

**DATA GOVERNANCE FRAMEWORK**  
as per the *Policy on Data Governance* ([PRVPA-4](#))  
Last updated: June 2020

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This document proposes a data governance framework for Concordia University's Institutional Data and Information, with the exception of Research Data which is specifically excluded from the scope of this framework. It identifies the roles within the University having specific decision-making responsibilities for Institutional Data and Information, and articulates the accountabilities for data stewardship and data management. This framework exists to support the University's Policy on Data Governance.

This framework identifies the principal roles for data governance, aligning data stewardship accountabilities with the University's organizational structure, with the goal of facilitating data governance decision-making in the University's best interests. The key objective of implementing data governance at Concordia is to ensure that the University can rely on the accuracy, integrity, accessibility and availability of its Institutional Data and Information to support timely, consistent evidence based decision making.

These roles and responsibilities are not intended to amend or modify existing job descriptions or positions, but rather to clarify accountabilities in the University's dynamic information environment.

### **Data Governance Structure**

This framework sets forth four roles within the data governance structure having responsibilities regarding Institutional Data and Information:

1. Data Trustees – Highest-ranking individuals with cross-sectoral accountability for enabling consistent data governance both in their respective domains and across Concordia.
2. Data Stewards – Individuals having sector-specific responsibility for safeguarding the accuracy and currency of the Institutional Data stores they are accountable for, for facilitating appropriate data and information systems use of their respective systems, and for ensuring compliance with applicable policies, procedures and standards.
3. Instructional and Information Technology Services (“IITS”) has responsibility for the following activities:
  - Establishment of the proposed technology investment roadmap;
  - Data architecture and modeling;
  - Delivery of technology solutions that support the needs of the University;
  - IT Data management operations including but not limited to activities related to storage, maintenance, back-up, security and access provisioning.
4. End Users – Individuals who enter, create, access and use Institutional Data and Information.
5. Records Management and Archives (RMA) responsible for the retention and disposition of Institutional Data and Information.

## **Roles and Responsibilities**

### **Data Trustees**

The President is the University authority for Institutional Data and Information. The President delegates the implementation and management of this Data Governance Framework and associated policies to the Data Trustees with responsibility for:

- Ensuring that the University has a data governance policy;
- Approving and implementing appropriate policies and procedures to ensure the accuracy, integrity, accessibility and availability of the University's Institutional Data and Information;
- Making decisions about Institutional Data and Information in situations that could have a material impact on the University. These could include decisions that:
  - may have material impacts on enrollment plans, budgets, space allocation and other strategic orientations;
  - may have important reputational implications, establish legal precedent, involve the ransom of University data, or concern the disclosure of information potentially affecting the University's operations, reputation or compliance.

**The Data Trustees** have responsibility for all decisions made on the University's behalf under this framework, and approve all data governance practices and related policies.

The following positions have institutional oversight for Institutional Data and Information:

- The President for institutional-level planning information and indicators.
- The Provost for academic programs and academic policy, including faculty-relations human resource information and student information.
- The Vice-President, Research and Graduate Studies for research funding, post-doctoral and graduate funding information.
- The Chief Financial Officer for budget frameworks, resource allocation, and enterprise risk information.
- The Vice-President, Services for human resource, facilities management, information technology.
- The Associate Vice-President and Chief Information Officer responsible for managing the technology infrastructure, applications and security of institutional data and information.
- The Vice-President, Advancement for alumni and donor information.
- The Vice-Provost Digital Strategy and University Librarian for library information.
- The CEO of KnowledgeOne for Concordia student information held on the eConcordia platform.

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- The Secretary General is the designated Privacy Officer with authority for compliance with applicable federal and provincial protection of information and records acts, and oversees the management of University Archives.

As individuals, Data Trustees are responsible for the accuracy and integrity of institutional data and information under their management and working with other Trustees in the application and support of the policy on data governance.

Trustees are also responsible for appointing Data Stewards for individual information systems in their respective sectors and working with them to enable effective data governance.

