Data Governance Charter
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For more information, contact:
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Banner Executive Committee

Goal

To create a robust management information and data analytics environment that enables actionable insight by University decision-makers in support of student success and strategic decision-making.

Purpose and Vision

Banner Executive Committee creates a culture of data governance by combining data management, data quality, data, and government policy through a system of decision rights. Data governance is not a one-time effort; it requires ongoing monitoring to support continuous improvement. It deals primarily with orchestrating and standardizing people's actions and processes to optimize data integrity and quality.

Banner Executive Committee creates a decision-making architecture that prioritizes decisions regarding data and system integrations to address most of the University's relevant needs that determine the standards and best practices for coding schemas, data definitions and policies, and quality control.

Scope

The scope of the Banner Executive Committee is to monitor and resolve data, integration, and system issues within the University, which contain standardized system data and those data used for data infrastructure, internal and external reporting, and to advance institutional goals. Data not requiring standardized, system-wide codes for reporting or data-sharing are exempt from this process until the need for standardization.

Guiding Principles

All recommendations and decisions should be fully documented to include the intended purpose, definition, and identified impacts. They should be accompanied by a diagnostic evaluation of issues with the current definition, how the data were represented under that definition, and how the data would look under the new definition.

Align and leverage other related work when standardizing data definitions, e.g., Institutional Data Governance and Management Policy (2387_0), the Common Education Data Standards (CEDS), the American Association of Collegiate Registrars and Admissions Officers, the Association for Institutional Research, the National Association of College and University Business Officers (NACUBO), the National Institution of Governmental Purchases (NIGP), and the National Information Exchange Model (NIEM).

Data Management

Identify and prioritize the curation of key entities' data and processes used across the institution that provides a common point of reference. These data are typically persistent, non-transactional, and are used by multiple systems for university-level and state-level analysis to report externally, used nationally, or for funding decisions.

Data Owner

East Stroudsburg University owns all institutional data. Members of the University community have an obligation to protect these resources in all formats and all locations through the appropriate use of the assets. Official data must reside in an authoritative system of record. Only data from an authoritative system of record will be used for official reporting and decision-making.

The owner is responsible for all data being read, created, collected, reported, updated, or deleted by offices of the organization. The president of East Stroudsburg University is identified as the data owner of the institutional data and may delegate the ownership to other executives of the University.

Data owners have the responsibility for the identification, appointment, and accountability of data trustees.

Data Trustees -- Banner Executive Committee

Data trustees, designated by the data owner, are executives who have overall responsibility for the data being read, created, collected, reported, updated, or deleted by the units reporting to them. These positions/offices are generally cabinet-level positions reporting directly to the entity data owner.

Responsibilities of the data trustees include, but are not necessarily limited to:
— Ensuring that data accessed and used by units reporting to them is done so in ways consistent with the mission of the University;
— The identification, appointment, and accountability of data stewards within the functional area(s) for which they are responsible. The data trustees will inform Banner Executive Committee; of their data steward appointments, including the office, name, and contact information of the incumbent;
— Participating as a member of the Banner Executive Committee; and,
— Communicating concerns about data quality to the data owner.

The University's chief information and technology officer (CIO), as a data trustee, has the responsibility for ensuring that technical infrastructure is in place to support the data needs and assets, including availability, delivery, access, and security across the entirety of their operational scope.

Data Stewards -- Operations Committee

Data stewards, designated by the data trustees, are offices/positions responsible for the data being read, used, created, collected, reported, updated, or deleted. The technology used to do so in their functional areas. Positions held by the data stewards typically report directly to the data trustee. Data

stewards recommend policies to the data trustees and establish procedures and guidelines concerning the access to, completeness, accuracy, privacy, and integrity of the data they are responsible for. Individually, data stewards act as advisors to the data trustees and have management responsibilities for data administration issues in their functional areas. Depending on the size and complexity of a functional unit, it may be necessary and beneficial for a designated data steward to identify associated data stewards to manage and implement the stewardship process.

Responsibilities of the data stewards include, but are not necessarily limited to:
— Ensuring data quality and data definition standards are met.
— Identifying the privacy level as critical, restricted, internal, or public for functional data within their area(s) of supervision/direction.
— Establish processes for reviewing and approving data use and to whom access is granted, integration for new system proposals, and changes to existing systems and environments.
— Working with Data Standards and Warrior Team, identifying and resolving issues related to stewardship of data elements that cross multiple units or divisions when used individually or collectively.
— Participating as a member of the Operations Committee as appointed by the data trustee.
— Communicating concerns about data quality to the data trustees.

