



Data Governance Charter



The American
University of Paris

Approved
21 September 2021

Prepared
By:



MORAN
TECHNOLOGY CONSULTING

Document Revision History

Action	Date	Version #	Performer
Data Governance "Draft" Charter submitted	17 May 2021	11	MTC
Updated Draft submitted	12 July 2021	12	MTC
Revised Draft submitted	26 July 2021	13	MTC
Approved Draft	9 August 2021	14	AUP IRIS Core Team
Modified and Approved for Action with a 1-year review	21 Sept. 2021	15	AUP Leadership Team

Table of Contents

Document Revision History	2
I. Purpose of Data Governance Charter	4
II. What is Data Governance	4
III. Why Data Governance	5
IV. Data Governance Framework	5
V. Guiding Principles for Data Governance	6
VI. Data Governance Processes	7
VII. Data Governance Organizational Structure	9
Roles and Responsibilities	9
Leadership Team	9
Data Stewardship Committee (DSC)	11
Data Users (DU)	11
VIII. Appendices	13
Appendix 1: Data Governance Council (DGC) Members	14
Appendix 2: Data Stewardship Committee (DSC) Members	15
Appendix 3: Data Users (DU)	16
Appendix 4: Data Governance Tasks	17

I. Purpose of Data Governance Charter

The purpose of this document is to provide the terms of reference and structure for data governance at the American University of Paris (AUP.) This framework provides a common basis for working with institutional data as a mission-critical university resource. It defines the policies and responsibilities that come with the use of institutional data and its management by all members of the AUP community. It also explains the processes for making decisions about this data.

II. What is Data Governance

Data governance is a collection of policies, practices and processes which help to ensure the formal management of data assets within an organization. Data governance often includes concepts such as data stewardship, data quality, and others to help an institution gain better control over its data assets, including methods, technologies, and behaviors around the proper management of data. It also deals with security, privacy, integrity, usability, integration, compliance, availability, roles and responsibilities, and overall management of the internal and external data flows within an organization. Data governance applies to data held in administrative and academic systems for purposes of being the system of record for AUP decisions. The data may exist in any digital form including raw, derived, summarized, or aggregated.

In the university context, effective data governance will:

- Ensure establishment, maintenance, and delivery of secure, confidential, ethical, trustworthy, stable, reliable, and accessible collections of institutional data for appropriately shared access by the university community;
- Maximize the value received from the data asset by increasing the understanding and use of the data
- Provide an integrated view of the functions of the university;
- Improve direct access to data by end-users in accordance with institutional policies, ethical and privacy norms, and regional, national, and EU privacy and security laws and regulations;
- Support the university's strategy to incorporate information technology as an integral part of decision-making, competitive positioning, and delivery of services;
- Establish decision rights with respect to university data that ensure accountability; and
- Support the university's primary missions of teaching and learning, research, and public service.

The ability to make informed decisions, perform strategic planning, assess performance, and identify risks is contingent on having a well-defined data governance process that spans divisional units and addresses all university-wide data information systems.

Data governance is critical in identifying what and where data currently exists and/or needs to exist in the future, defining responsibilities related to the management of data, and assigning accountability for those responsibilities to specific groups or individuals within the university. In addition, data governance encompasses the people who are responsible for data quality (the

custodians); the policies and processes associated the creation, collection, storage, maintenance, classification, use, dissemination, and disposal of this data and the information technology systems and support that provide efficient technology infrastructure.

Effective governance is not a one-time exercise, but rather a fully developed effort and repeatable process – executed by people and supported by technology. Governed and principled data management is the only way to ensure ongoing compliance with institutional and regulatory standards and requirements. Data management also provides sound data integrity in preparation for future changes (such as evolving business challenges, emerging technologies, and new data flows).

III. Why Data Governance

AUP needs to be able to make decisions about how to collect and manage data in an efficient way within a complex legal, regulatory and compliance environment to maximize the value of the data for decision-making as well as supporting an environment that focuses on performance measures, targets, and accountability.