### **Data Stewards**

Data Stewards are responsible for:

- The ongoing stewardship of the information systems, data marts or warehouses in their sectors which are the repositories of Institutional Data and are the basis for the production of Institutional Information.
- Safeguarding the accuracy and currency of the Institutional Data stores they are accountable for, for facilitating appropriate use of data and information systems and for ensuring compliance with applicable policies, procedures and standards.
- Reviewing quality metrics and assessment of progress toward continuous improvements in data integrity and the resolution of data issues.
- Development of operational KPIs for their respective sectors which are aligned with Institutional KPIs.
- Contributing to the University's Data Dictionary: coordinating data definitions for data elements that span multiple sectors and/or units, with the goal of supporting and maintaining a consistent and coherent data environment across the University.
- Approving the use of administrative data for the purposes of academic research, while ensuring that appropriate agreements about the use of such data are and documented.
- Approving the users who are authorized to access, use and disseminate sector unit data.
- Approving the appropriate access to Institutional Data and Information by vendors and agents, while ensuring that agreements about the use and disclosure of such are documented and compliant with regulatory requirements and University policies.

### **Role of IITS**

IITS provides the technology foundation, solutions and services enabling and securing Concordia's data governance framework.

In respect of the data governance framework, their responsibilities include:

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- Establishing the proposed technology investment roadmap that supports the needs of the University relating to data governance
- Implementing and maintaining technology solutions including but not limited to:
  - easy-to-use, accessible data dictionary.
  - up-to-date data marts, data warehouses and a BI environment for self-service data access and discovery.
- Managing the University's data architecture and related technology infrastructure and assets.
- Providing training on access to and use of BI tools and environments.
- Implementing access and security controls based on access classifications.
- Provisioning data access in collaboration with data stewards.
- Working with data stewards to resolve data issues.
- Facilitating and supporting data classification and risk/impact assessment processes in accordance with legal and University's cybersecurity requirements.

### **End Users**

End users are individuals who need and collect-enter-use-create-access Institutional Data and Information as part of their assigned duties or in fulfillment of their role at the University. End users are responsible for:

- Understanding the definition, quality and usage limitations of data.
- Ensuring the accuracy of the institutional data and information they are responsible for entering and creating.
- Safeguarding their data access privileges.
- Complying with the institutional data policies outlined in this document and following established procedures.

### **Records Management and Archives (RMA)**

RMA is responsible for maintaining a secure and efficient management program for Institutional Data and Information produced by University units and their employees, from their creation or deposit to their final disposition, either through their destruction or permanent conservation as Historical Archives, in conformity with University needs and legal obligations.

### **Data Governance Committees and Working Groups**

A governance structure supports the University's data governance activities and is composed of 2 committees and a number of working groups who meet on a regular basis to coordinate their data governance efforts. They include:

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- Data Governance Steering Committee
- Data Stewardship Committee

The **Data Governance Steering Committee (DGSC)** is responsible for:

- Creating, reviewing and updating as required, the University's data governance policies and framework based on orientations provided by Data Trustees.
- Coordinating the access to and use of institutional data and information and the interaction between different information systems in accordance with applicable University policy.
- Endorsing the Institutional Information reports and KPIs which are to be relied upon collectively.
- Recommending the allocation of budgets, resources and the implementation of related BI personnel, processes and technology as required, in support of data governance across the university.
- Endorsing the provision of Open Data proposals.
- Resolving procedural ambiguities and conflicts that may arise.

Membership in the Data Governance Steering Committee, which is chaired by the Provost, will include a representative number of Trustees and Data Stewards, and will be renewed periodically.

**The Data Stewardship Committee (DSC)** is comprised of Data Stewards in sector-specific units with direct responsibility for University information systems. It is responsible for executing the decisions of the Data Governance Steering Committee, and for promoting the appropriate use of data in accordance with applicable policy, procedure and protocol at the institution.

