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Division **Enterprise Information Services**	REFERENCE • ORS 162.305, 192.660, 219.110, 276A.206, 276A.300, 291.037 • OAR 125-800-0005, 125-800-0020	
Policy Owner Data Governance and Transparency		
SUBJECT Data Governance	APPROVED SIGNATURE Terrence Woods, State Chief Information Officer (Signature on file with DAS Business Services)	

PURPOSE

Data and information are strategic assets of the state and must be actively governed in order to preserve and enhance their value. This policy sets forth a statewide approach to data governance and establishes a baseline framework and accountability structure for agencies to use in establishing internal data governance programs.

APPLICABILITY

This policy applies to all state agencies as defined in ORS 276A.230, and includes any board, commission, department, division or office within the Oregon Executive Branch. The following agencies and boards are excluded:

- Secretary of State.
- State Treasurer.
- The Attorney General, but only with respect to its authority under ORS 276A.303 over information systems security in the Department of Justice.
- Oregon State Lottery.
- State Board of Higher Education or any public university listed in ORS 352.002.

FORMS/EXHIBITS/INSTRUCTIONS

- Data Governance Maturity Model, available on the DAS Policies website
- Data Governance Plan Template, available on the DAS Policies website

DEFINITIONS

Data: unprocessed facts, raw numbers, figures, images, words, sounds, derived from observations or measurements. Data is the raw material for information.

Data Governance: the specification of decision rights and an accountability framework to ensure the appropriate behavior in the valuation, creation, consumption and control of data and analytics (Gartner).

Data Governance Body: a council, committee, or other agency structure designed to act as a coordinating and leadership organization in the agency's data governance plan.

Data Steward: a person with data-related responsibilities as set by a Data Governance or Data Stewardship program, typically a Subject Matter Expert (Data Governance Institute).

GENERAL REQUIREMENTS

State agencies are required to implement internal data governance through the establishment of the requisite authorities, roles, organizational structures, and resources necessary to support the management, use, and maintenance of data as a strategic asset throughout its lifecycle. Agencies are also required to develop and implement internal procedures and documented processes for data governance within their organization that meet the requirements set forth in this policy. At a minimum, agency data governance programs must include the following components:

(1) Establishment of a representative, accountable and appropriately resourced Data Governance Body with authority, or members with authority, over the management of agency data, whose membership includes leadership from the agency executive level, major business lines and program areas (including IT).

(2) Assignment of duties within networked roles at the strategic, tactical, and operational layers of data governance necessary for the effective management of data.

(3) Creation of a Data Governance Plan, to be submitted on a biennial basis to the Chief Data Officer, containing:
   (a) A biennial assessment of the agency's data governance maturity, using either the Enterprise Information Services' provided data governance maturity model, or another industry standard maturity model.
   (b) A biennial gap analysis and continuous improvement plan responsive to the findings of the agency's maturity assessment, to be included in the Data Governance Plan.

(4) Creation and maintenance of a data inventory in compliance with ORS 276A.365.

(5) Development of procedures, standards, and technical documentation that address the quality, management, use, and reuse of data throughout its lifecycle within the organization.

(6) Establishment of data governance program metrics in consultation with the CDO for measuring and reporting on the ongoing efficacy and efficiency of the agency's data governance program.

ROLES AND RESPONSIBILITIES

Agency responsibilities:

The following roles will be established in creation of a data governance program within the agency. Agencies will document the specific roles and responsibilities of each identified role within the organization:

(1) A Data Governance Body to act as an authority structure for escalating and making decisions around the agencies use, re-use, retention, disposal, and management of data throughout its lifecycle:
   - For agencies under 150 FTEs, the Data Governance Body may be incorporated into an existing executive body or other authority structure.

(2) A network of data stewards (or similar) to effectively manage data within discrete business units and data domains, with appropriate authority and responsibility assigned to individual stewards. The number of needed data stewards will be dependent upon the agency's size and complexity of the agency's data ecosystem.

(3) An identified lead data steward (or similar) to facilitate and provide leadership to data stewards in the accomplishment of their duties and to liaise directly with the State Chief Data Officer on data governance within the agency and at the state enterprise level.

(4) For agencies with dedicated IT staff, identified technical data stewards (or similar) to partner with the data stewards within the business.

(5) Ensure that all employees are aware of their responsibilities for agency data, including:
    (a) Preserving and upholding the ongoing quality, integrity, and reliability of the data and information they create, use, retrieve, edit, and delete within agency information systems.
    (b) Abiding by established statewide and agency level data governance policies, standards, and practices.

(6) Agencies will appropriately train employees, contractors, or service providers on any data quality requirements or procedures to enable them to manage the data and information created in the course of their work duties.
    (a) Whenever a position or role affects the definition, production or usage of data, and derived data or information products, the employee, contractor or service provider shall be informed that they will be held accountable for the quality of that data.

Data Governance Program:

The following responsibilities will be addressed in the data governance program within the agency. Agencies are encouraged to use these responsibilities as a road map when planning for data governance:

(1) Convening a chartered data governance body to set the strategy and vision for the agency with regards to data management and governance. For agencies with fewer than 150 FTEs, this chartered body may consist of an already extant executive or other leadership body.

