UA Little Rock Data Governance Policy Framework
April 26, 2018

Preamble

The Data Governance Policy Framework ("Policy Framework") is a product of the Quality Initiative, a project started in 2013 with the aim of facilitating continuous improvement at the University through the implementation of a decision support system. The Policy Framework is intended to increase the quality and ultimately maximize the value of institutional data at the University of Arkansas at Little Rock ("UA Little Rock").

The Policy Framework uses the principle of data stewardship and has a number of guiding principles intended to set proper use of institutional data as technology evolves and information systems change. It is important to understand that adopting the Data Governance Policy Framework does not by itself create any policies controlling data management. The purpose of the Data Governance Policy Framework is to define the process by which the representatives of data stakeholders from across the university have a voice in creating the policies that will control data management. The Policy Framework deems a representative mode of communication as essential and outlines mechanisms by which all academic, technical, executive, data user and stakeholder personnel can participate in data management decisions but this document does not make data management decisions. In short, data management is the day-to-day decisions made about handling and processing data, whereas data governance is the framework for creating the policies for how these decisions are made.

The Policy Framework establishes the charter, authority, and structure of the data governance program at UA Little Rock. It also promotes an iterative approach to implementing specific data governance policies based on priority areas (i.e., student enrollment data) of the University.

It's important to note that the Policy Framework only applies to institutional data (see Scope) and does not include instructor notes, materials, or data generated from sponsored research. Finally, the Policy Framework calls for no new expenditures as existing personnel conducts its administrative support functions.

Table of Contents

Vision, Mission, and Principles

Vision
UA Little Rock will facilitate a culture of data-informed decision making with quality data that enables the University to continuously improve and ultimately become the top metropolitan, community-engaged, research university among the sixteen member states of the Southern Regional Education Board.

Mission
To assure that the information product produced by UA Little Rock will create the maximum possible value for, and meet the expectations of, all UA Little Rock stakeholders who use them.

Role of Data Governance
The purpose of Data Governance is to enable the mission of maximizing the value of UA Little Rock's data and information assets. Data governance accomplishes this in two ways. First by creating and implementing policies and procedures to set uniform data standards, continually improve data quality, regulate data access, and make effective use of metadata. Second by promoting a culture of data stewardship so that each employee has a clear understanding of his or her roles and responsibilities about the University's data and information.

Principle of Data Stewardship
Data Governance is founded on the principle of Data Stewardship. Data Stewardship is a recognition that the University's institutional information belongs to the University and is not owned and controlled by individuals and organizational units. As data stewards, all individuals and organizational units must act as custodians of the institution's information. As custodians, the individuals and organizational units must serve as stewards (caretakers) of the information on behalf of the entire University. Data Stewardship recognizes that the decisions and actions of one individual or unit have the potential to both positively and negatively impact other parts of the University. For this reason, these decisions and actions must be governed by policies previously agreed to by the University.

The RACI Model for Data Stewardship Roles
The roles and responsibilities for data stewards fall into four broad categories:
1. Responsible (R) – Individuals who carry out an information task, for example entering grade change information into the enterprise resource planning (ERP) system. The person is responsible for the correct execution of a task.

2. Accountable (A) – Individuals who oversee the completion of certain tasks, for example assuring that all grade changes have been entered correctly. The person (typically a manager) is accountable for others completing the correct executions of their tasks.
3. Consulted (C) – Individuals who should be consulted and give approval before certain decisions are made or certain tasks are performed.
4. Informed (I) – Individuals who should be informed that certain decisions were made or certain tasks were performed.

The same individual may have more than one role with respect to different information or information tasks. For example, the manager accountable for the entry of grade changes into the ERP system should always be consulted regarding any proposed changes and informed of academic actions related to the grade change policy.

