PL-Administrative-0XX: Institutional Research Data Management and Reporting Policy and Procedures

Contents:	**Version Number: 1.0**
- Definition and Purpose - Data Ownership - Data Integrity & Security - Data Management - Data and Reporting Requests Procedures - Official Census Dates - Appendices	**Effective Date:** **Reviewed by EMC on:** **Approved by President on:**

Policy Description

The purpose of this policy is to define data ownership and management guidelines and to regulate the process of requesting, developing and disseminating data and reports at Qatar University.

Who Should Know This Policy

☒ President

☒ Vice President

☒ Legal Advisor

☒ Dean

☒ Director / Departmental Head

☒ Faculty

☒ Accounting/ Finance Personnel

☐ Student

☒ All Employees

Institutional Research Data
Management and Reporting Policy and Procedures

Definition and Purpose

Data is information about University constituencies, resources (funds, space, etc.), students, faculty and staff that is collected and used in planning, decision making, managing, operating, or auditing major functions at the University, referenced or required for use by more than one organizational unit, or included in an official University administrative report. Data enables administrators to assess the needs of the University community and modify services accordingly.

Data - or information resources - include any information in electronic or visual format. This definition includes, but is not limited to electronic mail, local databases, externally accessed databases, printed, digitized information, and electronic communication systems. Institutional Research (IR) data is an essential part of the University's information resources. A coordinated approach to the use and management of IR Data shall be provided by this policy, to ensure that this valuable asset is protected, maintained, centralized and shared through accurate and consistent definitions.

Examples of system/databases that contain Institutional data include, but are not limited to:

- Banner system and modules;
- Oracle e-business system and modules;
- Millennium system and modules;
- Faculty performance review system;
- Student course evaluation system;
- Research management system;
- Property management system;
- Facilities management and scheduling system.

Data Ownership

The University as a whole owns all institutional data and the subsets thereof. Various units within the University (e.g. Registrar, Human Resources, Finance, etc.) generate operational data and reports for their respective entities, and are considered to be the primary custodians of their own data. The IR Office owns the data collected through various surveys and the reports generated from the data collected from other entities/resources. However, the Office of Institutional Research is responsible for the oversight of institutional data to ensure the production of accurate and effective institutional reports.

Data Integrity & Security

Data integrity includes qualities of accuracy, consistency, and timeliness. IR data is a University resource that may be used and relied upon by many users. Data integrity begins with the person or office creating the data, and is the continuing responsibility of all who subsequently access, manipulate and use it. The IR staff should take reasonable care to ensure the accuracy of data gathered and reports generated and shall document the sources and quality of such data.

IR data will be protected from deliberate, unintentional or unauthorized alteration, destruction, and/or inappropriate disclosure or misuse in accordance with IR policies and practices. IR staff should organize, store, maintain, and analyze data under his/her control in such a manner as to reasonably prevent loss, unauthorized access, or divulgence of confidential information.

Institutional data should be stored on institutional secure data storage systems. An employee may need to copy data temporarily to his/her laptop for work-related purposes but should however note that he/she is fully responsible for the confidentiality and security of the data. Such data should be secured and password-protected at all times.

The University reserves the right to use all available legal means to protect institutional data as a valuable asset.

Data Management

- IR data must be used only by those persons duly authorized to access and use the data by virtue of their position at Qatar University, and only for the purpose for which use has been authorized; authorization for access to data is not transferable;

- Every data user must recognize that institutional data and information derived from it are potentially complex. It is the responsibility of every data user to understand the data that they use, and to guard against making misinformed or incorrect interpretations of data or misrepresentations of information;

- Institutional data must not be accessed or manipulated for personal gain, or out of personal interest or curiosity;

- Data users must carry out all tasks related to the creation, storage, maintenance, cataloging, use, dissemination and disposal of institutional data responsibly, in a timely manner and with the utmost care;

- Data users must not knowingly falsify data; delete data that should not be deleted or reproduce data that should not be reproduced;

- Data users must respect the privacy of individuals whose records they may access. No subsequent disclosure of personal information contained in files or databases may be made. Disclosure is understood to include (but is not limited to) verbal references or inferences, correspondence, memoranda and sharing of electronic files. Users should consult the QU Confidentiality Policy;