Regardless of whether data are used widely across the institution or in ‘silo’ areas, they need to be managed in a responsible way by staff who are designated as accountable for that data. One of the principles of data governance, however, is that individuals and areas do not ‘own’ data – data are an institutional asset that may flow through many processes, stored/moved/transformed by information technology (IT) systems, and can end up in an array of reports. Hence, a ‘federated accountability’ approach to data stewardship is recommended, whereby segments of the data lineage (from data creation/acquisition through to reporting) are documented and accountability for each segment is assigned.

IV. Data Governance Framework

AUP owns and manages vast volumes and varieties of data. From student admissions to payroll records to research statistics, AUP needs a framework to ensure that data are managed as a strategic asset. Data governance provides the framework to support the proper valuation, definition, risk management, compliance management, and information lifecycle management of data.

Successful data governance includes the processes required to manage data as an asset (i.e., the definition of “student” is different in different departments---a “student” to Admissions is different from a Student Services “student” which is different again from a Graduate Studies “student.” What happens when someone wants to make a change to how we count “students”? Whose definition prevails?)

How AUP makes decisions about data definitions, data accessibility, and data ownership affects how data can be used. It also affects the quality and value of data assets.

The data governance processes ensure that the highest quality data possible are delivered throughout AUP. Data governance helps to provide data transparency and results in confidence among faculty, staff, and management to rely on data for information and decision support. It is

vital to have accurate, trusted data to make sound decisions. If information cannot be trusted, it becomes almost impossible to gain full value from their use. Untrustworthy data means untrustworthy decisions.

Data governance plays a central role in the control and distribution of important information within the university. Data governance ensures:

- The right people are making decisions about data;
- The right people can create, update, delete data;
- The right people have access to data to guide management decisions;
- All users process accurate information;
- Data values are consistent across the institution; and
- Decisions are made based on accurate data.

The data governance framework at AUP will be part of a regular review with periodic updates to fit the changing needs of AUP. A successful data governance framework is built upon guiding principles, policies and procedures, an organization structure that includes Data Governance Council (DGC), Data Stewardship Committee (DSC), Data Users (DU), and the processes to support this structure.

V. Guiding Principles for Data Governance

The core principle of the data governance process model is to ensure AUP uses a single version of each data element that is held to be the master version of that data. This approach is often referred to as the single version of the truth in data. Where multiple copies of data are stored, AUP will define the “System of Record” for data fields.

Every piece of data is an asset and as such, data are considered an investment. The creation, reading, updating, and deleting of data requires mindful processes to ensure each of those data operations is performed in the best interests of the institution. The data governance processes at AUP follows these principles:

- AUP is the owner of all institutional data and will manage this data as a strategic asset.
- Data quality is defined and monitored to ensure all AUP data are trustworthy.
- There is a single system of record for each AUP data element and unnecessary duplication of data across multiple information systems will be avoided and corrected where it may exist.
- Institutional data must be stored in a secure manner. Access is provided to internal authorized users who have a legitimate need for data based on their professional role at AUP.
- Data are used only for the purposes for which use is authorized and authorization for access to data is not transferable.
- There is a common vocabulary and definition to describe each data element and data relationship (data dictionary.) All data describing data (metadata) is stored and maintained in a shared repository.
- Decisions about data ownership, access, quality, official system of record, and conflict resolution follows consistent processes and is supported by the organizational structure.

- Management of data complies with legal and government requirements, AUP policies, privacy compliance, contractual obligations, and industry best practices.
- All AUP data users uphold the quality and integrity of the data they access, follow AUP's data governance processes, and guard against making incorrect interpretations of data.
- All stakeholders in the data governance process collaborate, cooperate, and coordinate their activities with other AUP departments and programs whose mandate intersects with the management of information systems.