Depending on the size and complement of the office for which the data steward is responsible, the data steward should assume or delegate steward-type roles to define the accountabilities and responsibilities that go with each data action occurring within the functional area, to wit: data definition, data collection, data reading, data creation, and so on.

Data Standards

Data Stewards: will be comprised of subject matter experts.

Data Standards will:
— Determine a standardized coding schema for assigned data elements after thorough research and outreach to university staff and PASSHE.
— Proposing standard coding schemas and data definitions to Operations Committee.
— Escalating data-related issues to the Operations Committee.
— Implement data quality standards and all decisions of the Banner Executive Committee.

Committee Authority

At East Stroudsburg University, data governance is guided by a framework and managed by the Banner Executive Committee. It is the function of the Banner Executive Committee to act as a decision-making body. However, some decisions must be escalated to other authorities.

Deliverables

— **Assessment:** Assessment of current assets, capacity, and user needs, including 1) Reports and analytic capacity currently placed in various offices, 2) relevant business process maps, 3) decision support and management information experts, 4) inventory of current technology tools

and the state of data integration 5) data sourcing and ownership across divisions 6) staff and departmental roles and responsibilities, and 7) current and anticipated needs.

— **Description of the desired state, including:**
  - **Data Governance:** A well-defined and communicated data governance structure and policy, with clearly established roles and responsibilities and a universally understood central repository for data standards and access controls.
  - **Data Dictionary:** An accepted and authoritative data dictionary establishing data sources, values, and operational definitions for critical data elements, enabling consistency across all of our reporting.
  - **Data and Report Validation:** Established and accepted data and report validation procedures to ensure accuracy and consistency in our data reporting.
  - **Data Stewards:** Empowering the Data Stewards as gatekeepers of university data assets, charged with reviewing and approving data use and integration for new system proposals, as well as data scope changes for existing systems and environments.
  - **Data Portal:** Design of a central public and private data portal, including the user-level data dictionary, standardized reports, and the most frequently requested reports.
  - **IT Infrastructure:** Required IT infrastructure (databases, software) right-sized to meet established goals and eliminate the redundant and obsolete.
  - **Data Literacy Training and Internal Consulting:** End-user training and consultancy educate the campus community about how to access and where to go for the data and management information they need to monitor progress and inform strategic and operational decision-making.
  - **Implementation of the Desired State:** A plan for successful implementation of the desired state, with timelines and designated responsibilities, including short-term and long-term goals and success benchmarks.

Decision-Making Practices

To proactively address issues related to our information technology infrastructure ESU has established data governance practices to improve and sustain the University's data assets into the future. This structure aims to establish and maintain data integrity, create operational processes, and prioritize ongoing projects. Precisely, this structure consists of the following four entities: Banner Executive Team, Operations Committee, Data Standards Committee, and Warrior Team.

Each member of the committees shall have one vote.

A business requiring a vote shall be submitted to the committees at least one week prior to a meeting where the business will be considered. Only decisions to be made on coding, definitions, or integrations require a vote. Other decisions made by the Banner Executive Committee can be made less formally.

Votes shall be counted once all votes are cast or when the one-week period has passed. The voting is concluded once all votes are received, even if the one-week period has yet to pass. Votes may be cast in person, via ZOOM, or via email and will be documented by the committees. Two-thirds of votes shall approve an item.

Communication

The committees will develop, implement, and monitor a communication map showing the direction of communications into and out of the committee. This will include plans for documentation and accessibility to this documentation.

Committee Compositions

Banner Executive Team – meets every other Tuesday
This team serves as an oversight body and allocates resources for ongoing projects. In addition, the team reviews project priorities forwarded from the Operations Committee. Members include the Vice President of Academic Affairs, Vice President of Campus Life and Inclusive Excellence, Chief Financial Officer, Vice President of Enrollment Management, Chief Information and Technical Officer, and the Registrar. The Chair is Chief Information and Technical Officer.

Membership:

Chair, Chief Information and Technical Officer	Robert E. Smith, Ed.D.
VP Academic Affairs (AA) & Provost	Margaret J. Ball, D.M.A
VP Campus Life and Inclusive Excellence	Santiago Solis, D.Ed.
VP Enrollment Management	Karen Lucas
VP Economic Development & Entrepreneurship	Mary Frances Postupack
Chief Financial Officer	Donna R. Bulzoni
Registrar	Geryl Kinsel

Operations Committee – meets every other Friday
This committee reviews operational processes across all divisions and programs, develops a timeline that drives decisions addressing identified student needs, and strives to reduce duplication of administrative functions. This committee aims to ensure a seamless student experience through

smooth process management. This committee reports to the Banner Executive Team. Members include representatives from the Academic Affairs, Campus Life and Inclusive Excellence, Administration and Finance, and Enrollment Management Divisions. The Chair is Registrar.

