UNIVERSITY OF
KENTUCKY®
Regulations

Institutional Data Management and Systems Acquisition

Major Topics

I.   Introduction

This Administrative Regulation sets forth policies and organizational responsibilities for the data administration program, technology acquisitions, and communications networking at the University.

This regulation applies to central "administrative" data and systems which are of institutional significance and which are used to support or are relevant to the administrative, operational, patient care, or planning functions within the institution. Appropriate access should be broadly available to the University community.

The University shall have enterprise database systems containing all of its central institutional administrative data. All area or departmental systems containing peripheral administrative data shall be integrated with the institutional databases and data architecture whenever appropriate.

II. Organizational Responsibilities

A.   Executive Vice President for Finance and Administration (EVPFA) Responsibilities

The EVPFA shall:

1.   have final approval regarding all recommendations of the IRIS Administrative Computing Systems Coordinating Committee (ACSCC) (AR 10:2) concerning the management of administrative data, including at a minimum long range planning, the definition of procedures, prioritization of projects, and assessment of proposed system changes and purchases in view of established data standards;

2.   make policy recommendations to the President as needed; and

3.   recommend a representative to serve as the chair of the ACSCC (AR 10:2)

B. University Chief Information Officer (CIO) Responsibilities

1. Coordinate the implementation of the decisions made by the EVPFA in the application of guidelines in the comprehensive management of institutional administrative data;

2. Maintain and improve the efficiency of processes associated with the collection, storage, maintenance, manipulation, analysis, access to and security of institutional administrative data, including the institutional data warehouse;

3. Consult with the ACSCC (see AR 10:2), Information Technology Enterprise Computing Services, University Healthcare Information Technology, and other area technical staff;

4. Coordinate all data management efforts with the Provost and the Executive Vice President for Health Affairs;

5. Prepare periodic information technology plans that support the institutional goals outlined in the University's strategic plan;

6. Coordinate preparation of the University's Information Resources Plan for state-wide use, in compliance with KRS 61.940 to 61.953; and

7. Support all centralized, institutional hardware, software, and systems.

C. Business Owner Responsibilities

Primary responsibility for the content and quality of the data in these systems is assigned to individuals designated as the business owners within the functional areas. These individuals are designated to serve as members of the ACSCC and to provide support on various data management issues (see AR 10:2). However, responsibility for data quality is a shared responsibility with the IRIS Administrative Systems Group and any technical staff or users who have the authority to update the data.

D. Data Custodian Responsibilities

1. The business owners shall assign a management staff member from their functional areas to serve as data custodians. The data custodians are subject matter experts on the administrative systems that support their areas, and the most familiar with the interrelationship between policy and procedures, business rules, data systems, data standards and security classifications. The data custodians will be responsible for the collection and maintenance of specific data in their functional areas, and for providing advice to the business owner on corresponding policy and procedures.

2. Each University area shall make economic decisions involving computing and other services to support its area. Colleges and departments are responsible for operation and maintenance of departmental facilities. However, arrangements whereby departments contract with Information Technology to provide site management and technical support are encouraged. Such arrangements shall be discussed and agreed to by appropriate departmental and information technology representatives and approved by the Provost, appropriate executive vice president or the CIO. Academic and administrative units that have their own computing equipment (as opposed to centralized, University equipment) are responsible for its effective and efficient use as well as for providing adequate consulting, maintenance, and tutorial support for all users.

III. Procedures for the Acquisition and Purchase of Systems and Services

A. Purchasing and contracting functions at the University of Kentucky as a state agency shall be completed within the framework of the Commonwealth of Kentucky Revised Statutes KRS l64A.550 to 164A.630.

B. Pursuit of external sources of funding to the fullest extent possible is needed to help support research computing resources. Each external grant and contract must be reviewed to determine if computing services are required. If so, the full cost of such computing must be included in the grant proposal, if permitted by the funding agency, as required in University of Kentucky Administrative Regulation AR 7:3 (Policies and Procedures for Soliciting, Receiving, Recording, and Administering Grants and Contracts for Sponsored Projects). The actual level of research computing costs funded from grants and contracts will vary due to changing funding opportunities. Nevertheless, University researchers are expected to pursue full funding for all computing costs.

