Policy: 01-20-00

Research-Based Data Collection and Release Policy

OFFICE OF RECORD:	Provost/Vice President for Academic Affairs
REPONSIBLE EXECUTIVE:	Provost/Vice President for Academic Affairs
EFFECTIVE DATE:	03-04-09
LAST REVISION:	01/18/19

Policy Contents

I.   REASON FOR THIS POLICY

This policy is designed to guide the data collection and dissemination for research-based projects that may result in publication or presentation on a topic of interest to the researcher, while maintaining the interests of the university in protecting its constituencies and access to non-public data. Requests for data associated with job-related functions are approved through Information Technology Services (ITS) in conjunction with the Registrar and/or Director of Institutional Research and are not covered under this policy.

II.   STATEMENT OF POLICY

Dakota State University wishes to foster an environment conducive to research. Internal or external parties interested in using non-public university data must complete a "Data Request Form" submitted to the Office of Institutional Research (OIR). Requests for data involving human subjects must be made to the Office of the Vice President for Research and Economic Development. All requests must meet Human Subjects compliance and follow data collection procedures and restrictions as outlined in the policy.

III.   DEFINITIONS

Public Data: Aggregate-level data that are collected and maintained by the Office of Institutional Research (OIR) and are located and available on the DSU intranet or other public websites such as IPEDS. Refer to the Institutional Research page located on the Consumer Information website: https://public-info.dsu.edu/institutional-research/.
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Non-public Data: Data that is not maintained or available on the DSU intranet. This includes DSU individual-level data, aggregate data from other universities, as well as other data not available on national websites.

Non-releasable Data: Student education data that are protected under the Family Educational Rights and Privacy Act (FERPA) unless consent is given by the student. Examples of non-releasable data elements include social security number and grade point average.

Releasable Data: Data specifically identified by FERPA to be directory or public information that can be disclosed without student consent. For the policy regarding DSU releasable data, refer to DSU Policy 01-43-00, Privacy of Student Records.

Aggregate-level data: Aggregate-level data include data from the South Dakota Board of Regents (SDBOR) that may be available on the Student Information Systems, SDBOR Dashboards, and the Banner Finance and Human Resource system. To ensure confidentiality of individual information, the Board of Regents has set strict guidelines on the use and dissemination of data collected and maintained through the Regents Information System. Information on these guidelines is available at https://www.sdbor.edu/policy/documents/7-1.pdf

Institution-level data: Institution-level data include data from Dakota State University entities that have not been made public.

Individual-level data: Individual-level data are associated with a particular employee or student that may already exist or to be collected by surveying DSU constituencies. Individual-level data may not include non-releasable data such as social security number and grade point average.

IV. PROCEDURES

The procedures will be coordinated by Office of Institutional Research and the Information Technology Services Department in conjunction with the Office of the Vice President of Research and Economic Development.

A. Procedures for Access and Publication of Non-public Institutional Data
1. Complete the "Data Request Form". Also, if requesting non-public institutional data, complete and sign the "DSU Institutional Data Disclosure Form".
2. Submit request form to Office of Institutional Research (OIR).
3. If the request for non-public institutional data is approved, researcher will receive access to Dashboard, Web Wizard reports or new data reports from OIR or ITS.
2. If disclosure of non-public institutional data is requested, researcher will forward a draft of the manuscript to OIR for review against publication guidelines outlined in the institutional data disclosure agreement.

      a.   If the publication draft meets disclosure agreement guidelines, researcher may publish and forward a copy of the final research product to OIR.

      b.   If the publication draft does not meet disclosure agreement guidelines, researcher may revise draft and resubmit to OIR.

B. Procedure for request to survey DSU constituents when data is not currently available.

1. Individuals or researchers will submit their research plan to the Research Compliance Office for Institutional Review Board Human Subjects review.

   a. A DSU researcher must follow DSU policy for the approval of the use of human subjects and submit proof of approval from the DSU Human Subjects Committee. For policy, see: Human Subjects Committee 04-03-00

   b. An external (non-DSU) researcher must:

      1. provide valid IRB documentation from his/her own institution approving the use of human subjects or

      2. follow DSU policy for the approval of the use of human subjects and submit proof of approval from the DSU Human Subjects Committee. For DSU policy, see: Human Subjects Committee 04-03-00

2. Upon approval of the request, researchers must follow the procedures below:

   a. DSU does not allow surveys to be conducted during the first week of classes or during the last three weeks of classes of any academic term.

   b. Only the Office of the Vice President of Research and Economic development or the Office of Graduate Studies (if graduate research) may directly contact the survey sub-population with the survey URL and an invitation to participate.

   c. If the results will be published or otherwise communicated, the researcher must submit a digital copy of the paper/manuscript/results to the Office of the Vice President for Research and Economic Development and the Office of Institutional Effectiveness and Assessment (OIEA). The material will be reviewed against publication guidelines outlined in the data/survey request form.

      i. If the material meets DSU guidelines, the researcher will be given permission to release the material.

      ii. If guidelines are not met and permission to release is denied, the material may be revised and resubmitted for review.

If the request is not approved, the requester may revise the request so as to address any limitations that have been noted. Any appeals should be directed to the Vice President for Research and Economic Development.

V.   RELATED DOCUMENTS, FORMS AND TOOLS

DSU Policy 01-43-00, Privacy of Student Records
DSU Policy 04-03-00, Human Subjects Committee
DSU Policy 04-80-00, University Research Committee
SDBOR Policy 7:1, Acceptable Use of Information Technology Systems