



RALPH J. HEXTER
Provost and Executive Vice Chancellor

OFFICE OF THE PROVOST AND EXECUTIVE VICE CHANCELLOR
ONE SHIELDS AVENUE
DAVIS, CA 95616
TEL: (530) 752-4964
FAX: (530) 752-2400
INTERNET: <http://provost.ucdavis.edu>

March 18, 2019

Professor Nina Amenta, Computer Science
Professor Scott Carrell, Economics
Professor James Griesemer, Philosophy (Co-Chair)
Professor Martin Hilbert, Communications (Academic Senate Representative)
Professor Erik Henricson, Physical Medicine
Professor Paco Martorell, School of Education (Academic Senate Representative)
Graduate Diversity Officer Josephine Moreno, Graduate Studies
Senior Campus Counsel Sheila O'Rourke, Campus Counsel
Director Matthew Settles, UC Davis Genome Center (Academic Federation Representative)
University Librarian and Vice Provost of Digital Scholarship MacKenzie Smith (Co-Chair)
Chief Information Security Officer Cheryl Washington, Information & Educational Technology
Chief Data Officer Steven Weisler, Budget and Institutional Analysis
Associate Vice Chancellor – Enrollment Management (recruitment underway -- to be added when individual is on board)

Re: Establishment of UC Davis Institutional Data Council

Dear Colleagues,

I write to request your service on the newly established UC Davis Institutional Data Council (IDC), which I am charging to coordinate and oversee many aspects of data governance at UC Davis. The IDC is being formed based in large measure on the recommendations of the *Data Governance Task Force Report*, April 2018. I am grateful for the Task Force's careful thinking and thoughtful recommendations.

The IDC will provide a venue where the management and use of institutional data for the benefit of UC Davis and its constituent parts will be considered and discussed at the strategic level. Institutional data covers the members, functions, and activities of our university and its community, involving people (faculty, students, researchers, staff, patients, alumni, donors, etc.); core activities related to teaching, research, and service; and operations (financial, facility and asset management, etc.). The IDC does not function at the operational level, rather it makes recommendations and advises as to policy.

The current university data governance structure ([PPM 320-40](#)) employs multiple systems of data trustees, stewards, and custodians who have varying levels of responsibility and accountability for ensuring appropriate access to, and use of various types of institutional data. There are not infrequently times when conflict arises from competing goals and interests with respect to use of certain institutional data; for example, privacy versus transparency. Resolution of such conflicts requires nuanced analysis of legal, policy, reputational and other issues in determining the appropriate response to any particular data request. As the Chief Academic and Chief Operating Officer of the campus, the ultimate responsibility for such decisions rests with me. I am charging the IDC to advise me on these and related matters, both directly and through coordination of appropriate expert groups. Your participation on the Committee is as a university citizen rather than a stakeholder

representing a particular part of the university or providing particular expertise (although that may be called on during Committee deliberations or on expert groups commissioned by the Committee).

I expect the IDC to provide strategic leadership with respect to data access and other data-related issues, based on the university's vision, mission, strategic plan and priorities. The IDC should assume a forward-looking perspective, envisioning where data usage should go to achieve university objectives and improve operational efficiency. The Data Governance report recommends that the IDC develop a set of principles to guide its discussions and decision-making, relying on technical experts as needed, and to develop a review process that balances multiple criteria and perspectives. With this background and overall direction, I charge the IDC as follows:

1. Within one year:
 - a. Conduct a review of existing groups that oversee or coordinate data-related policy, technology, and functions, with an eye toward eliminating duplication and clarifying roles as needed;
 - b. Develop standards for best practices for such groups including clear charges that define their scope and functions, have appropriate stakeholder representation, and a clear governance model, including the role of this IDC;
 - c. Determine the extent to which updates or modifications to existing campus policy are warranted;
 - d. Develop a proposed set of principles to guide your consideration of data requests that are escalated for your review and my decision making;
 - e. Present recommendations relating to the above to me.
2. On an ongoing basis, serve as the data governance policy review and advisory body with the following roles and responsibilities:
 - a. Review data requests that are escalated beyond data trustees within the existing policy framework and make recommendations to me for my final decision. Recommendations do not require unanimity and minority reports can be provided to me if deemed necessary.
 - b. Review and make recommendations with respect to strategic plans and priorities for institutional data-related activities and investments across the enterprise.
 - c. Oversee data-related policy formulation, including initiating updates to and interpretation of existing policies, as needed.
 - d. Conduct periodic reviews of existing data management and oversight groups to recommend creating, eliminating, merging, or modifying groups as needed.
 - e. Identify opportunities for more strategic use of data and technology necessary to achieve university goals, informed by standing committees, university strategic plan, etc.

Consistent with the recommendations of the Data Governance Task Force, in the fall of 2020 I will charge an independent review of the IDC to evaluate its effectiveness in carrying out this charge. Depending on the outcome and recommendations of this review, I may consider modifications to the charge that may be warranted at that time.

In general, the IDC will meet at least quarterly, though I anticipate that during the assessment period in the first year more frequent meetings may be necessary to organize work efforts and meet the goals outlined in point #1 of the charge above. Scott Asakawa from Budget & Institutional Analysis will

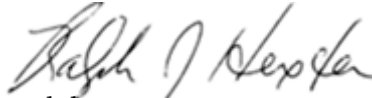
March 18, 2019

Page 3

provide staff support to the IDC; his office will reach out soon to schedule the initial meeting of the IDC.

I anticipate the first year to be the greatest commitment and recognize the major contribution that it will make to the university. Thank you in advance for your service on the IDC.

Sincerely,

A handwritten signature in dark ink, appearing to read "Ralph J. Hexter". The signature is fluid and cursive, with the first name "Ralph" being the most prominent.

Ralph J. Hexter
Provost & Executive Vice Chancellor

Cc: TBD