responsibilities:**

3.1 The University’s Archivist and Records Management Librarian (ARML) will administer the electronic records management program within the University. Included in those responsibilities are conducting records inventories, creating a records retention schedule, establishing metadata schemas in collaboration with the Information Technology Division, conducting personnel training, approving transfers to the archives, and ensuring compliance with records management policies. The electronic records management procedure further details these duties.

3.2 The University’s Information Technology department Division of Academic Affairs will collaborate with the ARML and other University divisions to preserve and dispose of electronic records as necessary. This collaboration will include specifying technical characteristics for reading and processing files, identifying outputs and inputs of the files, defining naming conventions, establishing metadata schemas with the ARML, determining restrictions on access, maintaining storage and the integrity of the files, implementing a disaster recovery plan, and ensuring timely disposition of electronic files. The electronic records management procedure further explains these responsibilities.

3.3 University offices will work with the Division of Academic Affairs and the ARML to follow the instructions of the electronic management policy and procedure. Units will be required to create their own policies and procedures for electronic records in conjunction with the ARML and the Division of Academic Affairs, create a unit records guardian to work with the ARML, conduct records inventory, follow disposition instructions for records, prevent corruption of records, and ensure the security of confidential files. These responsibilities will be further explained in the electronic records procedure.
4 **Appraisal of Electronic Records for Retention:** During the inventory and appraisal process, the Archivist and Records Management Librarian will assist the academic and administrative units of the University in data classification of the records, meaning the identification of: 1) working (or draft) documents, 2) convenience documents, and 3) record copies of electronic records. Appraisal decisions on the retention of the record copy include: total retention period, length of time for stored and active use, appropriate formats, the archival value of a record, identification of confidential or private information, and identification of essential records for legal statues. The appraisal process is further explained in the electronic records management procedure.

5 **Access, Use, Rights and Restriction Management:** Marshall University is committed to open access to records and good faith compliance with the Freedom of Information Act (FOIA). Some information will be restricted as necessary in accordance with applicable state and federal regulations (e.g. FERPA, HIPAA, ERISA), or due to contractual limitations related to proprietary information. Protected information will only be accessible to relevant staff and faculty in the course of university business. Access and use of Marshall University materials must always be in compliance with copyright and intellectual property laws. Marshall University will always attempt to provide information when needed, but due to the changing nature of technology, perpetual access to all digital materials cannot be guaranteed.

6 **Preservation Model/Strategy:** Long term preservation of electronic records requires several actions. These actions include but are not limited to: maintaining secure offsite backup storage servers, routine normalizing of files (saving in standard formats), routine data migration, (converting files to new formats), having standard naming conventions and rigorous validation of content upon ingest and continuing validation in storage. These strategies are explained in detail in the electronic records management procedure.

7 **Security Management:** All users will be required to take appropriate measures to prevent corruption or deletion of relevant electronic records over time, either through accidental deletion or file corruption (viral infection, physical damage to hardware, etc.). For further information on this, see the Information Security Policy, IT-2.

8 **E-mail Policy and Procedures:** See IT-3, Electronic Communications Policy.