

University of Hawai'i

Executive Policy on Institutional Data Governance

(Draft 5/3/12)

"Data governance is the exercise of authority and control (planning, monitoring, and enforcement) over the management of data assets."

DAMA: Guide to the Data Management Body of Knowledge

I. Vision

Data governance at the University of Hawai'i fosters a culture of shared responsibility and active participation among members of the University community in the stewardship of data and information entrusted to the University. The University of Hawai'i's institutional data governance philosophy is grounded in the University's core values of institutional integrity, service, collaboration, and respect, and its commitment to excellence and accountability.

II. Goals

The goals of data governance at the University are to:

- Protect the privacy and security of data and information under the stewardship of the University;
- Support a culture of responsible data use for informed and actionable decision making;
- Establish system-wide standards that enable holistic understanding of data across institutional boundaries;
- Promote the efficient use of resources to meet the data and information needs of the University community;
- Increase the University's transparency and accountability to external stakeholders and the public by promoting access to relevant information.

III. Definition of Institutional Data and Policy Statement

"Institutional Data" is defined as data elements which are created, received, maintained and/or transmitted by the University of Hawai'i in the course of meeting its administrative and academic requirements.

It is the policy of the University of Hawai'i to hold itself accountable for the privacy and security of its Institutional Data while keeping that data accessible for appropriate use.

This policy does not apply to data created, collected, or analyzed for the purpose of research that does not require the use of Institutional Data. Although those data are beyond the scope of this policy, they are subject to the requirements of Executive Policy E2.214, Security and Protection of Sensitive Information, which apply to all University-related data.

VI. Principles

The following principles are set forth as minimum standards to govern the appropriate usage and management of Institutional Data (see section IX, Definitions).

- **Institutional Data is the property of the University of Hawai'i and shall be managed as a key asset.** – Institutional Data will be managed through defined governance guidelines, standards, policies and procedures.
- **Institutional Data shall be protected.** – Institutional Data must be safeguarded and protected according to approved security, privacy and compliance guidelines, laws, and regulations established by the University of Hawai'i, the state, or the federal government.
- **Institutional Data shall be accessible according to defined needs and roles.** – Institutional Data shall be made accessible in accordance with the University's administrative policy on data sharing (forthcoming). Users deemed to have a legitimate educational interest shall be assigned appropriate access based on their roles.
- **Institutional representatives will be held accountable to their roles and responsibilities.** – Roles and responsibilities for data management will be clearly defined, and individuals assigned to specific roles will be held accountable for performing data management responsibilities, as a part of their regular job responsibilities.
- **Resolution of issues related to Institutional Data shall follow consistent and public processes.** – The Data Governance Committee shall coordinate the resolution of issues related to risks, costs, access, management, and use of Institutional Data with the appropriate Data Stewards and with UH leadership.

VII. Best Practices

- **Unnecessary duplication of Institutional Data is discouraged.** – Data Stewards (defined below) shall be responsible for sharing Institutional Data out of official Systems of Record, when reasonable and according to policies and procedures, so as to minimize redundant storage and processing of that data in multiple repositories.
- **Quality standards for Institutional Data shall be defined.** – Data quality standards shall be defined, published, communicated, managed, and applied

- **Vice President for Information Technology and Chief Information Officer –** The Vice President for Information Technology and Chief Information Officer is responsible for setting and enforcing standards and guidelines for data management technologies and systems related to computing infrastructures, data processing performance, data delivery and integration, data architectures and structures, metadata repositories, and access control mechanisms. The Vice President for Information Technology and Chief Information Officer has delegated authority over centralized Institutional Data Warehouses, such as the student, financial, and human resources databases.
- **Chancellors and System Vice Presidents –** Chancellors and system vice presidents (collectively referred to as UH leadership) have authority and responsibility over policies and procedures regarding access and usage of data within their delegations of authority. The Data Governance Committee serves in an advisory capacity to UH leadership on strategic matters and conflict resolution issues.
- **Data Governance Committee (DGC) –** The Data Governance Committee is responsible for: 1) revising, recommending, and developing the policies and standards that govern the University's data and information management practices at the direction of UH leadership; 2) defining clear and consistent structures and models, and establishing definitions to support systemwide coordination and collaboration for effective decision-support and efficient operations; and, 3) providing guidance and recommendations concerning the University's institutional data related to expanding access, improving quality, assuring security, and improving performance. The DGC also recommends solutions to UH leadership when disputes arise in the definition or usage of Institutional Data, promotes knowledge and awareness of the existence of data governance policies, standards, guidelines, and procedures. Committee members are appointed by the Executive Vice President for Academic Affairs/Provost (see Appendix III for roster). Membership is based on ex-officio roles for system based personnel and two-year terms for campus based personnel. Rotating memberships of campus based personnel are intended to promote knowledge and awareness of data governance throughout the system.
- **Institutional Research and Analysis Office (IRAO) Director –** A member of the DGC, the IRAO Director oversees the office that maintains the System of Record for student-related data and information and is the official reporting entity for student-related data and information for the University of Hawai'i. The IRAO Director coordinates the cross-functional reporting and analysis of student, finance, and human resource data. The IRAO Director leads the University's efforts around data quality and works collaboratively with system and campus leadership to improve the consistency and accuracy of operational and policy research data within the University's administrative data systems. The individual updates the DGC on data quality issues and is responsible for decisions around mediating and correcting inconsistencies in data definitions.