VI. Data Governance Processes

Effective data governance necessitates a set of university-wide repeatable processes. A process specifies a high-level set of tasks, the flow of the tasks, who is responsible for completing each task, and who needs to approve decisions.

AUP will implement the following processes:

1. Grant and Maintain Access to Data

Users may be assigned access or may request access to AUP data for purposes of administrative function, systems integration, research and/or external data needs that are consistent with AUP's mandate. Data are overseen by Data Stewards within each functional area. All requests for data access will be reviewed on factors such as privacy, security, administrative burden, and alignment with AUP values and priorities. If a user is granted access to AUP data, the user will be required to agree to comply with AUP-defined terms and conditions.

2. Define and Maintain Data Quality

Data quality refers to the degree to which data are accurate, complete, timely, and consistent with all requirements and business rules, for a given use. If a user has identified a data quality issue within an enterprise system, the Data Steward within their area will work with the user to triage the issue and define next steps for resolution.

3. Define and Maintain the Data Glossary

A collection of frequently encountered terms in the form of words, vocabularies, phrases, synonyms, acronyms, and codes. Students, faculty, and staff adopting the use of University terms, will be able to communicate and interact more accurately with meaningful concepts in a commonly understood language. Data Stewards will review the AUP data glossary prior to requesting or proposing changes to an existing term or adding a new term.

4. Use and Maintain Data Dictionaries

Software vendors should provide AUP with data dictionaries that support their application software. AUP will need to populate and maintain those dictionaries as they proceed with implementations. Where vendors do not have a data dictionary, AUP should work to define the information for the data dictionary.

5. Define and Maintain Data Standards

While data policies guide what to do and what not to do regarding data, data standards are more detailed rules on how to do it. Specifically, data collection standards include rules for describing and recording data. Data standards can take different form depending on what they describe: they can assert how a field must be populated, rules governing the relationship between fields, detailed documentation of acceptable and unacceptable values and formats, etc. Data standards are drafted with input from stakeholders and Data Stewards and require approval from the Data Governance Council.

6. Define and Maintain Reference Data

Reference data is a collection of data that is used solely to categorize, classify, or otherwise qualify or constrain institutional data. It serves as a standard set of codes, values, words, or phrases to be leveraged in AUP's operational transactions, external compliance, and enterprise reporting and analytics. Use of standardized reference data, elevates data quality, and in turn, supports reliable data-informed decisions through consistent data and reporting.

7. Create and Maintain the AUP Data Model

The AUP data model describes the data requirements of the University, and the relationships between them. The purpose of the data model is to facilitate accurate and efficient communication and understanding about the structure, content, and context of institution data to enable data integration and sharing, reporting, and business processes. This model will need to be created by Data Stewards based on current and future systems.

