

Individual Level Faculty and Staff Data Reporting and Use Guidelines Indiana University-Purdue University Indianapolis (IUPUI) Campus

BACKGROUND AND PURPOSE OF GUIDELINES

As IUPUI continues to engage in data-driven decision making at all levels of the campus, effective data governance is essential to provide trusted, secure, timely, high-quality data consistently to all users. IUPUI is witnessing an increase in demand for faculty and staff data for planning, program evaluation, assessment, institutional research, strategic planning and more. Moreover, there has been a growth in the amount of faculty and staff individual-level data collected and stored electronically in various systems (e.g., survey data, institutional data, the Canvas Learning Management System, Digital Measures, Academic Analytics, Faculty Annual Reporting, Human Resources Management System (HRMS), etc.).

The purpose of the *Faculty and Staff Data Advisory Council* is to advise the IUPUI campus community on how we ensure data availability and quality, while also carefully preserving individual privacy, confidentiality of identifiable information and data, academic freedom, and faculty/staff prerogatives.

Please note: These guidelines and procedures are intended for faculty and staff individual-level data only. If you are requesting student-level data, please see student-level guidelines; these guidelines are available at the Institutional Research and Decision Support website: <http://irds.iupui.edu>.

CURRENT MEMBERS OF THE FACULTY AND STAFF-LEVEL DATA ADVISORY COUNCIL (updated 11/18/2019)

- Appointed Faculty Member of Faculty Council:
 - Current member: Rachel Applegate, MSLS, Ph.D., Associate Professor, School of Informatics and Computing, Department of Library and Information Science.
- Senior Associate Vice Chancellor for Academic Affairs
 - Current member: Margaret R. Ferguson, Ph.D., Senior Associate Vice Chancellor for Academic Affairs
- Senior Advisor to the Chancellor, Planning and Institutional Improvement
 - Current member: Stephen P. Hundley, Ph.D., Senior Advisor to the Chancellor, Professor of Organizational Leadership, Planning and Institutional Improvement
- Assistant Vice Chancellor, Institutional Research and Decision Support (IRDS)
 - Current member: Michele Hansen, Ph.D., Assistant Vice Chancellor, Institutional Research and Decision Support (IRDS)
- Director of Institutional Effectiveness and Survey Research, Institutional Research and Decision Support (IRDS)
 - Current member: Caleb Keith, Ph.D., Institutional Effectiveness and Survey Research Director of Survey Research and Evaluation, IRDS
- Vice Chancellor for Research
 - Current member: Janice Blum, Ph.D., Interim Vice Chancellor for Research and Graduate Education
- Director of Evaluation and Psychometric Services
 - Current member: Howard R. Mzumara, Ph.D., Director, Evaluation and Psychometric Services
- Director of Human Resources Administration
 - Current Member: Juletta Toliver, Senior Director of Human Resources Administration or designee
- Data Specialist, Office of Equal Opportunity
 - Current member: Nay Petrucelli
- Appointed Member of Staff Council
 - Current Member: Leslie Albers, Compliance Project Coordinator, Office of Research Compliance

RECOMMENDED PROCEDURES FOR REQUESTING AND PROVIDING INDIVIDUAL-LEVEL FACULTY/STAFF DATA

1. General Procedures

These proposed procedures relate to IU employees, faculty, administrators, and external stakeholders requesting faculty or staff individual-level data and information. Articulating one policy that applies to all types of requests for individual-level faculty and staff data is challenging due to the wide range of requests as well as existing formal policies and procedures guided by the Institutional Research Board (IRB), contracted vendors' and external researchers' formal data use agreements, and the IU Committee of Data Stewards. As such, this document articulates some general procedures related to the release of individual-level faculty and staff data.

The *Faculty and Staff Data Advisory Council* members will serve as an advisory council and ad hoc review faculty/staff-level data requests for the office of Institutional Research and Decision Support, Academic Affairs, Faculty Council, and Staff Council. As such, the existence of the advisory council will help ensure greater scrutiny of data management and protection practices.

2. Definition of Faculty and Staff Individual-Level Data

Faculty and Staff Individual-Level Data refers to data and information provided at the individual level of analysis (where individual records are likely to be linked to an identifiable faculty or staff member) rather than aggregate or summary-level information. Faculty/staff-level data refers to any information that IUPUI (or IU) collects on individual faculty or staff members, including data such as:

- Demographics and personal information (e.g., a faculty or staff member's age, gender, race, place of residence).
- Human resources and faculty records information (e.g., salary, years of employment, rank, promotion and tenure decisions, faculty annual reporting information that is not public in nature).
- Instruction information (e.g., courses taught, credit hours taught, course completion rates by section, DFW rates by section, course evaluation results).
- Other forms of faculty or staff data collected and used for decision making.

Faculty and staff individual-level data denote information about faculty or staff, either contributed by individuals themselves in surveys, promotion and tenure documents, or as part of institutional records. Requested information may be part of the Human Resources Management Systems (HRMS), Faculty Records and Reporting, Indiana University Information Environment (IUIE), among other information systems.

