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UMS Data Governance Charter & Framework

University of Maine System Data Governance Council

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UMS Data Governance Charter

The University of Maine System Data Governance program was launched in 2017 in order to emphasize the importance of data integrity, and to formalize processes related to data management and usage. The program embraces the following vision:

Data Governance Vision: *Data of the University of Maine System (UMS) are system-wide institutional assets that are leveraged to foster a culture of data-informed decisions to benefit all UMS institutions and stakeholders.*

This vision can be achieved through successful implementation of the following mission:

Data Governance Mission: *UMS Data Governance promotes data stewardship and communication to ensure that valid and reliable data are protected and readily accessible to university constituents, internal and external, for ethical use.*

Carrying out the above mission is a complex, ongoing process. As outlined in detail below, and conceptualized in the UMS Data Governance framework (next page), all data governance efforts are built upon a common foundation, philosophy, and values, and are achieved through rigorous data stewardship and communication.
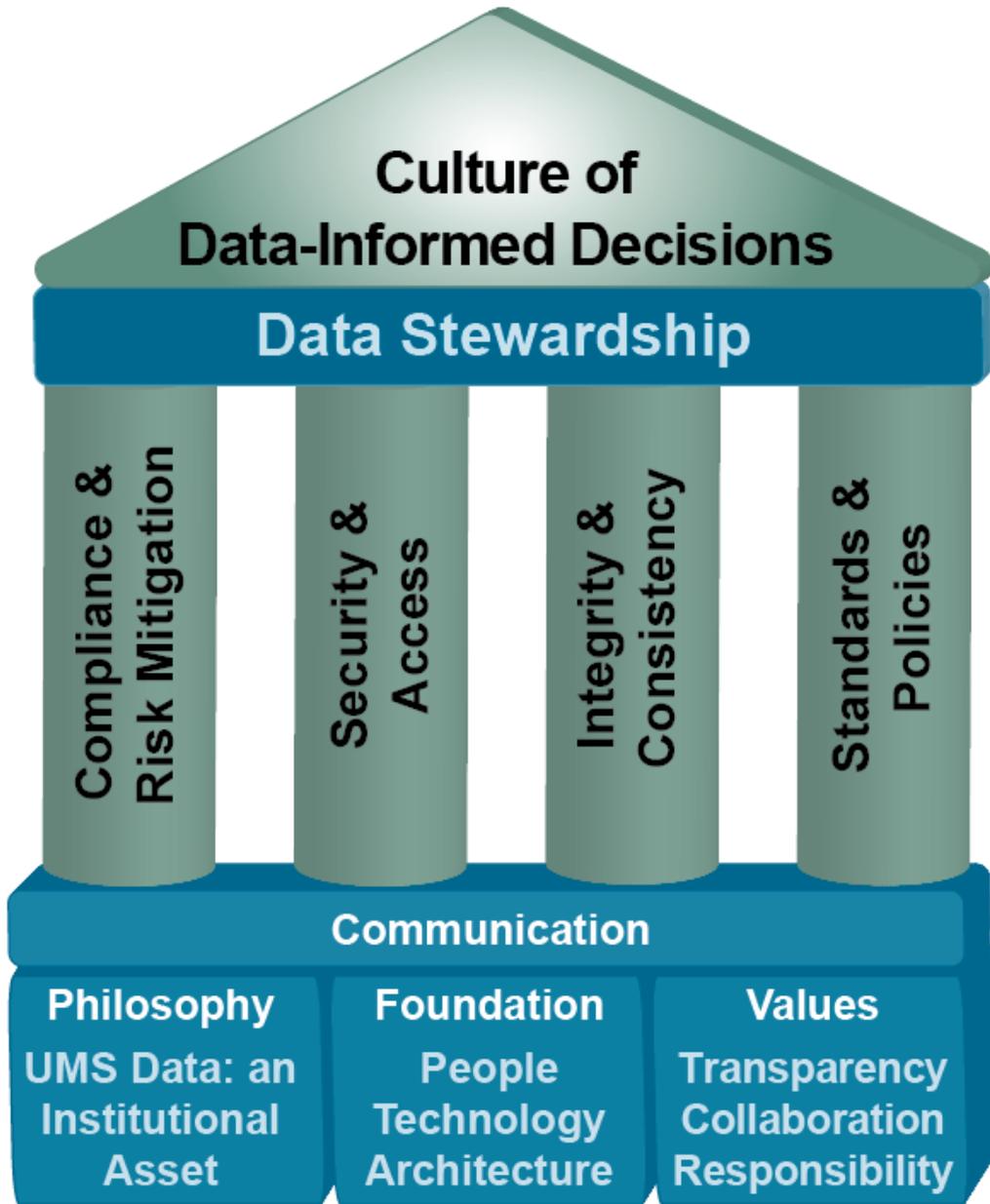
Foundation, Philosophy, and Values:

- **Foundation: People, Technology, and Architecture:** UMS Data Governance is dependent upon expert, well-trained professionals using robust, appropriate technology and architecture.
- **Philosophy:** UMS data are institutional assets to protect, enhance, and leverage.
- **Values: Transparency, Collaboration, and Responsibility:** These UMS values are crucial to the success of data stewardship and governance efforts.

Data Stewardship Strategic Imperatives:

- **Compliance & Risk Mitigation:** There is university-wide awareness of, and adherence to, regulatory issues.
- **Security & Access:** Measures are taken to ensure data are appropriately protected and available.
- **Integrity & Consistency:** Data are accurate & uniform both across institutions and over time.
- **Standards & Policies:** Clear expectations exist on how to create, manage, and use data in an effective and ethical way.
- **Communication:** Regular and open dialogue amongst university communities is the foundation to successful data stewardship activities and data governance leadership.

UMS Data Governance Framework

UMS Data
Governance

**Culture of
Data-Informed Decisions**

Data Stewardship

Compliance &
Risk Mitigation

Security &
Access

Integrity &
Consistency

Standards &
Policies

Communication

Philosophy	Foundation	Values
UMS Data: an Institutional Asset	People Technology Architecture	Transparency Collaboration Responsibility

UMS Data Governance

UMS Data Governance Structure

The committee structure for the UMS Data Governance program was designed to allow our foundational elements—people, technology, and architecture—to engage in data stewardship activities in a manner aligned with our guiding values of transparency, collaboration, and responsibility.

There are two formal groups that comprise the UMS Data Governance structure; the Data Governance Council (DGC) leads the program with input from all campuses and the Data Advisory Committee. The Data Advisory Committee (DAC) provides expert functional area knowledge and enables all universities to collaboratively engage in data stewardship and data governance.

Data Governance Council

The DGC serves as the executive governing body—reporting to and advising the UMS Chancellor—on issues pertaining to data governance throughout the University of Maine System.

The DGC meets monthly, and is also invited to all DAC meetings, attending the latter as scheduling permits. Additional meetings may be scheduled if proposals require discussion at other points in time. The DGC is currently chaired by the Vice Chancellor for Finance and Administration, and is further comprised of the Vice Chancellor for Academic Affairs, Associate Vice Chancellor for Student Success and Credential Attainment, Chief Information Officer, Associate Vice Chancellor for Academic Affairs, and Director of Institutional Data Management.

Data Advisory Committee

The DAC is comprised of representatives from across UMS institutions and functional areas who are all stakeholders in UMS data integrity. The committee collects issues, discusses solutions, and recommends policies and procedures regarding the stewardship of UMS data. The DAC forms standing subcommittees for ongoing areas of focus (to date: Communications, and Data Access & Security) as well as temporary workgroups to address individual data issues.

Future appointments to the DAC will be made by the DGC on the basis of nominations from the functional areas represented on the DAC; the DGC may appoint additional members to the DAC as needed. The DGC will appoint a Chair of the DAC (or Co-Chairs) on the basis of nominations from the DAC membership. The DAC is scheduled to meet monthly via videoconferencing, and the DAC Chair(s) may schedule additional meetings when necessary to fulfill the responsibilities of the committee.

