INSTITUTIONAL RESEARCH REQUESTS

Operating Protocol-Procedure #: 110
Category: Governance, Organization, and Institutional Effectiveness
Office of Primary Responsibility: Office of Institutional Research

Approval Date: 1/11/16
Effective Date: 1/11/16
Revised:

**Purpose** (Clearly state the rationale and purpose for this Operating Protocol)

To define the procedures for the receipt, completion, and dissemination of data-related services provided by the Office of Institutional Research/Effectiveness.

**Applicability** (Identify to whom this Operating Protocol applies)

All persons requesting data services, surveys, or other data-based support

**Definitions** (Define abbreviations, acronyms, and technical terms)

- **Banner** – Student Information Processing System
- **FERPA** – Family Educational Rights and Privacy Act
- **External Request** – A request that originates from a PCC employee or an individual outside of PCC and is intended to inform other organizations or entities.
- **IPEDS** – Integrated Post-Secondary Data System
- **Internal Request** – A request that originates from a PCC employee and is intended only to support or inform the organization.
- **NSCH** – National Student Clearinghouse
- **ODS/Cognos** – Operational Data Store for accessing Banner data
- **Qualtrics** – Survey Application
- **SURDS** – Student Unit Record Data System
- **SurveyMonkey** – Survey Application
- **SurveyTracker** – Survey Application

**References** (List any related references such as State Board policies, state statutes, accreditation regulations, etc.)

- Solomon Amendment, 10 U.S. Code § 983.b.2.A and 10 U.S. Code § 983.b.2.B
- Colorado Community College System President’s Procedure, SP 4-80, STUDENT EDUCATIONAL RECORDS AND DIRECTORY INFORMATION

**Attachments** (List any supporting documents related to this Operating Protocol/procedure including a process flow chart, if applicable)

None

**Operating Protocol** (Please provide the statement of Operating Protocol. The Operating Protocol statement is the governing rule, principle, plan, or understanding that guides the procedure)

Data services are those that help PCC stakeholders make business decisions using data as opposed through intuition or impressions. Any data that is provided in the name of this effort is subject to FERPA law, which in-short, guarantees the privacy of students with regards to their information provided to and generated by the educational institutions they choose to engage.

Internal stakeholders may have access to student level data provided the requestor can supply a legitimate educational interest for the data. External stakeholders will never be granted data that could reasonably identify an individual student, but rather can be provided in summary form, depending on the request.
The IR Office (IR), along with the Office of Admissions and Records, serve as the two stewards of student level data, with IR specialized to extract data out of the Banner system for analysis and/or reporting.

### Procedure

Requests for student data services can be initiated in four ways: Walk-up, E-Mail, Phone, or PCC IR Help Desk. All requests for Survey creation must be entered in Ultimus to be processed.

Requests will be categorized as either (1) Data Analysis or (2) Survey Analysis. Additionally a requestor may require data consultation either in conjunction with a data or survey request, or separately. If a PCC employee or student wishes to conduct a survey of any internal stakeholders, they must submit a request in Ultimus. PCC employees or students wishing to survey external stakeholders may do so without using the Ultimus request or contacting IR, though IR will provide assistance to these individuals if requested, including use of various survey applications.

### Data Consultation

These requests are exploratory or academic in nature. This data service is to help stakeholders gain competency in measurement, program evaluation, or analysis techniques. IR staff will help determine which tools should be used for the desired measurement.

For maximum utility, a data consultation should always be conducted in the planning phase of any new initiative, or to accompany any significant change. This will allow the development of measurement that is specific to the purpose and considerably more valid to demonstrate efficacy.

### All Requests (Data Analysis and Survey Analysis)

#### Internal requests

Internal requests must have a legitimate educational interest for FERPA compliance. A legitimate educational interest is defined in CCCS SP 4-80. Valid internal requests will be entered into the PCC IR Help Desk log with all of the following pieces of information: (1) priority level, (2) how the request was received (mode), the requestor’s (3) name, (4) contact number, (5) job title, (6) department, (7) primary office location, (8) category and (9) sub category of the request, (10) the team member responsible for completing the request, (11) the subject and (12) description of the request, and (13) a due date. The assigned team member will work with the requestor to set a due date, but if no due date is indicated by the requestor the default date is set to the final day of the following month. All approved internal requests will be completed by the established due date.

External requests

External requests will be first evaluated against FERPA policy and can only be approved by the Director of IR. To be approved, the requesting entity must be listed in CCCS SP 4-80 in the section “College’s Rights to Disclose Personally Identifiable Information.” Requests by any other entities will be forwarded to CCCS Legal. Any request that may allow the requestor to contact current or former PCC students directly by any means, including institution assigned e-mail, will be forwarded to CCCS Legal. The PCC IR office will then carry out the directive provided by CCCS Legal. There is no appeal process for any outcome of this procedure.

### Exceptions for External Requests

Per the Solomon Amendment, IR will provide the following information to any external requestor affiliated with the U.S. Armed Forces: Names, Addresses, Telephone Numbers, Date of Birth, Level of Education, Academic Majors, Awards Received, Most Recent Educational Institution Attended.