Membership:

Chair: Registrar	Geryl Kinsel
VP Enrollment Management	Karen Lucas
Dir. of Enrollment Mgmt. Operations	Debbie Zapatier
VP Campus Life and Inclusive Excellence	Santiago Solis, D.Ed.
Chief Information and Technical Officer	Robert E. Smith, Ed.D.
Chief Financial Officer	Donna R. Bulzoni
Associate Provost	Christopher Domanski, M.F.A.
Assoc. Dir. of Res. Life	Dave Campbell
Director of Student Accounts	Andres Ramos
Director of IR	Josie Kraemer
Director of Financial Aid	Leo Hertling

Data Standards Committee – meets 2nd Monday of the month

This committee determines the ownership of Banner forms and tables, identifies and addresses inconsistencies in coding, develops procedures, and reviews requests for changes to data coding. This committee reports to the Operations Committee. Members include representatives from the Academic Affairs, Campus Life and Inclusive Excellence, Administration and Finance, and Enrollment Management Divisions. The Chair is the Director of IRDS.

Membership:

Chair: Director of IR	Josie Kraemer
Registrar	Geryl Kinsel
Dir. of Enrollment Mgmt. Operations	Debbie Zapatier
Assoc. Dir. of Information Technology	Doug Ranzan
Director of Student Accounts	Andres Ramos
Assistant Controller	Jennifer Keat
Director of Financial Aid	Leo Hertling
Assoc. Dir. Graduate Education	Kevin Quintero

Warrior Team – meets every Wednesday

The Warrior Team works with all departments to develop and improve the student information system (Banner). In addition, the Warrior Team intersects with the Operations Committee to determine implementation processes and resolve functional issues of approved Operations Committee recommendations. This committee reports Operations Committee.

Membership:

Chair: Registrar	Geryl Kinsel
VP Enrollment Management	Karen Lucas
VP Campus Life and Inclusive Excellence	Santiago Solis, D.Ed.
Chief Information and Technical Officer	Robert E. Smith, Ed.D.
Associate Provost	Christopher Domanski, M.F.A.
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Director of IRDS	Josie Kraemer
Director of Student Accounts	Andres Ramos
Director of Financial Aid	Leo Hertling
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Assoc. Dir. Graduate Education	Kevin Quintero
Assoc. Dir. of Information Technology	Doug Ranzan
Assoc. Dir. of Res. Life	Dave Campbell

Appendix

Domains

Banner Executive Committee Domain

Examples of associated responsibilities that would likely include, but not necessarily be limited to, the following:

— Assigning business meaning – Define the data entity/element at a level appropriate for the Operation Committee domain of influence.
— Approving data model – Confirm that the data model accurately represents the data entity, its attributes, and its relationship to other data entities when appropriate.
— Build data model around data entity – Assemble and consolidate business information about the data entity and interpret it into a data model that accurately reflects the data entity for the steward's domain of influence.
— Define the external authoritative source of the domain of values as well as its update rate, usage restrictions, and any necessary contact information.
— Defining business rules – Define any business rules relating to the population of or relationship to the stewarded data. For example, the business rules may include the data's criteria for uniqueness or domain limitations that are dependent on associated data.
— Maintaining Domain against External authority – Update the domain of values within an agreed-upon and business-appropriate period. Test and communicate these changes to identified stakeholders.
— Defining Relevant Quality Metrics – Define appropriate metrics to measure the data quality in terms of fit for use. For each metric, identify the data quality characteristics and dimensions with which it is associated.
— Define Method to Measure/Track Defined Metrics – Define the process, frequency, and responsibility for measuring data quality as defined.
— Defining Adequate Quality Levels of Selected Metrics – Define acceptable levels of quality in terms of the defined metrics and any business rules associated with the levels of quality that may indicate business process issues or the need for steward activity.
— Define security classification of data – Associate the data, attributes, and data combinations with defined Security data security classification levels.
— Opening Projects are initiating changes to data – Initiate projects related to changes in the data or data model that must be implemented technically.
— Providing Method(s) of access – Design and implement data delivery methods 'that meet or exceed defined performance requirements within the domain of stewardship.
— Mediating data usage issues – Provide mediation and arbitration services between users or user groups in cases where there are disagreements or identified data issues within the domain of stewardship.
— Maintaining data flows – Construct and maintain information flow diagrams relating to the stewarded data within the domain of stewardship. Document transformations and business rules implemented within the domain of stewardship.
— Managing Contracts related to the data – Maintain documentation on documentation related to an external authorities' copyright or usage restrictions related to the data. This may include, but

is not limited to, replication restrictions, contract renewal frequency, contact information, and limitations on the internal modification of the defined dataset.

