

TO: Academic Board

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DATE: March 12 for March 26, 2009

AGENDA ITEM: 8

ITEM IDENTIFICATION:

Statement Concerning Change of Student Personal Information in Official Academic Records

JURISDICTIONAL INFORMATION:

The Committee on Academic Policy and Programs oversees matters of academic policy, and is responsible for recommending to the Academic Board amendments to University-wide policy on academic matters.

PREVIOUS ACTION TAKEN:

Governing Council approved the *Policy on Names on Official Student Academic Records and Corroborative Documents* on January 9, 1986.

HIGHLIGHTS:

The *Statement Concerning Changes of Student Personal Information in Official Academic Records* (Appendix 1) is proposed to replace the current *Policy on Names on Official Student Academic Records and Corroborative Documents* (Appendix 3). The draft Guidelines, which will be further revised to address issues raised at the Committee on Academic Policies and Programs and with further consultation with academic divisions, are attached for information (Appendix 2).

The existing *Policy* is out-of-date and confusing in that it is no longer responsive to the current needs of our students. The *Guidelines on Access to Official Student Academic Records*, formulated in 2008, specify the University's current definition of what constitutes an academic record.¹

The proposed *Statement* will better enable the University to balance its duty to protect the integrity of the academic process and its records with the student's interest in using a name which may differ from their formal legal name but is consistent with their identity. The *Statement* also provides for students to change the gender recorded in our academic records.

¹ The *Guidelines on Access to Official Student Academic Records* were developed in concert with the *Statement to Access to Information and Protection of Privacy at the University of Toronto*.

Statement Concerning Change of Student Personal Information in Official Academic Records

The *Statement* and draft Guidelines have been discussed with University legal counsel, the University Ombudsperson, with divisional registrars and with the Office of the Vice-President and Provost, all of whom are supportive.

FINANCIAL AND/OR PLANNING IMPLICATIONS: N/A

RECOMMENDATION:

The Committee on Academic Policy and Programs recommends to the Academic Board:

THAT the *Statement Concerning Student Personal Information in Official Academic Records* be approved, effective for the May 2009 Summer Session;

and

THAT the *Policy on Names on Official Student Academic Records and Corroborative Documents* (approved January 9, 1986) be rescinded.

STATEMENT CONCERNING CHANGE OF STUDENT PERSONAL INFORMATION IN OFFICIAL ACADEMIC RECORDS

The accuracy of students' academic records is fundamental to the integrity of the University's academic mission. It is important that the University's records identify individual students' achievements accurately and can authenticate that transcripts are those of the student or alumna named.

While it is usual for the University to require the student's formal legal name to be used on its official academic records, the University will consider a request from a student to change the name and/or gender recorded on their record. The University must balance its duty to protect the integrity of the academic process and its records with the student's interest in using a name which may differ from their formal legal name but is consistent with their identity.

1. When a student applies for admission, the name and gender recorded in the University's academic record are as provided on the application for admission. The University takes steps to verify the authenticity and legitimacy of academic and other documents submitted in support of the application, including the identity of the student.
2. Students may request a change of name and/or gender recorded and used by the University in their official academic record. In dealing with requests for changes, the University will require the student to establish and authenticate his/her identity. The University will advise the student that where the name on the records is not the formal legal name of the student, future employers, licensing bodies, or other educational institutions may require proof that the transcripts and diplomas are the legitimate academic records of the individual submitting them.
3. The permanent official academic record will include a record of all names recorded and approved while a student is enrolled and after graduation, if a name change request is accepted after graduation. Only the most recent name accepted by the University will, however, be disclosed on transcripts and diplomas. Gender, which is collected and recorded for statistical purposes only, is not disclosed on transcripts or diplomas.
4. The University does not normally accept requests for change of name following graduation but such a request will be considered where supported with appropriate documentation.
5. The University Registrar will provide guidelines reflecting these principles concerning changes of name and gender to academic divisions and others in the University who are responsible for student records.
6. The University supports access to and privacy of student personal information in keeping with its commitment to the requirements of Ontario's *Freedom of Information and Protection of Privacy Act (FIPPA)*.
7. The Policy on Names on Official Student Academic Records and Corroborative Documents, 1986, is hereby rescinded and replaced by this Statement.