(2) Establishing an agency-wide vision and strategy, with input from IT and business units, in how the agency will manage data as a strategic asset.

(3) Identification of key strategic initiatives and outcomes for the agency and the data needed to support those initiatives.

(4) Leveraging identified roles and responsibilities to ensure data is accurate, consistent, secure, and aligns with overall agency objectives.

(5) A methodology and guidance for approaching data quality for identified critical data assets.

(6) Establishing guidance for managing data assets throughout their lifecycle, including creation, preservation, classification, retention, and deletion/disposal.

Demonstration of Compliance:

Data Governance is an ongoing, iterative process. To demonstrate compliance with this policy, agencies will:

(1) Submit a biennial Data Governance Plan to the Chief Data Officer every even-numbered year identifying which of the above activities the agency will address in the coming biennium. The Data Governance Plan must contain:

      (a) A biennial assessment of the agency's data governance maturity, using either the Enterprise Information Services' provided data governance maturity model, or another industry standard maturity model.

      (b) A biennial gap analysis and continuous improvement plan responsive to the findings of the agency's maturity assessment, to be included in the Data Governance Plan.

(2) Appoint a Lead Data Steward to represent the agency on the Oregon Data Stewards Council:
- For agencies under 150 FTE, agencies will appoint an internal Lead Data Steward and coordinate with other agencies in their service area to appoint a single Lead Data Steward to serve on the Oregon Data Stewards Council.

Lead Data Steward:

Agencies will identify and appoint a Lead Data Steward to:

(1) Facilitate and provide enterprise guidance and coordination of the agency data governance program.

(2) Participate in the Oregon Data Stewards Council convened by the Chief Data Officer.

      (a) For agencies under 150 FTE, agencies will coordinate by service area to appoint an individual Lead Data Steward to represent the service area. Participation by other Lead Data Stewards within the same service area governance, and in discussing agency data governance concerns and challenges is optional.

(3) Act as the designated point of contact for the Chief Data Officer in coordinating enterprise data governance, policy area data.

(4) Be imbued with the appropriate authority to author policy, establish standards and guidance, identify and designate authoritative data sources or sets for their agency, and assign duties to data stewards.

Agency Data Stewards:

Agencies will identify and appoint data stewards (or similar) within the organization to act as the operational layer of the data governance program. Total number of data stewards is dependent upon the agency's individual size and data ecosystem. Agencies may choose to define additional roles within their organization depending on the volume of data and data domains identified in the agency's data governance plan. Established data steward roles must:

(1) Be responsible for the management and maintenance of specific data domains as defined by the agency's data governance plan.

(2) Collaborate and coordinate with data stewards and the Lead Data Steward in making progress on the agency's data governance plan.

(3) Work to establish data standards and requirements within their identified data domain/area of authority and responsibility.

(4) Be imbued with appropriate positional authority as needed to manage their data domains.

(5) Document data classification rules, compliance and business rules and ensure the rules are communicated to all stakeholders and data stewards in their domain.

Agencies will ensure that the role of data steward, and any additional roles created within the organization, are well understood, given appropriate time and resources to accomplish the tasks set forth by the data governance program, and that stewards are empowered to communicate throughout the agency and drive change when needed to resolve and prevent issues, problems, or errors with data. Agencies must also ensure that all roles and responsibilities are effectively documented, with cross training provided for integral roles within the data governance program.

Chief Data Officer Responsibilities:

Support and Oversight
The Chief Data Officer (CDO) is responsible for overseeing data governance at the enterprise level and at the policy area level, in addition to providing guidance and support to agencies as they work to establish their own data governance programs.

To support agencies on their data governance programs, the CDO will:

(1) Receive and provide feedback on agency data governance plans as they are submitted.

(2) Provide resources for agencies in planning for and building data governance within their agencies.

(3) Establish enterprise-wide requirements for data governance, such as the Data Governance policy.

(4) Convene an Oregon Data Stewards Council to build a body of work around enterprise data standards and work on identification or development of authoritative data sources or data sets, as defined and determined by the Stewards Council.

(5) Receive agency data inventories and incorporate them into the enterprise data inventory.

(6) Provide training and support to agencies on data governance and data stewardship.

(7) Provide feedback as requested by agencies on their Data Governance Body charters, data stewardship models, and any other data governance artifacts created by the agencies.

(8) Develop a Data Governance Resource Library that includes agency created materials and may request that agencies submit materials to the Data Governance Resource Library.

Oregon Data Stewards Council:

Agencies will identify a Lead Data Steward for coordination at the enterprise level in the Oregon Data Stewards Council. Agencies under 150 FTE will coordinate to appoint a single representative Lead Data Steward by service area.

The Oregon Data Stewards Council will be convened and chaired by the State Chief Data Officer, and is responsible for:

    (1) Identifying fundamental data themes and elements that are vital to agencies on an enterprise or inter-agency level and identify or develop enterprise or policy area authoritative data sources or data sets for those themes/elements.

    (2) Establishing working groups and themes to support the stewardship and standardization of enterprise data elements.

    (3) Coordinating policy area data governance through the creation of working groups.

    (4) Providing a centralized mechanism to support agency data governance initiatives.

    (5) Acting as a Center of Excellence for data governance and stewardship.

    (6) Advancing and elevating practices around data governance.