⎯ Provide strategy for data – Construct and present a strategy for enhancing the value or consistency of the data within the stewardship domain.

⎯ Enforcement of data domain – Enforce the data domain within the domain of stewardship and ensure the creation of and adherence to strategies to become compliant in cases of non-compliance.

⎯ Enforcement of data standards – Enforce the data standards within the domain of stewardship and ensure the creation of and adherence to strategies to become compliant in cases of non-compliance.

⎯ Enforcement of data usage/access – Enforce that applications/databases/systems within the domain of stewardship comply with defined data usage/access policies.

⎯ Communicate to stakeholders – Serve as the central voice representing the enterprise use, policies, and decisions around the stewarded data.

⎯ Communicate for stakeholders – Serve as the central voice representing the various stakeholder perspectives within the domain of stewardship.

Operations Committee Domain

Examples of associated responsibilities that would likely include, but not necessarily be limited to, the following:

⎯ Defining Performance Requirements – 1) Define the performance requirements for the centrally provisioned data for usage within the domain of stewardship. 2) Define application/database/system-specific performance requirements related to the stewarded data, and any non-centrally provisioned data that may be used in conjunction with it.

⎯ Defining Update Frequency – Define the frequency in which the stewarded data may (to prevent synchronization issues) or must (to ensure accuracy) be updated to meet business needs within the domain of stewardship.

⎯ Defining appropriate security roles related to data – Define roles associated with securing, provisioning, and auditing the data security within the stewardship domain and define named individuals for each required role.

⎯ Define retention policy – Define the retention policy associated with the data and its attributes, as well as provide a reference to any legal or externally defined retention restrictions or requirements.

⎯ Approving requests for access to data – Approve requests for access to the data or the data combined with other information that may have increased access restrictions.

⎯ Supporting User Community Questions/Inquiries – Provide a central contact for user community questions/inquiries relating to stewarded data within the domain of stewardship.

⎯ Providing Training on Data – Construct and provide necessary training on the stewarded data as needed or upon request.

⎯ Approving data location/replication requests – Serve as the central contact for requests to replicate the data or a subset of the data and provide approval or rejection for requests.

⎯ Enforce data location/replication decisions – Enforce recommendations not to replicate the data or a subset of the data and assure that the recommended access method and storage location are utilized.

— Enforcement of data domain – Enforce the data domain within the domain of stewardship and ensure the creation of and adherence to strategies to become compliant in cases of non-compliance.
— Auditing compliance to contracted usage – Audit compliance to the defined data usage restrictions within the domain of stewardship. Identify and resolve issues with contract compliance of stewarded data outside of the domain of stewardship.
— Audit performance compliance – Define performance metrics and utilize said metrics to track, report, and communicate application/database/system compliance with defined performance requirements.
— Provide strategy for data – Construct and present a strategy for enhancing the value or consistency of the data within the stewardship domain.

Data Standards Domain

The Data Standards Committee works with all divisions, colleges, and departments to develop and improve functional processes within the integrated systems (i.e., SLATE, etc.), student information system, employee information system, etc. The Data Standards Committee intersects with the Operations Committee to determine implementation processes and resolve functional issues of approved Data Steward recommendations. In addition, this Group communicates and forwards recommendations to the Banner Executive Committee.

— Defining formatting rules – Define the data type, length, population rules, and any other formatting rules associated with the proper representation of the data. If there are alternate formats for the data, list the aforementioned information for each format and identify the preferred format if one exists.
— Testing of Data – Test the acceptability of data changes for usage within the domain of stewardship.
— Storing – Store the information relating to the data metadata (including the definition and associated business rules) in a way that meets the current and future business uses of this metadata.

Examples of associated responsibilities that would likely include, but not necessarily be limited to, the following:

— Data Definer is responsible for:
  o Defining data in the best interest of the organization;
  o Making the definition of data available to the organization; and,
  o Communicating concerns about data quality to the data steward or data trustees.
— Data Creator is responsible for:
  o The accuracy of data being captured, created, or entered;
  o The timeliness of data being captured, created, or entered;
  o Defining the processes by which the technologies capture, create, or enter the data to be used; and,
  o Communicating concerns about data quality to the data steward or data trustees
— Data Reader is responsible for:
  o The integrity/security of data being read/used; and,

- o Communicating concerns about data quality to the Operation Committee.