DRAFT – for information only

**Guidelines Concerning Changes of Student Personal Information
on Official Student Academic Records**

1. Students who are registered and wish to change the name and/or the gender used by the University in their official academic record should consult the registrar's office of the college or faculty where they are enrolled. For a request to change their name or gender to be considered, students will be required to provide proof of identity that satisfies the University that they are the person whose records are the subject of the request.
2. The student should be asked to provide a letter or complete a form which clearly specifies the information on their official record and the change they wish to be made. The student should neither be asked nor expected to provide reasons for the requested change. The student should, however, be advised that future employers or other institutions may require legal proof that transcripts and diplomas are legitimately those of the person seeking to submit or rely on them.
3. The division is responsible for recording the requested changes in the University's electronic student record system, and for keeping the written request and supporting documentation in the student file, which is retained in accordance with the University's retention and destruction practices.
4. The name used on the transcript and diploma will be as it is recorded in the University's official student academic record. Alumni who wish diplomas to be reissued with a different name should follow the process described for current students.
5. In situations where the student is requesting to change their entire name, or where there have been prior instances of requests for changes from the student, or in any other circumstances the University deems appropriate, the University may request further documentation supporting the request including a statutory declaration from the student before agreeing to the request.
6. As a best practice, academic divisions and others in the University are encouraged to use first and last name without gender specific titles when addressing correspondence to students.



University of Toronto Governing Council

Policy on Names on Official Student Academic Records and Corroborative Documents

January 9, 1986

To request an official copy of this policy, contact:

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Policy on Names on Official Student Academic Records and Corroborative Documents

1. Preamble

This policy deals with the procedures respecting names and alterations of name of students appearing on official student academic records and corroborative documents.

It supersedes the 1965 Senate policy on names. The policy applies to names known to the University on or after 1 July 1986.

2. Definitions

For the purposes of this policy, the "official student academic record" shall contain:

- (i) Registration and enrolment information.
- (ii) Results for each course and academic period.
- (iii) Narrative evaluations of a student's academic performance, used to judge his/her progress through an academic program.
- (iv) Basis for a student's admission such as the application for admission and supporting documents.
- (v) Results of petitions and appeals filed by a student.
- (vi) Medical Information relevant to a student's academic performance which has been furnished at the request or with the consent of the student concerned.
- (vii) Letters of reference which may or may not have been provided on the understanding that they shall be maintained in confidence.
- (viii) Personal information which is required in the administration of academic records such as name, address, telephone number, citizenship, social insurance number.

For the purposes of this policy, "corroborative documents" shall refer to those documents which testify to a student's or former student's academic accomplishments and which are based on evidence provided by official student academic records. Examples of corroborative documents are transcripts, diplomas and certificates.

For the purposes of this policy, "active records" will refer to records which are required on a regular basis by the office of creation; "semi-active records", to records required only occasionally, such as one reference or less per month per cubic foot; "archival records", to records under the custody of the University Archives.

3. Officially Recognized Names

Only the student's name as furnished in the application for admission which leads to the student's first registration at this University or as altered according to Section 6 below is considered as the "officially recognized name."

Applicants should be advised that the name they use upon application should be "the complete name by which they are legally and correctly known".

Because of requirements imposed by external licensing agencies, some divisions may have to ensure that the name used by a person upon application is one of the following:

- the name recorded at birth,

- the name recorded on a baptismal certificate,
- the name assumed upon marriage,
- the name specified by a court order.

4. Names on Official Student Academic Records

A student shall be identified in active and semi-active official student academic records under at least his/her current officially recognized name.

When copies of official student academic records are released, such copies should be annotated with at least the current officially recognized name of the person if this differs from the name appearing on the records.

5. Names on Corroborative Documents

The name which appears on a corroborative document should be the same as the name as it appears in those official student academic records on which the document is based. It is permissible (and may be necessary) to add to the name on the document special characters or upper-lower case distinctions which may not be recorded because of mechanical or technical limitations in some University record systems.

6. Alterations to Officially Recognized Names

There are two types of name alterations.