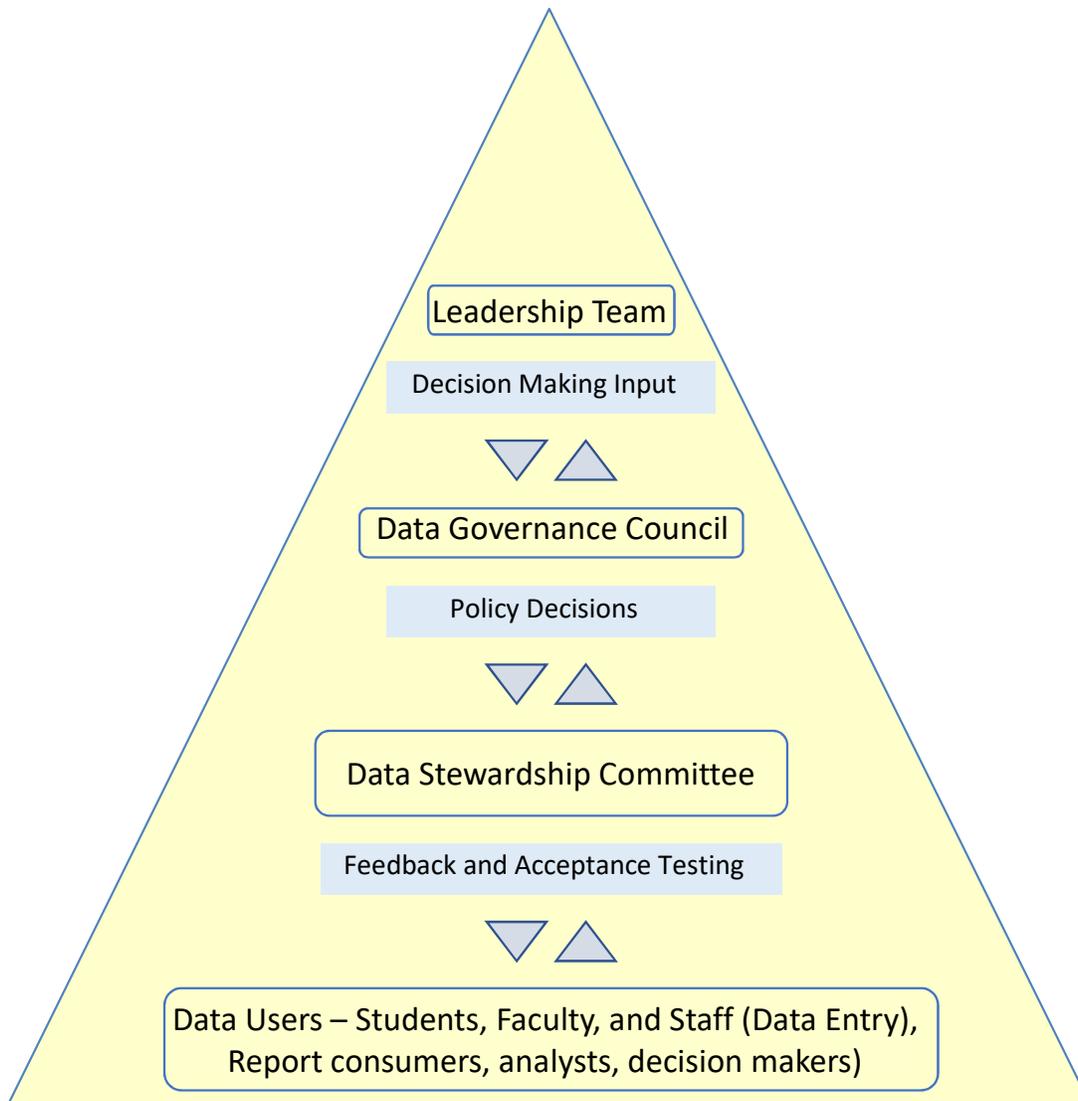
8. Identify the System of Record for Data Elements

AUP will need to identify the Systems of Record (e.g., SIS, HR, Finance) for data elements. The Data Stewards will have responsibility for identifying the System of Record for AUP data which will have implications for defining the levels of data access. The system of record is a trusted data source that gives a complete picture of the data object.

VII. Data Governance Organizational Structure

AUP’s data governance framework is made up of four groups: Leadership Team, Data Governance Council (DGC), Data Stewardship Committee (DSC), and Data Users (DU).

The Leadership Team, Data Governance Council and Data Stewardship Committee will have the overall mission of guiding and ensuring that AUP’s institutional data is created and maintained to meet the requirements of usability, security, privacy, compliance, integration, and availability.



Roles and Responsibilities

Leadership Team

The Leadership Team has ultimate accountability for the creation, curation, and protecting the confidentiality, integrity, and availability of university data in compliance with AUP policies, governmental laws, and regulations which require that some types of data be handled differently

than other types of information. The role of the Leadership Team is to be the driver of Data Governance for AUP. As an established initiative, the Leadership Team will communicate the organizational structure and work plans to the AUP community.