3. Informing Faculty and Staff Members about Potential Sharing and Use of Personally Identifiable Data in Advance

Faculty and staff members will be clearly and explicitly informed about the potential use and sharing of their individually identifiable information when asked to provide information that may not be publicly available. This informing procedure will be required when faculty or staff are asked to provide information voluntarily, such as for surveys (questionnaires, interviews, focus groups), and when information is required for employment purposes (e.g., sharing curriculum vitae-type information as part of promotion and tenure and annual reporting processes).

4. IUPUI Release of Faculty-Level Data Review Process and Procedures

Information Requester

For individuals who already have access to faculty or staff individual-level data, other university access policies and procedures continue to apply. If faculty or staff individual-level data is requested of various offices such as the Office of Institutional Research and Decision Support, Academic Affairs, Faculty Council, etc., the requester will be asked to complete an *IUPUI Faculty/Staff-Level Information Request Form*. This form will address important issues such as

limitations on use of the data, obligations to safeguard the data, and privacy rights that are associated with transfers of confidential or protected data. At the minimum the requester will be asked to provide:

- Name, title, contact information.
- What information is requested.
- Whether or not individual-level/identifiable information is requested.
- Intended use of the information.
- With whom the information will be shared, and in what form (e.g., in summary or individual-level).
- Clear explanation of a data management and security plans (e.g., how the data will be stored; password protected, secure environment).
- Clear explanation of how the requester plans to maintain accuracy and integrity of information (e.g., data analyses, presentation formats, research methods and approaches).

The requester will also be asked to complete the following agreement:

- By completing this form, you agree that you will not transfer the information provided to other individuals or parties not listed in the original request and reflected in the description of the use of the information.

The requester must also:

- Provide Institutional Research Board (IRB) approval if necessary..
- Complete the Acceptable Use Data Agreement and the HRMS Data Use Tutorial (required for access to employee data in all enterprise systems). <https://www.indiana.edu/~uhrs/HRMSdataUse/index.html>;
https://www.iu.edu/~asqa/page/enterprise_app_compliance.php

Information Provider

Similar to the expectations at the University level, individuals providing access to faculty and staff-level data based on campus needs want to assure there is a legitimate need to know/have access to that information, and that the receiver of the data understands their obligations in the protection and use of that data, etc. Offices and entities that provide faculty and staff-level data (e.g., Office of Institutional Research and Decision Support, Academic Affairs, Faculty Council) will abide by the following procedures for campus ad hoc requests and access to faculty and staff-level data:

- Require the completion of the *Faculty/Staff-Level Data Request Form*.
- Require the completion of the Acceptable Data Use Agreement and HRMS Data Use Tutorial (required for access to employee data in all enterprise systems).
<https://www.indiana.edu/~uhrs/HRMSdataUse/index.html>
- Confirm that the requester (if internal IU) has completed the appropriate data agreement forms and completed the HRMS Tutorial by accessing the following site:
https://www.iu.edu/~asqa/page/enterprise_app_compliance.php
- Require Institutional Research Board approval as necessary and formal proof of approval.
- Obtain counsel from the Faculty/Staff-Level Data Advisory Council (for cases where the data coordinator seeks counsel/advise on a specific request).

If the procedures above are followed and the Information Provider considers the request reasonable and legitimate, the request for information will be granted. If the Information Provider is not comfortable with the request, the Information Provider may ask for consultation with the *Faculty and Staff Data Advisory Council*. In cases where the requested information is denied, the Information Requestor may appeal to the Executive Vice Chancellor.

APPENDIX A: Additional Information Regarding Faculty and Staff Individual-Level Data Access

SENSITIVE DATA

In the course of its academic mission and its day-to-day administration, Indiana University collects large amounts of personal data on its faculty and staff members. Much of this data is not sensitive, and is in fact publicly available (e.g., names, salary information, and telephone numbers). However, some of it is sensitive, including personal, financial, and legal information. Sensitive data include information protected by Indiana or federal law as well as that protected by university policy. For details, see Management of Institutional Data (DM-01).

BACKGROUND ON UNIVERSITY SYSTEM ACCESS

Committee of Data Stewards

The Committee of Data Stewards are responsible for establishing policies, procedures, and guidelines for management of institutional data across Indiana University. Individually, each of the Data Stewards have management and policy-making responsibilities for specific data subject areas, as part of the virtual institutional data base.

<http://datamgmt.iu.edu/>

IUPUI Access Coordinators

There is an online lookup to determine who the Access Coordinator is for a unit:

<https://apps.usss.iu.edu/datamgmt/aboutus.cfm>

For a complete list of IUPUI Access Coordinators, contact the IUPUI Office of the Registrar.

Access Coordinators assess and submit requests for system access. For units that do not have an established Access Coordinator, they submit their requests for access through the Office of the Registrar where the assessment takes place.