

SOUTH DAKOTA SCHOOL OF MINES & TECHNOLOGY

Policy Manual

SUBJECT: South Dakota School of Mines & Technology Unified Database

NUMBER: Policy I-06

Background

Employees of the University, the South Dakota School of Mines & Technology Alumni Association, the South Dakota School of Mines & Technology Foundation and the Hardrock Club have access to information in a jointly operated database (“Unified Database”) to coordinate and advance the missions of all four organizations in a mutually beneficial way.

Database Contents and Authorized Use

The Unified Database will be the sole database used for development activities and contact information for alumni communications. University employees with access to the Unified Database will not develop or use alternative databases for the purposes of alumni communication or development.

The Unified Database includes private information intended solely to support the missions of the University, the Alumni Association, the Hardrock Club, and the Foundation. The Unified Database and its contents will not be shared or disclosed to any unauthorized user or used for any purpose other than to advance the missions of these organizations.

Governance

The Database Management Group shall include one representative from each of the participating entities. The President shall designate a representative to the Database Management Group. The Database Management Group shall:

- Provide senior level oversight and policy governance of the Unified Database
- Discuss and resolve matters related to the operation of the Unified Database that cannot be resolved by the Super-Users
- Approve standard procedures, practices and patterns of use that improve the quality and utility of the Unified Database

- Approve criteria for inclusion of non-alumni, or groups of non-alumni for potential inclusion in the Unified Database
- Approve and oversee implementation of procedures for designating primary points of contact for development in the Unified Database
- Recommend changes to the database access table, Attachment A, to the governing entities of the four parties
- Fully and currently share information about potential unauthorized use with other parties
- Periodically review and recommend changes in governance, policy and procedures to their respective executive leaders and governing entities.

The Super-Users Working Group shall include one representative each from the University, the Hardrock Club and the Alumni Association and two representatives from the Foundation. The President shall designate a representative to the Super-Users Working Group. The President may designate up to two alternate or substitute Super-Users to receive training and provide back-up in the event of temporary absence. The Super-Users Working Group shall:

- Review, recommend, and implement improvements to training, procedures, maintenance and software
- Discuss and resolve matters related to the day-to-day operation of the Unified Database
- Develop, propose, and implement standard procedures, practices and patterns of use that improve the quality and utility of the Unified Database
- Recommend non-alumni, or groups of non-alumni for potential inclusion in the Unified Database, and criteria for considering non-alumni for inclusion
- Coordinate updates of the database, including importing data on new graduates
- Maintain and use standardized non-disclosure agreements and retain signed copies as appropriate
- Maintain a confidential record of “salts” in the database and in exported lists to detect and deter misuse
- Develop and maintain standard practices for opt-out, do not mail and do not call requests and record such requests in the Unified Database
- Coordinate training on database management and use.

In the event that the Database Management Group cannot resolve a matter important to one or more entities, the matter will be brought to the attention of the President, the President of the Alumni Association, the Chairman of the Board of the Foundation, and the Vice President of the Hardrock Club for resolution.

Private and Proprietary Information

The Unified Database shall be managed jointly by the University, Alumni Association, Foundation and Hardrock Club. The contents of the database shall be the joint property of the Alumni Association and the Foundation.

All Unified Database information, including any partial or complete compilation, is private and proprietary and shall remain so when shared with or provided to other persons or entities. Disclosure of information in the Unified Database that is not authorized by this policy shall constitute an impermissible release of personal information under South Dakota law. The information in the Unified Database shall remain private property and shall be provided with protections from public release and unauthorized use.

The Unified Database shall be protected to the same standard as other University databases.

The data, data compilations, data maintenance, analysis and reporting stratagems associated with the Unified Database are proprietary information and trade secrets, as recognized by South Dakota law, and shall be protected from disclosure.

In accordance with SDCL §§1-27-1.5 and 1-27-30, the University will exclude from the database, or exclude from inspection and copying, and exclude release to any person or entity, any personal information in the University's records regarding any student, prospective student, or former student other than routine directory information, as well as any personally identified private citizen account payment information, credit information or other information supplied in confidence.