- Access to institutional data for research purposes may be granted by the appropriate data attendant and its use is subject to university policies on privacy, intellectual property and research ethics;

- Wherever possible, avoid maintaining redundant and duplicate data in multiple systems;

- Institutional data should be readily accessible in electronic form to authorized users to view, query or update;

- Institutional data must be stored in such a way as to ensure that the data is secure, and that access is limited to authorized users. Secure storage of institutional data is a joint responsibility of IR and ITS, database designers, application designers, and the data user who must ensure that password and other security mechanisms are used;

- When electronic data is no longer required for administrative, legal or historical reasons, it should be deleted in such a way that recovery is not possible;

- For University data users, institutional data is classified by the Director of IR, according to the following levels of required security :

  Public data: Available to the general public on Qatar University website; no prior authorization is required.

  University, internal-use-only data: Available to all eligible employees without restriction for use in conducting University business.

  Limited-access data: Available upon request to eligible employees who need access to such data to perform their job duties and have received authorization from VP for Institutional Planning & Development.

Data and Reporting Requests Procedures

Institutional Scheduled Reports

Reports such as the "Book of Trends", the "Fact Book", the "Student Profile", The "Faculty Load", the "Class Size", etc…, contain cross-departmental information that is of interest to internal and external stakeholders, and are published according to a pre-defined timeline. The IR office collects the data for such reports, conducts the required analysis and coordinates and consults with various university constituencies to produce the final report/publication, according to a documented process, format and schedule (Check Appendix D). The reports are then reviewed and endorsed by the Director of IR and the VP, IPD before publication. Such reports are usually published on the QU website in "pdf" format, and when necessary, hard copies are printed out and disseminated to internal and/or external constituents.

Departmental Scheduled or Ad-Hoc Reports

Any faculty or department head is eligible to request IR for data and/or reports pertaining to his/her area, given he/she has the required authorization of his/her college Dean or supervising VP. Requests for data and/or reports pertaining to other areas require the approval of the college Dean or supervising VP of that area.

Academic or administrative offices wishing to request data and/or reports must complete the Data/Report Request Form (Appendix A, found on the IR web site …) and submit it to the IR Office.

The IR Office administers and prioritizes those data/reports requests, collects the necessary data, conducts analysis and compiles reports when needed, and identifies the appropriate classification for each data element. It is recommended, before finalizing a report, to share and discuss the results and analysis with the stakeholders and to amend the report, if needed, according to the feedback of the stakeholders. The reports are then reviewed and endorsed by the Director of IR and the VP, IPD before being released. A Report Release Approval Form must be filled out and approved for any report to be released (Appendix B, found on the IR web site …).

A copy of released data/reports will be archived with the IR Office in the Institutional Data Warehouse. Subsequent release of these data/reports to a third party (internal or external entity other than the original data/report owner) is permitted only if a duly filled and approved Report Release Approval form is submitted to IR.

If a report is deemed of institutional interest and is classified as public, the IR Office may request the explicit permission of the original data/report owner to include it in its Institutional Scheduled Reports.

Internal IR Reports

Additional data/reports are extracted and maintained by the Office of Institutional Research for internal use, at the discretion of the VP, IPD in anticipation of Institutional Research projects and/or in support of accreditation and strategic planning.

Surveys

IR staff designs, develops and administers surveys related to the data/performance of students, faculty, alumni and staff. Often IR is approached by different units to administer their surveys. All aspects of the survey process are clearly outlined in the policy "PL-Administrative- 0XX - Survey Policy and Procedures".

Official Census Dates

While institutional information changes continuously throughout the year on the database system, static sets of data are captured and housed by IR. These point-in-time or *census* data sets are commonly used in institutional reporting and analysis, and are designed to facilitate information delivery to a variety of campus data users. Official census data are captured as follows:

Admissions and Enrollment Reporting

At the beginning of each term, the *official student* census is typically captured just after the add/drop deadline. The *official final grades census* is captured just after the grades submission deadline.

HR & Finance Reporting

At the beginning of each term, the *official HR* census is typically captured 2 weeks after the first day of classes.

It is the responsibility of the IT Department to take those data snapshots and to store them in the Institutional Data Warehouse, according to the summary "Snapshots Schedule" table maintained by IR (Appendix E).

