

## **Duke University School of Nursing Procedure**

Name: Report Release Approval for DUSON Institutional Research (IR) Office and Departments

Effective Date: January 1, 2014

Next Review Date: June 30, 2016

Review/Revision History: n/a

Approval Authority: Associate Dean, Finance and Administration

### **Overview**

The DUSON IR Office supports the use of institutional data, analysis, and research for decision making, in support of DUSON's mission. In addition, departments from across the School receive requests for reports and data. This document defines the roles and people who have authority to approve the release of DUSON information and those who may access reports published to Reports Central. It also describes guidelines for the distribution of DUSON institutional data or departmental, including criteria for fulfilling requests.

### **Policy Statement**

The School's Associate Deans will decide who may access Reports Central reports or receive information requested via the DUSON IR Office or a DUSON department in an ad hoc manner. The applicable Associate Dean who has oversight authority for the ad hoc information being requested or displayed in a Reports Central report will make the related access decision.

In situations where information exists in a report that is within the responsibility set of more than one Associate Dean, the Associate Dean, Finance and Administration (ADFA) will decide which Associate Deans should be involved in authorization of report release or access. In some cases, the Dean or Executive Vice Dean will be consulted.

### **Criteria and Guiding Principles**

The following should be considered related to the release of DUSON information and creation of reports:

1. The main criterion for fulfilling a request for data is that the information will be used for a DUSON administrative purpose, including management decision making, responding to a formal survey required by external agencies, or participating in a survey as requested by a member of the DUSON Executive Committee.
2. Under no circumstances will student or employee source or "raw" data be released in order to protect confidentiality and be compliant with regulations such as FERPA. DUSON IR and the applicable School department will present information only in a summarized form.
3. Duke Medicine Information Security Office (ISO) policy will be followed to ensure protection of sensitive data.
4. PHI will remain protected at all times in compliance with HIPPA and other regulations.
5. Individual employee personal information and salaries will be protected and not released outside of the Business Office.
6. Information intended for release to the press or for display along with the DUSON or Duke brands must be approved by the Director of Marketing and Communications.
7. It is easy for information to be taken out of context or incorrectly interpreted by a person without knowledge of the information. Report and information release approval decision-makers should

take this fact into account when reviewing release requests. In some cases creating a narrative or having a discussion to accompany the information will mitigate the risk of the data being erroneously interpreted.

## **Procedures**

### Ad Hoc Report or Information Requests

#### *Requests Received by DUSON IR Office -*

The DUSON IR Office representative receives the report request, defines with the requestor the report elements and format, who will receive the report, and why the information is needed. The DUSON IR Office representative makes a recommendation to the ADFA as to which of the School's Associate Deans should review the request for approval. The ADFA reviews the recommendation and either approves the request to advance the request to the identified Associate Dean or works with the DUSON IR Office representative to determine other vetting needed before advancing the request to the applicable Associate Dean. In some cases, the ADFA may deny the information request before it is advanced to another Associate Dean, especially when the request is inconsistent with the Guiding Principles and Criteria for information release (listed earlier in this document).

#### *Requests Received by DUSON Department -*

The applicable DUSON department representative receives the report request, defines with the requestor the report elements and format, who will receive the report, and why the information is needed. The designated representative from the applicable DUSON department makes a recommendation for approval (or denial) of the request to the Associate Dean to whom the department reports. The Associate Dean reviews the recommendation and either approves the request or denies after considering if the request is consistent with the Criteria and Guiding Principles for information release (listed earlier in this document).

### Reports Central Report Creation Requests

The central report creation process is similar to that of the DUSON IR Ad Hoc Report request, but adds several steps of testing and rigor, given the report will be displayed on an ongoing basis and used regularly for management decision making. In many cases the creation of a Reports Central report involves a significant amount of planning to access the source data and transfer it in an automated and reliable manner from the source database to the DUSON data warehouse (BISoN). The DUSON IR Office representative will function as the report's Developer and will secure formal approval from the departmental manager who is most familiar with the data and information being included in the report, in addition to the applicable Associate Dean. The departmental manager will actively participate in testing the report for accuracy and display format.