IV. Capital Acquisitions

A. All capital equipment purchases at the University are governed by expenditure authority as defined in current statutes and in budgetary authority as outlined in the University's current budget. For expenditures for computing and communications equipment and services of less than ten thousand dollars ($10,000.00), Deans and Directors are responsible for reviewing and approving the departmental or divisional requests. The primary responsibility for a decision to acquire departmental or college systems rests with the affected units; however, such decisions should be reviewed with the CIO.

B. All requests for computing or communications equipment and services in excess of ten thousand dollars ($10,000.00) must be submitted to the CIO for review and approval. Proposals must contain a statement of purpose and an explanation of how the equipment will be used and supported. The acquisition will be reviewed in relation to overall institutional goals. The impact, if any, upon the University's communication networks must be identified. Furthermore, the ongoing operational support costs and the source of funding for equipment and services must be established prior to acquisition. (see Business Procedures Manual, Section B-7)

C. In accordance with KRS 45.760 and KRS 45.750, all purchases of equipment with a price of $200,000 or more and systems with a price of $600,000 or more can be acquired only if authorized in the appropriation bill for the current biennium and in the University biennial budget. Therefore, large-scale computing and communications equipment acquisitions must be included in the biennial budget request.

V. Administrative Systems Project Request Procedures

A. As institutional units perceive the need for new or expanded University-wide administrative computing systems, they shall prepare requests in cooperation with Information Technology staff and forward them through the Provost or appropriate executive vice president to the CIO.   The CIO will to determine whether the systems process or store university-wide data or must interface with other university-wide systems.

B. Because modifications to existing programs and systems affect the interrelationships among systems, all requests for changes, deletion, and additions to programs, data elements, data definition, or tables in these University-wide administrative systems shall be reviewed by the ACSCC. Recommendations from this committee shall be forwarded to the EVPFA and the CIO for review and action.

C. Wherever feasible, the University will purchase appropriate commercial software, when it is available to do a given project, rather than developing the software internally. All requests will be evaluated in terms of established data management standards, all recurring and non-recurring costs and benefits identified, and a report containing the results of the evaluation will be presented to the ACSCC. This Committee

will review the information and make a recommendation on the appropriate course of action to the EVPFA and the CIO.

D. For each approved request, the appropriate senior administrator within central administration will serve as the executive sponsor and will designate a project liaison. This project liaison will have the responsibility to support the installation or expansion, and shall be responsible for providing regular status reports on project implementation to the executive sponsor as well as to the CIO.

VI. Communications and Networking

A. The University is committed to providing state-of-the-art communications and networking services to support the institutional mission. This commitment includes providing a communications infrastructure for voice, data, and video, including enabling technologies and core applications that support teaching and learning, research, administration, and community outreach. Faculty, student and staff access to information resources located locally and throughout the world across the Internet shall be provided in an efficient and effective manner. Funding for the infrastructure facilities are a shared responsibility between general (institutional) funds and area funds.

B. The Communications and Networking Systems unit (CNS) provides the communications systems and services for the University. CNS is responsible for ensuring that all University communication systems will interoperate with national and international networks by maintaining appropriate campus communication standards. Therefore, all departments that are planning any communications or networking projects must consult with CNS in determining voice, data, and video needs and specifications. (See Business Procedures Manual, Section Q)

VII. References and Related Materials

KRS:

164A.550 to 164A.630 Financial Management of Institutions

61.940 to 61.953 Information Resources

45.760 Limitations on project and equipment expenditures in State Capital Construction Program

45.750 Definitions for KRS 45.760 to 45.810 -- Application of KRS 45.760 to 45.810

Administrative Regulations (AR):

7:3 Soliciting, Receiving, Recording, and Administering Grants and Contracts for Sponsored Projects

10:2 University Information Technology Advisory Committees

Business Procedure Manual:

Section B-7 Computer Hardware and Software

Section Q Information Technology

Revision History

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For questions, contact: [Office of Legal Counsel](#)