Appendices

Appendix A: Data/Report Request Form
Appendix B: Report Release Approval Form
Appendix C: Report Format
Appendix D: Institutional Scheduled Reports schedule, process and format
Appendix E: Snapshots Schedule

Appendix A
Data/Report Request Form

The Office of Institutional Research

Data/Report Request Form

Name: ___________________________________Title: _________________________

Department/ Unit: ____________________________ Email: ___________ Phone: _____

1. **Data/Report Title:** __________________________

2. **Description**: ____

____

____

____

A detailed description of the data/report requested including the intended use of the information

3. **KPIs Aligned with the University or with the Unit Strategic Planning:**
   1. ____
   2. ____
   3. ____

4. **Has the IR office extracted this type of data/report for you in the past?** ◯ Yes ◯ No

In the affirmative, please provide the date when it was last extracted? __________

5. **Data/Reporting Services Requested from the IR Office** *(check all that apply)***:**

◯ IR will provide raw data for your own analysis
◯ IR will provide aggregate data for your own analysis
◯ IR will analyze data and provide you with a statistical report
◯ Other, please specify:
____

6. **Deadline to Deliver Requested Product** ____________________________________

Requestor Name	*Date*	*Signature*
College Dean/VP	*Date*	*Signature*
Data/Report Owner (If different from requestor)	*Date*	*Signature*
VP, IPD or Director IR	*Date*	*Signature*

Please return the completed form to:
Office of Institutional Research
Email: VPIPD-SURVEYS@qu.edu.qa

A member of the IR staff will contact you in the next three to five days to further discuss your request.

Appendix B
Report Release Approval Form

The Office of Institutional Research

Report Release Approval Form

Name: ____________________________ Title: ________________________

Department/ Unit: ______________________ Email: ________ Phone: ________

This form is used to document the release of reports to both data owners and non-data owners, as well as the explicit permission of data owners regarding access to their disseminated data and the release of their data/reports to any internal or external third party (non-data owner).

1. **Title of the Project/Report:** ________________________________
2. **Unit who Prepared the Data/Report:** ________________________________
3. **Owner of the Data/Report: :** ________________________________
4. **Date of Release of the Data/Report: :** ________________________________
5. **Type of Data/Report to be Released:**

- ☐ Raw Data
- ☐ Analyzed Results
- ☐ Statistical Report
- ☐ Data Results or Statistical Report to be made accessible through the OIPD website
- ☐ Other

Requestor Name	*Date*	*Signature*
College Dean/VP	*Date*	*Signature*
Data/Report Owner (If different from requestor)	*Date*	*Signature*
VP, IPD or Director IR	*Date*	*Signature*

Please return the completed form to:
Office of Institutional Research
Email: VPIPD-SURVEYS@qu.edu.qa

Appendix C
Report Format

General Guidelines for Ad Hoc Reports

- It is recommended that all IR reports include a cover page where the title is printed in the center using Verdana font 14, followed by "The Office of Institutional Research" on the line below, followed by "Office of Institutional Planning and Development" on yet another line. The year/ date on which the report was produced should be stated 2 to 3 lines below. A small sized QU logo must be printed either on the left or on the right hand side of the cover page, yet large enough to be recognized and read.
- Report pages should be numbered, the header/footer should be typed in Verdana size 9 (not bold), the header should include the date when the report was generated, and the footer should include the report title aligned to the left, and the page number to the right.
- Narratives if any shall be typed on single space using Verdana font 10 for text, and 12 for headings, minimum use of colors except in figures and pictures is recommended.
- Text font in tables should be Verdana size 9-12, only table cells headings and summary figures may be bold. Tables should be numbered as (Table (1): Title) and centered or left aligned at the top of the table. Footnote/s below a table should be in Verdana 9 or 8.
- The report should contain an "authorization" page to indicate that the report has been formally approved for release by the Director of Institutional Research Office and/or the Vice President of Institutional Planning and Development.

Appendix D
Institutional Reports Schedule, Process and Format

1. Steps for IR Implemented Printed Reports (Fact Book & Fast Fact):

1. Define/revise the outline and the content of the book.
   This requires a meeting with the IR director and involved staff to define or review the existing content of the book.
2. Agree on the number of hard copies needed.
3. Prepare a table that defines a timeline for the tasks, task assignment, and the source of the required data.