The Leadership Team’s Data Governance responsibilities include:

- Establishes the overall data governance structure to meet AUP strategic planning and reporting needs;
- Communicates the Data Governance initiative to the AUP community;
- Establishes the Data Governance Council, appoints members, appoints a chair or co-chairs; and
- Resolves policy disputes/issues that are escalated from Data Governance Council.

It is estimated that the members of the Leadership Team will spend on average 1-2 hours per month on Data Governance activities. When the Data Governance Charter is accepted, individual job descriptions will be updated to include the Data Governance responsibilities and time allocated to these activities.

Data Governance Council (DGC)

The Data Governance Council members are responsible for providing the AUP community with approved policies and procedures and processes for the creation, curation, and protection of the confidentiality, integrity, and availability of university data in compliance with AUP policies, governmental laws, and regulations which require that some types of data be handled differently than other types of information.

DGC responsibilities include:

- Establishes overall policy guidelines for the management of and access to the AUP's institutional data in accordance with existing university policies and applicable laws and regulations;
- Reviews and approves policies and procedures established by DSC;
- Provides review, resolution, and approval of institutional data definitions as per guiding principles;
- Reviews and reports on the performance of the overall data governance initiative on an annual basis to AUP Leadership Team;
- Meets with managers to assist them in selecting and naming the members of DSC for the functions in their areas;
- Formally appoints the membership of the DSC and names a DSC Chair to arrange and lead meetings; and
- Meets quarterly or more frequently as necessary (initially should meet bi-monthly until Data Governance is established at AUP).

It is estimated that the members of the DGC will spend on average of up to 5% of their weekly working hours on Data Governance activities during the first year. Membership on the DGC will be for a term of 1 year. When the Data Governance Charter is accepted, individual job descriptions may be updated to include the DGC responsibilities and time allocated to these activities.

The DGC membership is defined in the Data Governance Charter Appendices.

Data Stewardship Committee (DSC)

Data governance seeks to encourage (and enforce when necessary) desirable behavior in the valuation, creation, use, and retention of data, with the objective of ensuring data quality control and integrity. Specifically, it is the role of the DSC to protect the confidentiality, integrity, and availability of university data. Effective data stewardship is the process for maximizing the value of data as an institutional resource.

DSC responsibilities include:

- Provide consistency in the approach, designation, and governance of data, metadata, and the information base of business processes;
- Define clear and commonly used structures, models, definitions, and processes to support coordination and collaboration, effective decision-support, and efficient university-wide operations;
- Give guidance and recommendations concerning institutional data related to expanding access, improving quality, strategic planning, assuring security, and business performance management;
- Recommend policies, procedures, and processes which guidelines for university-wide data administration activities; the domain of these activities include:
 - classification of data
 - access to data and reports
 - data security
 - data documentation
 - data integrity, validation, and correction
 - data manipulation, modification, extraction, and reporting
 - data retention guidelines
- Manages metadata documentation and assures data quality;
- Formalizes and adopts roles and responsibilities of individuals involved in the management of university data;
- Coordinates with the IRIS project and all other projects and initiatives that will utilize institutional data, enterprise systems, and local systems of record;
- Escalates any unresolved issues within the DSC to DGC for resolution;
- Performs an annual evaluation of system components and use; and
- Meets monthly (at a minimum) to conduct business and will organize smaller ad hoc groups, as necessary; and
- Provides regular reports to the DGC.

It is estimated that the members of the DSC will spend on average 1-2 hours per week on Data Governance activities as part of their regular departmental activities as they implement AUP's Data Governance. Membership on the DSC will be for a term of 1 year.

The DSC membership is defined in the Data Governance Charter Appendices.

Data Users (DU)

DU are responsible for supporting the creation, curation, and protecting the confidentiality, integrity, and availability of university data and compliance with AUP policies, governmental laws, and regulations which require that some types of data be handled differently than other types of information. Data users include students, faculty and staff and the various roles they have at AUP.

Every member of the AUP community with access to institutional data shares this responsibility. Individual faculty, researchers, and staff function as stewards of university resources.