IX. Definitions

- **Institutional Data** – “Institutional Data” is defined as data elements which are created, received, maintained and/or transmitted by the University of Hawai'i in the course of meeting its administrative and academic requirements.
- **Institutional Information** – “Institutional Information” is defined as a collection of Institutional Data which can be **contained** in any form, including but not limited to documents, databases, spreadsheets, email and websites; **represented** in any form, including but not limited to letters, numbers, words, pictures, sounds, symbols, or any combination thereof; **communicated** in any form, including but not limited to handwriting, printing, photocopying, photographing, and web publishing; and **recorded** upon any form, including but not limited to papers, maps, films, prints, discs, drives, memory sticks, and other information systems.
- **System of Record** – A “System of Record” is Institutional Information that is designated by a Data Steward (defined below) as representing **official values** of the University. Official values are the data designated as the most accurate representation of the meaning and context of Institutional Data elements, which are recorded as facts. Official values are not necessarily the originally entered values, and as such, a System of Record may not necessarily be the system where values are originally entered. When questions arise over the meaning or interpretation of data elements or their values, the System of Record is used to resolve discrepancies.
- **Institutional Data Systems** – Institutional Data Systems are systemwide data repositories that collect and store Institutional Data and Institutional Information. These repositories house both transactional (operational) and reporting types of Institutional Data and Institutional Information, including Systems of Record. In some cases, Institutional Data may be purged on a regular basis from an Institutional Data System. Institutional Data Systems are subject to the same policies and procedures that govern the use of Institutional Data.

Refer to Appendix II for a listing of Institutional Data Systems and associated Data Stewards (see section VIII, Roles and Responsibilities). Note the listing is not intended to be all-inclusive of the University's Institutional Data Systems, but rather, represents Institutional Data Systems that are most likely to contain sensitive information.

- **Departmental/Unit/Local Data Repositories** – Various UH academic and administrative departments or units copy Institutional Data from Institutional Data Systems into their own departmental, unit, or local data repositories. Any Departmental / Unit / Local Data Repository that contains a copy of Institutional Data are subject to the same policies and procedures which govern the use of Institutional Data.

State of Hawai'i Administrative Rules

- Title 20, Chapter 16, Personal Records
<http://www.hawaii.edu/offices/bor/adminrules/chapter16.pdf>
- Title 20, Chapter 20, Protection of Educational Rights and Privacy of Students
<http://www.hawaii.edu/offices/bor/adminrules/chapter20.pdf>

U.S. Federal Rules and Regulations

- The Health Insurance Portability and Accountability Act (HIPAA)
<http://www.hhs.gov/ocr/privacy/hipaa/understanding/summary/index.html>
- Family Educational Rights and Privacy Act (FERPA)
<http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>
- Federal Information Security Management Act (FISMA)
<http://csrc.nist.gov/groups/SMA/fisma/overview.html>
- The Gramm-Leach-Bliley Act (GLBA)
<http://www.ftc.gov/privacy/glbact/glbsub1.htm>
- FTC Red Flags Rule
<http://www.ftc.gov/bcp/edu/microsites/redflagsrule/index.shtml>
- National Institute of Standards and Technology (NIST)
<http://www.nist.gov/index.html>
- Digital Millennium Copyright Act (DMCA)
<http://www.copyright.gov/legislation/dmca.pdf>

Appendix III

University of Hawai'i Systemwide Data Governance Committee (DGC)

Name	Title	Affiliation
Sandra Furuto	Director, Data Governance and Operations, Academic Affairs (<i>convener</i>)	UH System
Kathy Cutshaw	Vice Chancellor for Administration, Finance and Operations (<i>rotating member</i>)	UH Mānoa
Reed Dasenbrock	Vice Chancellor for Academic Affairs (<i>rotating member</i>)	UH Mānoa
Brenna Hashimoto	Director, Office of Human Resources (<i>ex-officio member</i>)	UH System
Francisco Hernandez	Vice Chancellor for Student Affairs (<i>rotating member</i>)	UH Mānoa
Lui Hokoana	Associate Vice President for Student Affairs (<i>ex-officio member</i>)	UH System
Luoluo Hong	Vice Chancellor for Student Affairs (<i>rotating member</i>)	UH Hilo
Pearl Imada Iboshi	Director, Institutional Research and Analysis Office (<i>ex-officio member</i>)	UH System
Susan Inouye	Director, Mgmt Info Services, Information Technology Services (<i>ex-officio member</i>)	UH System
Joanne Itano	Director, Academic Affairs (<i>ex-officio member</i>)	UH System
Jodi Ito	Security Officer, Information Technology Services (<i>ex-officio member</i>)	UH System
Paul Kobayashi	Director, Financial Management and Controller (<i>ex-officio member</i>)	UH System
Erika Lacro	Vice Chancellor for Academic Affairs (<i>rotating member</i>)	Honolulu CC
Joe Mobley	Vice Chancellor for Academic Affairs (<i>rotating member</i>)	UH West O'ahu
Peter Quigley	Associate Vice President for Academic Affairs (<i>ex-officio member</i>)	VP for Comm Colleges
Steve Smith	Associate Vice President, Information Technology Services (<i>ex-officio member</i>)	UH System
Alvin Tagomori	Vice Chancellor for Student Affairs (<i>rotating member</i>)	UH Maui College
Mike Unebasami	Associate Vice President for Administrative Affairs (<i>ex-officio member</i>)	VP for Comm Colleges