### Exceptions for Directory Information

As specified in CCCS SP 4-80, IR may disclose the following information to any internal or external entity as Directory Information: student name, student major, participation in officially recognized activities, dates of attendance, degrees and awards received, most recent educational institution attended, and enrollment/enrollment time status (enrolled full, ¼, part, ½, less than ½ time, withdrawn, graduated, deceased). However, such releases must still be approved by the Director of Institutional Effectiveness.

### Exceptions for Student Contact Information

Under SP 4-80, student physical address, e-mail, and phone number are considered to be personally identifiable information and are
generally not released. However, IR will release this type of contact information for the following circumstances: graduation lists released to news media, listings regarding special awards, honors, and events, and listings to Phi Theta Kappa and other academic honor societies for communications regarding membership.

**Prioritization**

Priority can be suggested by the requestor, but such is ultimately up to the office of IR/E to assign priority within the office’s current workload. Preference will be given to requests that (1) clearly align with the current PCC Strategic Plan, HLC Criteria for Accreditation, or AQIP Categories or that (2) are for data without which a PCC employee would be unable to complete a task critical to his/her role at PCC. Informational requests meeting neither (1) nor (2) will be honored, but may be delayed as needed to complete higher priority tasks.

**Recurring Requests**

Requestors often have the same needs on a semester or yearly basis. These special cases may be known far in advance, and can be easily assimilated into the work log far ahead of time. PCC IR welcomes these kinds of requests. This type of request will be rated at a higher priority whenever possible.

**Request Turnaround**

While IR is committed to providing rapid analysis and reporting the office respectfully asks that any request be received by the office a minimum of 3 business days before the final report is needed for data requests compiled from the ODS or Banner and a minimum of 7 business days for requests involving survey design, distribution, analysis, or reporting. Certainly, this may not always be possible in the event of an emergency. The office will try, but cannot guarantee, completion of rush requests. Requests that involve collection of data from external sources, such as the NSCH (Subsequent/Previous Enrollment), cannot be guaranteed by any specific timeframe because of the reliance on external data sources.

**Cancellation**

Often, stakeholder needs can change, and any request is able to be cancelled at any time as deemed necessary by the requestor or another stakeholder. Typically, the requestor or his/her supervisor may cancel an open request.

**Required Request Elements**

Request descriptions should always include: (1) the purpose of the request, (2) the population of interest, (3) the desired output format, and (4) the desired recipients. If the requestor does not provide each of these pieces explicitly, the assigned team member may contact the requestor to clarify the request before beginning work and/or use his/her best professional judgment. The automatic desired recipients are the requestor and his/her supervisor – these individuals will always receive a copy of any report generated.

**Example Request**

- I need a list of students on the Pueblo Campus enrolled in at least 12 credit hours, and are listed as undeclared majors. I would like to send marketing materials to these students. I would like a spreadsheet that has the following data elements: Banner ID, Student Name, Local Address, Permanent Address, Local Phone Number, Cell Phone Number, and/or Student E-Mail Address.

**Research Question/Purpose**

- Create a student contact list for distribution of marketing materials.

**The Population of Interest**

- Students on the Pueblo Campus enrolled in 12+ credit hours.

**Desired output format**

- Excel spreadsheet list sent by e-mail

**Desired Recipients**

- Requestor, his/her supervisor, & others as appropriate

**Specific Considerations for Survey Analysis**

IR is charged with reviewing in-house and commercially developed surveys and questionnaires (including course/instructor evaluation instruments) intended for distribution to any members of prospective members of the PCC Community (e.g. applicants, students, faculty, staff, board members, employers, alumni). All individuals or groups requesting to distribute a survey or questionnaire that falls under the scope of this policy must submit a request to IR. Internal stakeholders (employees and students) should complete the Ultimus request. External stakeholders should contact the Director of Institutional Effectiveness.
The role of IR includes reviewing proposed surveys and questionnaires; protecting the rights of human subjects; ensuring good survey methodology and design; preventing specific populations from being over-surveyed; avoiding the collection of duplicated information; and encouraging sharing of survey results with the PCC community. IR is exclusively authorized to review, approve, require modifications in, or disapprove surveys or questionnaires conducted by or through the College. The President of PCC will have final authority regarding the publication or reporting of any survey targeting internal stakeholders. If a survey is not approved by either the Director of Institutional Effectiveness or the President of PCC, it cannot be distributed. There is no appeal process for this decision.

**Exceptions to Exclusive IR Review**

Any surveys or questionnaires conducted as part of a research project involving human subjects will be reviewed as part of the IRB Approval Process (see Policy 550.1). They are not subject to an additional IR review.

Surveys and questionnaires conducted as a classroom assignment as a means of teaching research methodology or demonstrating course material and concepts do not require individual review by IR. It is the responsibility of faculty members to (1) review students’ proposed surveys and questionnaires and, when necessary, suggest improvements, (2) ensure classroom surveys and questionnaires are conducted in accordance with federal regulations and principles regarding the protection of human subjects in research (i.e. the data gathered and the conclusions drawn are to be shared only with the class that is requiring the research project). If the faculty member wishes to consult IR regarding these surveys, they may request a consultation. Such requests align with AQIP Category One and will be given priority.

**Supervisor Approval**

All surveys must be approved by the requestor’s direct supervisor before any work may begin. This approval is part of the Ultimus request process.