All AUP employees are entrusted with protecting the property and other assets of AUP. Specifically, they are responsible for protecting university data, especially sensitive university data, stored on devices they use, whether university or personally owned.

Each group of users should have defined access (create, read, revise, delete, reporting) relative to the data that they use based on their role at AUP.

IT will be responsible for the management of the technical implementation of data contained in various university databases and will follow the rules created by the DGC and DSC for usage of data and use of systems provided to manipulate that data.

VIII. Appendices

The Appendices were inserted as documents that would be reviewed on a regular basis and updated as necessary vs. updating the entirety of the Charter. (e.g., members of the DGC)

Appendix 1: Data Governance Council (DGC) Members

Named members may have their job descriptions updated to reflect their membership appointment and commitments to this work. The DGC should be no more than six members but initially will have more than 6 during the first year of IRIS Project Implementations.

Note: Listed below are the individuals that were suggested during the interviews with the AUP individuals and work with the IRIS Core Team members. The Leadership Team will need to confirm which of these individuals (or others) will be on the DGC. For the first year, an outside consultant will “chair” the DGC and assist AUP in identifying a team member(s) to “chair/co-chair” the Council in the future and assist in determining the reduced membership after the first year (1 Sept 2021 to 31 August 2022.)

#	Department / Unit	Proposed Name (Or delegate)	Proposed DG Role	Leadership Team Reporting structure
1	Registrar	Kourtney Nosakowski	Member	Bill Fisher
2	Academic Administration	Christine Tomasek	Member	Bill Fisher
3	Educational Assessment & Institutional Effectiveness	Taylor Brooks	Member	Bill Fisher
4	Human Resources	Stephanie Buisson	Member	Valérie Fodé
5	Controller / Budget	Jeremié Bouaziz	Member	Valérie Fodé
6	Finance / Accounting	Marie-anne Begot	Member	Valérie Fodé
7	IT	Mayra Paille	Member	Valérie Fodé
8	Student Development	Kevin Fore	Member	Marc Monthéard
9	Admissions	Matilda Fouché	Member	Tim Rogers
10	Financial Aid	Randy Vener	Member	Tim Rogers
11	Outreach and Advancement	TBD	Member	Mary Evans
12	Office of the President	Jessica Caldi	Member	Celeste Schenck
	MTC	Consultant (For 1 st year)	Chair	

Appendix 2: Data Stewardship Committee (DSC) Members

The DSC will include following types of members:

- Members whose role within the university's administration makes them important to include such as IR staff, IT Technical staff, data analysts in various department, etc.
- Individuals who have functional responsibility for institutional data in their respective departments
 - Academic Administration
 - Library
 - Registrar
 - Admissions
 - Human Resources
 - Controller
 - Accounting
 - Planning and Facilities
 - Student Development
 - Outreach and Advancement
 - Educational Assessment and Institutional Effectiveness
 - Institutional Research
 - ITS
 - Faculty Representative

(Note: The DGC will select the members for the DSC.)

Appendix 3: Data Users (DU)

Every member of the AUP community with access to institutional data shares this responsibility.

Appendix 4: Data Governance Tasks

Task	Performer	Due Date
Approve Charter	Leadership Team	August xx, 2021
Communicate Data Governance Initiative to AUP Community	Leadership Team	
Appoint members to DGC Name Chair/Co-Chair (after first year)	Leadership Team	
Work with HR to adjust job descriptions to include DGC work	Leadership Team	
Establish regular meeting schedule	DGC	
Appoint members to DSC and name Chair of DSC	DGC	
Establish regular meeting schedule	DSC	
Review existing policies, procedures and processes and submit revisions for DGC review/approval as required by AUP	DSC/DGC/Leadership Team	
Identify and prioritize data definitions and standards in support of university planning	DGC	
Define data roles and associated access capabilities (Create / Replace / Update / Delete / View/ Retention/ Archives)	DGC	