Task	Book Section	Due Date	Assigned To	Source of Data	Comp.	Status

4. Communicate with ER to agree on the timeline for designing and printing the copies of the book.
5. Prepare the data
   - From OIPD database;
   - If the data is not available in the OIPD database, it should be requested from the appropriate office as defined in the table developed in step 3.
6. Compile the data into graphs, tables, or text based on the agreed report content.
7. Communicate with ER to select pictures.
8. Prepare the first draft of the report and approve it from the director of IR.
9. The IR director shares the draft with different offices in the university to get their feedback.
10. Prepare the final draft of the report based on the feedback from step 9.
11. Send the draft to ER for design.
12. Prepare a list of internal and external organizations (names and addresses) who will be receiving copies of the book.
13. Approve the final design copy and send it back to ER for printing
14. Publish the book
    - Online: by uploading a copy on the OIPD website and send an electronic copy to internal stakeholders
    - Send hard copies to the list defined in step 12.

Timeline table used for Fact Book 2010-11

	April	May	June	July	August	September	October
Define/revise the outline and content (1-4)							
Prepare/ Compile the data (5-7)							
Prepare a first draft (8)							
Revising the first draft (9)							
Prepare a final draft (10)							

Designing & Publishing (ER) (11-13)							

2. Steps for Implementing IR Reports (Published Only Online):

1. Define/revise the outline and the content of the report.
   This requires a meeting with the IR director and involved staff to define or review the existing content of the book.
2. Prepare the data
   - From OIPD database;
   - If the data is not available in the our database, the data should be requested from the appropriate office.
3. Compile the data into graphs, tables, or text based on the agreed report content.
4. Prepare the first draft of the report and approve it from the director of IR.
5. The IR director shares the draft with different offices in the university to get their feedback.
6. Prepare the final draft of the report based on the feedback from step 5.

7. Publish the report online and send the link to our website and send it to our stakeholders

Timeline for IR published reports (2011-12)

	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Student Profile (Fall)												
Student Profile (Spring)												
Fact Book*												
Fast Facts												
Trend Book*												
Course Completion Rate (Fall)												
Course Completion Rate (Spring)												
Historical Data - QU Graduates												
Class Size Report (Fall)												
Class Sized Report (Spring)												

**Preparing the draft is conducted at the end of academic year, reviewing and publishing is conducted at the beginning of the academic year*

Note: *The timeline for publishing the reports is subject to change every semester, depending on the add/drop deadline during that semester.*

3. Steps for Implementing HR Reports (Published Only Online):

1. Define/revise the outline and the content of the report.
   This requires a meeting with the IR director and involved staff to define or review the existing content of the report.
2. Prepare the data
   - From HR database;
3. Compile the data into graphs, tables, or text based on the agreed report content.
4. Prepare the first draft of the report and approve it from the director of IR.
5. The IR director shares the draft with HR and VP academic office to get their feedback.
6. Prepare the final draft of the report based on the feedback from step 5.
7. Publish the report online and send the link to our website and send it to our stakeholders

Timeline for HR published reports (2011-12)

	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Faculty Profile												
Staff Profile												
Faculty Load Report												
Faculty Exit survey report*	*											

* Report will be prepared base on the survey results

4. Steps for Implementing Finance Reports (Published Only Online):

1. Define/revise the outline and the content of the report.
   This requires a meeting with VPIPD / IR director and involved staff to define or review the existing content of the report.
2. Prepare the data
   - From Oracle financials fund report
   - If the data is not available or incomplete get the data from finance department
3. Compile the data into graphs, tables, or text based on the agreed report content.
4. Prepare the first draft of the report and approve it from VPIPD and director of Finance / IR.
5. Report may not be published in the website if it contains sensitive information

Timeline for Finance published reports (2011-12)

	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Budget Report												

Appendix E
Snapshots Schedule

Snapshots Schedule AY 2011-2012

Semester	Snapshot Name	Snapshot Date
Fall 2011	HR snapshot	10-Oct-11
	Students Snapshot	13-Oct-11
Spring 2012	HR snapshot	11-Mar-12
	Students Snapshot	19-Feb-12