Guiding Principles
All participants in the UA Little Rock data governance program share the following goals:
1. To encourage appropriate use and privacy of UA Little Rock's institutional data and information
2. To support a culture of data stewardship and responsible data use for informed and actionable decision-making
3. To promote an integrated view of data across organizational boundaries in the system
4. To promote the efficient use of resources to meet the data and information needs of the University community
5. To support the increase in transparency and accountability to internal and external stakeholders by promoting appropriate access to and use of relevant information

Scope
This Policy Framework applies to institutional data and includes the following areas:

● Academic Affairs
● Advancement
● Athletics
● Budget and Strategic Initiatives
● Finance & Administration
● Governance Relations
● Institute on Race and Ethnicity
● Student Affairs

Institutional data refers to data contained in the University's production information systems. Institutional data is commonly referred to as enterprise data. Institutional data is typically relevant to administrative functions of the University. Institutional data includes data that is reported to the UA Little Rock's Board of Visitors, federal (i.e., U.S. Department of Education) and state (i.e., Arkansas Department of Higher Education) organizations and data usually

required by multiple organizational units or included in administrative reporting.

Data from sponsored research projects, instructor notes and materials, notes and personal property of individuals, and research data and materials are not covered under this policy framework.

Data Governance Charter

Authority
By order of the Chancellor in consultation with the Board of Visitors, UA Little Rock shall implement a data governance program that conforms to the vision, mission, and guiding principles outlined in this document. Moreover, the members of the Data Governance Council (DGC) as defined in the following section are authorized to formulate, implement, and enforce data governance policies and procedures as approved by the Data Trustees.

The Data Governance Framework
Data Governance is a collaborative effort that includes several institutional levels from both the academic and technical areas of the University and from the executive to the user levels. The organizational hierarchy of the UA Little Rock Data Governance comprises four components:
1. Data Trustees
2. Data Governance Council
3. Data Stewards
4. Stakeholders

A fifth component, the Data Governance Office (DGO), is not included in the hierarchy but is intended to provide administrative support to data governance efforts of the University. Each component is described below.

Data Trustees
Data Trustees are executive level officers appointed by the Chancellor (in collaboration with the Faculty Senate President) with authority to establish strategic planning priorities and reporting needs regarding all institutional data and information.

Organizational Appointments
The members of the Data Trustees shall be:

- Chancellor
- Provost & Executive Vice Chancellor
- Vice Chancellor for Finance and Administration
- Vice Chancellor for Student Affairs
- Vice Chancellor for Alumni Development

Data Trustees shall:
- Appoint and remove members of the DGC, with exception to the one (1) member appointed by the Staff Senate and the one (1) member appointed by the Faculty Senate
- Set priorities and direction for data governance policies
- Empower the DGC to develop, implement, and enforce data governance policies in keeping with the UA Little Rock Data Governance vision, mission, and guiding principles
- Actively promote and communicate data governance to all UA Little Rock constituents
- Provide final resolutions for issues that cannot be resolved by the DGC

Data Governance Council
The DGC is comprised of representatives from UA Little Rock which manage or use the data and information under governance. The DGC will:
- Appoint and remove Data Stewards
- Write the bylaws that will govern the operation of the DGC and obtain approval on the bylaws from the Data Trustees
- Develop and oversee the implementation of data governance policies and procedures that have been approved by the Data Trustees
- Review compliance with data governance policies and procedures
- Establish regular communication protocols between the DGC and Data Trustees and between the DGC and Data Stewards
- Establish data and reporting standards that support approved data governance policies and meet the strategic priorities established by the Data Trustees
- Promote appropriate and secure access to managed information systems and reports
- Establish and monitor data governance metrics
- Provide regular summarizations of these metrics to the Data Trustees
- Oversee the collection, documentation, and management of data specifications and metadata related to the data and information under governance
- Develop and implement a campus-wide data governance communication plan
- Review and recommend data classifications, policies, guidelines, and procedures
- Form sub-committees, project teams, and task forces as needed
- Actively promote and communicate data governance to all UA Little Rock constituents
- Assign stewards for resolution of data quality issues
- Serve as a mediator between data trustees and data stewards
- Solicit input and review from the Data Stewards on data governance policies

Data Stewards

Data Stewards are responsible for implementing the data governance policies and procedures approved by the DGC. Their duties include:

- Reporting to the DGC systematic errors and other data issues related to the data and information under governance
- Making corrections to data or data systems when directed to do so by the DGC
- Identifying root causes of recurring errors and reporting these to the DGC for potential remediation
- Reporting to the DGC incidents of non-compliance to approved data governance policies and procedures
- Recommending new data governance policies and procedures or modifications to existing data governance policies and procedures based on new or emerging business practices that impact the data and information under governance
- Actively promote and communicate data governance to all UA Little Rock constituents
- Provide necessary data-related training at UA Little Rock
- Design and implement procedures and standards as approved by the DGC to ensure conformance with the data governance policies
- Collect and organize data specifications and metadata, such as:
  - Business glossary
  - Data dictionaries
  - Data quality rules
  - Business rules including regulatory compliance
  - Master data management
  - Reference data management
  - Establish a data usage request process
  - Issue tracking
- Provide inputs for data governance metrics
- Participate in data stewardship training
- Provide inputs for data governance metrics when requested

Stakeholders

Stakeholders include anyone who generates or uses UA Little Rock institutional data whether internal or external to UA Little Rock.

Data Governance Office

The DGO provides the administrative and technical support for the UA Little Rock Data Governance Program. The Office of Institutional Research (OIR) shall house and staff the DGO. The DGO shall:

- Schedule meetings and take minutes for the Data Trustees and the DGC
- Manage and disseminate the documentation of approved data governance policies and procedures
- Manage and disseminate approved data specifications including business glossary, data dictionaries, data quality rules, and business rules including regulatory compliance

7

- Manage the reporting and tracking of data issues
- Assist in executing the data governance communication plan

Data Governance Roadmap

The full implementation of an enterprise data governance program is a substantial undertaking for any organization. It is typically done in incremental phases based on the progressive addition of data subjects. The plan for incrementally building out the enterprise data governance program is the "Data Governance Roadmap." Starting the data governance program by focusing on one data subject has the advantage of:

- Reducing the time required to begin the governance process. There is a certain amount of one-time, preliminary work required to bring a new data subject under governance such as completing and inventorying data sources, building data dictionaries, updating the business glossary, and formulating new policies and procedures. By reducing the initial scope to one data subject, the actual process of governance can begin sooner.
- Reducing the initial complexity of the data governance program. A single data subject will have fewer policies and procedures to implement and require fewer people.
- Reducing the number of people initially involved in the program. In the initial implementation, only those people directly involved with the first data subject need to be Council members and Stewards. As new data subjects are added, new members may be added as necessary.

Appendix A to this document is an initial draft of the roadmap including Phase 1 for the first data subject.

APPENDIX A: UA Little Rock Data Governance Roadmap

Phase 1: Implementation of Data Governance for Student Enrollment Data

Scope by Data Subject
In Phase 1, student enrollment data will be brought under data governance. Student enrollment data includes areas related to student demographic, enrollment status, admission (entrance) exams, and primary and secondary programs of students. The Phase 1 scope takes into consideration the initial effort with launching a data governance program as well as the pressing enrollment needs of the university.

Future Work
Future phases will bring areas such as course, registration, instructor, financial aid, and athletic data under the scope of data governance. Prioritization of future phases and data scopes will be determined by the DGC in collaboration with and under the guidance of the Data Trustees.

Phase 1 DGC Membership

With exception to the one member appointed by the Staff Senate and the one member appointed by the Faculty Senate, members of the DGC will be appointed by the Data Trustees. The Quality Initiative Task Force shall submit an initial recommendation of DGC membership to the Data Trustees. The recommendation presented to the Data Trustees may include representatives from faculty, staff, and other representatives that have operational accountability for creating, maintaining, protecting, and ensuring the judicious use of student enrollment data.

The Data Stewards shall be appointed by the DGC and will primarily include individuals who are responsible for implementing and monitoring data governance policies and procedures related to student enrollment data. Data stewards typically have either technical or business expertise regarding the management and use of student enrollment data (technical data stewards and business data stewards).

Phase 1 Tasks
- Write the bylaws that will govern the operation of the DGC and obtain approval from the Data Trustees
- Establish the first data governance policies and procedures for student enrollment data
- Develop the data governance communication plan regarding policies and procedures for student enrollment data