Appendix V

IT Security Leads

The IT Security Leads have been designated by their unit's Dean/Director or Data Security Leadership Council member to serve as the IT lead for information security responsibilities for their unit. The members of the group are:

adamson@HAWAII.EDU	James Adamson, Library Services
akiyamaj@HAWAII.EDU	Jason Akiyama, Kapiolani CC
bernierj@HAWAII.EDU	Jose Bernier, UH Maui College
bethke@UHWO.HAWAII.EDU	Earl Bethke, UH West Oahu
biorn@HAWAII.EDU	Dan Biorn, OHR
mc2011@HAWAII.EDU	Maria-Claudia Butcher, UH Press
tcao@ARCH.HAWAII.EDU	Tony Cao, Architecture
sheric@HAWAII.EDU	Sheri Ching, IA
dpschun@HAWAII.EDU	Diana Chun, OHR
sfabel@HAWAII.EDU	Stephan Fabel, UHM College of Education
cfujikaw@HAWAII.EDU	Carl Fujikawa, School of Social Work
juliefuj@HAWAII.EDU	Julie Fujimoto, School of Asian and Pacific Studies
jon@HAWAII.EDU	Jon Fujiwara, Shidler
yano@HAWAII.EDU	Sandra Furuto, OEVAPP
John.Han@UHFOUNDATION.ORG	John Han, UH Foundation
nick.harris@HAWAII.EDU	Nick Harris, Honolulu CC
maryh@HAWAII.EDU	Mary Hattori, Kapiolani CC
hui@HAWAII.EDU	Duncan Hui, Grad Division
jodi@HAWAII.EDU	Jodi Ito, OVPIT/CIO
brad@PBRC.HAWAII.EDU	Brad Jones, PBRC
rochelle@HAWAII.EDU	Piilani Kaaloo, School of Hawaiian Knowledge
kajihara@HAWAII.EDU	Tom Kajihara, Kauai CC
kawaharae@CTAHR.HAWAII.EDU	Elsie Kawahara, CTAHR
chasek@HAWAII.EDU	Chase Kawakami, Aquarium
tyk@HAWAII.EDU	Ty Kawanishi, UHM Student Affairs
rmedina@HAWAII.EDU	Richard Medina Languages, Linguistics and Literature
david@HAWAII.EDU	David Lassner, VPIT/CIO
chazluke@HAWAII.EDU	Chaz Luke, College of Social Sciences
dmasuda@HAWAII.EDU	Daryl Masuda, UH Hilo
stevemau@HAWAII.EDU	Steve Mau, JABSOM
mckimmy@HAWAII.EDU	Paul McKimmy, College of Education
mmeyer@HAWAII.EDU	Mike Meyer, Honolulu CC
morav@HAWAII.EDU	Philip Moravcik, Water Resources Research Center
gbmurata@HAWAII.EDU	Grant Murata, JABSOM
therese@HAWAII.EDU	Therese Nakadomari, LCC
rnakagaw@HAWAII.EDU	Ryan Nakagaawa, Arts & Humanities
jnikaido@HAWAII.EDU	Joey Nikaido, UHM Chancellor's Office
wnoguchi@HAWAII.EDU	Warren Noguchi, College of Social Sciences
ochi@HAWAII.EDU	Mitchell Ochi, ITS
okadacol@HAWAII.EDU	Colleen Okada, TIM
harry@HAWAII.EDU	Harry Partika, College of Social Sciences
deannacp@HAWAII.EDU	Deanna Pasternak, OVPIT & CIO, InfoSec
pilger@HIGP.HAWAII.EDU	Eric Pilger HIGP
phr@IFA.HAWAII.EDU	Pui Hin Rhoads, Institute for Astronomy
sakata@HAWAII.EDU	Henry Sakata, IRAO
schulte@HAWAII.EDU	Stephen Schulte, Hawaii CC
seamon@HAWAII.EDU	Ken Seamon, Lyon Arboretum