- 6.1 A correction is a return to the submitted form of the name which is required because of misspelling or typographical or other clerical errors. A correction does not require supporting documentation from the student or applicant. Minor alterations of given names will be treated as corrections.
- 6.2 A change is an alteration of the surname or an addition and/or removal of given names or initials and requires supporting documentation from the student or applicant such as one of the following:
 - a birth certificate,
 - a baptismal certificate,
 - a marriage certificate,
 - a change-of-name order issued by an Ontario District or County Court judge.

Corrections and changes to name should be recorded on all active and semi-active official student academic records.

Corrections and changes to names in archival records should be reported to the University Archivist.

7. Name Change File

A file which contains officially recognized names of students and subsequent corrections and changes to these names will be maintained.

24 September 1985

Differences Between 1965 Policy, 1975 Procedures, and 1985 Proposed Policy

(1965) Only the student's name as furnished in the original application for admission is recognized in the records of the University.

(1975) Same as above.

(1985) Same as above. It is assumed that applicants have provided the complete name by which they are legally and correctly known.

(1965) If the legal name differs from the records' version, a change of name may be approved at no charge to the applicant.

(1975) Same as above.

(1985) Reference to 'legal name' is avoided since it is not a precise concept in Ontario. The matter of a fee for changing names on records is administrative and has therefore been dropped from the policy statement.

(1965) An application for the change of name must be accompanied by one of the following documents (or a notarized copy):

- court document specifying change of name,
- marriage certificate,
- divorce certificate,
- birth certificate,
- passport,
- certificate of citizenship (if issued in or after 1964).

(1975) No legal documents are required to support a change of name to the student record system.

(1985) A change of name must be supported by legal documents, in accordance with the Change of Name Act of Ontario.

(1965) A woman who marries while in attendance at this University and who has had her name changed in the University records may graduate under one of the following options:

- maiden name,
- married name,
- maiden and married names combined.

(1975) Students may graduate under any name they wish, regardless of legal name. SRS keeps track of 'graduation name' on the student record system.

(1985) Students will graduate in and their diplomas will display the name which is officially recorded in the University records, either original or changed. The elimination of 'graduation name' will provide some assistance to those divisions that have to abide by the requirements of external licensing agencies. It may also help to decrease the number of name changes that have to be made on diplomas right before convocation.

(1965) All diplomas held by one graduate must bear the same name. When a graduate applies to have his name changed in the University records all the diplomas bearing the original name must be surrendered. These diplomas will be re-issued on application under the regulations for the re-issue of diplomas.

(1975) SRS does not require a graduate who changes his legal name in the University's records to surrender his diploma. Only in the case where a graduate requests a change of name on a diploma does SRS request the surrender of the original diploma.

(1985) The University's solicitor considers the 1975 Procedure acceptable. However, since this matter belongs to a policy on the issuance of diplomas it has been deleted from this document.

(NEW) Neither the 1965 Policy nor the 1975 Procedures indicates how alterations to name were to be reflected in official student academic records. This policy specifies how active, semi-active and archival records are to be affected by corrections and changes of name. Furthermore, this policy provides for the creation and maintenance of a master file of officially recognized student names and their aliases.

Regulations for the Change of Name in the University Records

1. Only the student's name as furnished in the original application for admission is recognized in the records of the University.
2. If the legal name differs from the records' version, a change of name may be approved at no charge to the applicant.
3. An application for the change of name must be accompanied by one of the following documents (or a notarized copy):
 - (i) Court document specifying change of name;
 - (ii) Marriage Certificate;
 - (iii) Divorce Certificate;
 - (iv) Birth Certificate;
 - (v) Passport;
 - (vi) Certificate of Citizenship (if issued in or after 1964.)
4. A woman who marries while in attendance at this University and who has had her name changed in the University records may graduate under one of the following options:
 - (i) maiden name;
 - (ii) married name;
 - (iii) maiden and married names combined.
5. All diplomas held by one graduate must bear the same name. When a graduate applies to have his name changed in the University records all the diplomas bearing the original name must be surrendered. These diplomas will be re-issued on application under the regulations for the re-issue of diplomas.

October 15, 1965

Recommended to the Senate by the Executive Committee

Approved by the Senate November 12, 1965