DAC Chair Responsibilities:

The Chair's primary goal is to facilitate and guide the collaborative actions of the DAC. The Chair's responsibilities include:

- Guiding DAC meetings by recapping prior meeting minutes and ensuring agenda items are discussed or rescheduled
- Checking in with workgroups and standing committees to ensure cohesion and progress
- Presenting DAC proposals to the DGC
- Providing feedback to the DAC and to workgroups from the DGC
- Discussing prioritization and proposed projects with the DGC
- Setting meeting dates for DAC and DGC and sending invitations
- Organizing logistics for in-person meetings
- Creating and communicating meeting agendas and soliciting additional agenda items
- Taking minutes during DAC and DGC meetings, summarizing, and distributing to committee members

DG Communications Manager Responsibilities:

The Communications Manager coordinates all formal communications of the UMS Data Governance program. Responsibilities include:

- Leading DG Communications Committee
- Designing DG templates to ensure graphics continuity of look and feel
- Managing UMS DG website and YouTube channel
- Leading design and composition of memos, annual report, videos, etc.
- Together with the DAC chair(s), taking minutes during DAC meetings

Data Advisory Committee Member Responsibilities:

1. DAC members attend monthly DAC meetings throughout the year and participate in data governance proposal reviews. Members are responsible for providing their written feedback on proposals as requested (GoogleForm, etc.)
2. DAC members are responsible for communicating pertinent issues, concerns, projects, proposals, etc. back to their respective functional areas.
3. When opportunities and challenges are discovered, the DAC coordinates with the appropriate functional areas to determine the scope of the improvements, and assesses priorities through broad stakeholder engagement.
4. Simple error corrections, retraining, or minor process improvements discovered in (3) above can be made without a proposal to the DGC.
5. For more complex opportunities and challenges identified in (3), the DAC forms a workgroup to explore the issue, collaborate with functional area experts, interview stakeholders, and draft a proposal, including proposed solution(s) and implementation plans using available templates. Proposals are submitted to the DAC for discussion during monthly meetings, and are then sent to the DGC. The DGC may provide written feedback, or may request discussion before approving.
6. Approved proposals result in a recommended implementation plan and implementation team. To ensure continuity, a member of the issue workgroup should remain with the

project throughout the implementation phase, serving as a liaison between the functional area, implementation team, and data governance.

7. The DAC performs (regular) assessments of UMS data security, standards, processes, storage, and reporting, and will provide the DGC (regular) status reports on their assessments.

8. The DAC reviews and approves documentation of data standards (e.g., definitions, code, processes). New or changed standards should be agreed upon by the DAC, and functional areas must be given the opportunity to comment before the change is adopted.

DAC Composition & Functional Area Representation

The DAC is comprised of representatives from functional areas across the UMS, currently including: Finance, HR, Student Records/Registrar, Academic Affairs, Student Financials/Bursar, Enrollment Management, Financial Aid, Institutional Research, System Wide Advising, Transfer Officers, Information Technology, Facilities, and Advancement/Development. Functional area representatives who serve on the Data Advisory Committee serve as a conduit between data governance and the functional area they represent.

University Functional Area Engagement with Data Governance:

1. The functional areas act as a point of contact for the DAC, and for DAC workgroups, engaged in collaborative problem solving and discussion of issues relating to the data operations within their functional areas.
2. Functional areas ensure consistent training is provided to data entry employees.
3. Functional areas are responsible for communicating data governance work from within their functional area to their respective university communities.
4. Functional areas review, and comment on, changes to the documentation of data standards relating to their areas.
5. Functional areas submit nominations to the DGC for appointments to represent their functional areas on the DAC.

UMS Data Governance Management

UMS Data Governance

Data integrity for informed
decisions and student success

Data Governance Dashboard

DARTS
Data
Website

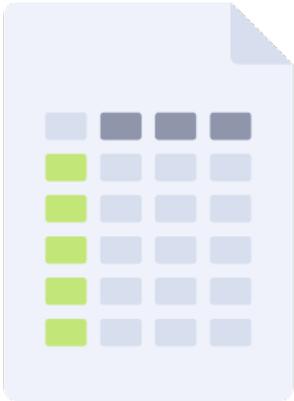Data
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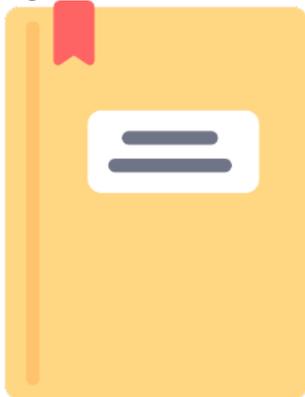Progress

UMS
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About
the DG

Manage
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Team