Membership in the Data Stewardship Committee, which is chaired by the Executive Director of the Office of Institutional Planning & Analysis (OIPA), will include a representative number of Data Stewards and other representatives as required, and will be renewed periodically.

The Chair of the Data Stewardship Committee, who also sits on the Data Governance Steering Committee is the formal liaison between the two committees and is responsible for both:

- Bringing recommendations from the DSC to the DGSC for review and approval.
- Informing the DSC of DGSC discussions and decisions and their forward agenda.

These 2 committees are supported by business data domain working groups whose members include personnel from the Business Intelligence (BI) Center of Excellence, IITS, RMA and other business analysts personnel across different units and sectors who participate in:

- the implementation and management of the data dictionary, data marts, data warehouses and the BI environment for self-service data access and discovery;

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- resolution of data issues;
- the effective use of BI tools and the BI environment.

**Appendix A** includes a list of University data domains and sources and **Appendix B** lists the Data Trustees, Data Stewards and Committee Memberships.

Data Governance Framework approved by the Office of the Provost and Vice-President, Academic.

## Appendix A

### Concordia University Data Domains & Sources

The following is the list of the aggregate and individual institutional data domains under the ambit of the Data Governance Policy and Data Governance Framework. Each may include a varying and evolving number of associated sub-domains and information systems. For example, student data is principally managed through the SIS information system but is also included in Moodle and a few other specialized systems, each of which has a Data Steward, whereas Advancement & Alumni is contained in a dedicated system – (name).

- Student
- Faculty
- Employee
- University Services
- Finance
- Facilities
- Advancement & Alumni
- Research and Graduate Studies (excluding Research data)
- Library

As the University moves forward with its data governance efforts, a catalogue of systems supporting each data domain and a description of its contents will be published in the data dictionary.

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**Appendix B**

**Data Trustees & Data Stewards by Domain**

Domain	Data Description	Data Stewards	Trustee Position
Institutional	Institutional-level planning information and University KPIs (Key Performance Indicators)	OIPA	President & Vice-Chancellor, Provost & Vice-President Academic (VPA)
Institutional-Faculty specific	Faculty-level planning information and KPIs (Key Performance Indicators)	Deans	Provost & VPA
Institutional	Academic programs and academic policy	Vice-Provost, ITL	Provost & VPA Deputy Provost
Student	Student information	Registrar	
Student	Student and student services data	Vice Provost P&P	
Student	Administrative data about teaching and learning activities	Vice-Provost, ITL	
Student	Health and wellness data	Vice Provost P&P	
Faculty	Data contained in faculty Resources & Curriculum Vitae	Vice-Provost, Faculty Relations	
Institutional	Library and Information Resource data	Vice-Provost Digital Strategy and University Librarian	
Student	Concordia Continuing Education information	AVP, Lifelong Learning	
Student	Graduate student awards and supervision, GradProSkills	Dean, Graduate Studies	VPRGS
Student	Thesis progress reports, research milestones	Dean of Graduate Studies	Provost & VPA Deputy Provost
Institutional	Human resource information	AVP, Human Resources	Vice-President Services

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Institutional	Facilities management	AVP, Facilities Management	
Institutional	Information technology infrastructure, systems & repositories	AVP, Information Systems and CIO	
Finance	Budget frameworks	AVP, Finance and Controller	Chief Financial Officer
Finance	Resource allocation	Sr Director, Fin Plan/Budgets	
Finance	Enterprise risk information	University Treasurer	
Alumni	Alumni information	Senior Director, Advancement Services,	Vice-President Advancement & Alumni Relations
Advancement	Donations	University Advancement	
Research	Research information (CONRAD)	AVP Strategy Operations, OOR	AVP Strategy Operations, OOR
Research	Post-doctoral and graduate funding	Dean Graduate Studies	Vice-President Research & Graduate Studies
Institutional	Secretary General – privacy officer under applicable federal and provincial protection of information and records acts, and oversees the management of University Archives.	University Archivist	Secretary General
Institutional	Data Marts & Data Warehouses	Leader, BI Center of Excellence	Provost & VPA