The University will exclude from release correspondence, memoranda, calendars or logs of appointments, working papers, and records of telephone calls of public officials or employees related to the Unified Database. Records arising from the day to day interaction among employees of the University and its affiliated entities, including through the Unified Database, are excluded from disclosure.

Authorized Access

The President shall designate a Super-User who will have full access to the Unified Database and will manage access to the database by other university employees and agents.

University employees have access to the Unified Database in accordance with the database access table, Attachment A, and this policy.

Employees or agents of the University shall complete the appropriate confidentiality and non-disclosure agreement before being given access to the Unified Database or to exported information from the database.

Completed confidentiality and non-disclosure agreements are maintained on file by the University Super-User. Copies will be provided to the Alumni Association, Foundation and Hardrock Club.

Employees shall receive initial orientation training on the Unified Database before being given access. Additional training will be completed as required.

Access Management

The University Super-User shall manage opt-out, do not call and do not mail requests for the university in accordance with the standard practices established by the Super-Users Working Group.

If the University Super-User has reason to believe that an employee has used the Unified Database for an unauthorized activity, released information in the Unified Database contrary to policy, allowed unauthorized individuals to have access to the Unified Database or its contents, or intentionally or unintentionally damaged the Unified Database, the Super-User shall suspend the access of the employee until the matter is resolved and immediately inform the University Database Manager.

Potential unauthorized use will be immediately reported to the Database Management Group, the Super-User Working Group and the Vice President for Finance and Administration.

The University shall be authorized to disclose information in the database if and to the extent that such disclosure is necessary to protect the health, safety or property of any person. The Constituent whose information was so disclosed shall be notified of that disclosure as promptly as practicable.

Primary Points of Contact

If a record in the Unified Database is assigned a Primary Point of Contact for the purposes of development, employees shall not contact or communicate with that individual, corporation, or foundation for the purposes of development without coordinating with the Primary Contact in advance.

At their sole discretion, Primary Points of Contact for donors may further limit access to particularly private or sensitive information in the Unified Database. However, general

directory information on alumni will remain available to all authorized users. Authorized users may request access to limited access information from the Primary Point of Contact if users have a need to know.

Data Maintenance

Unified Database users and employees who are provided database exports shall improve the quality of the information in the Unified Database by forwarding updated contact information to the Super-User for inclusion in the database and by making input directly to records regarding contact and communication at their level of authorized access.

SOURCE: Office of the President, January 2015

Attachment A Database Access Table

User Group	Access Level	Access Limitations	Additional Details	Direct Database Access
Super-User Working Group (SUWG)	Full - Import/Input/Update/Export Data	None	1 new position (Univ), 4 existing positions (AAn/Fdn(2)/HRC); Responsibilities: Training, quality control, input, updates, downloads	Yes
Super-User Back-ups	Full – Import/Input/Update/Export Data	None	Up to two alternate super-users for each party, with training, to provide back-up for temporary absences.	Yes
Database Management Group (DMG)	Based on Staff Position below	Based on Staff Position below	One management level person from each organization; Responsibilities: UD governance, resolve issues, approve procedures, recommend changes, share information on unauthorized use.	Based on Position below
Foundation (Fdn) Internal Financial Staff	Full - Import/Input/Update/Export Data	None	Fdn personnel that require RE access / functionality to perform job responsibilities (financial, reports, etc.)	Yes
Fdn Development Officers / Other Staff	Full View - Exported data from SUWG	Input to Action*, Prospect & Notes Tabs Only	Input to RE via worksheet to SUWG for upload or directly thru computer or mobile app	Yes
Alumni Association (AAn) Staff	Full View - Exported data from SUWG	Input to Action & Notes Tabs Only		Yes
Hardrock Club (HRC) Staff	Full View - Exported data from SUWG	Input to Action*, Prospect & Notes Tabs Only	Include all donations received by HRC in database donation records; Input to RE via worksheet to SUWG for upload or directly thru computer or mobile app	Yes
Univ President	Full View - Exported data from SUWG	Input to Action*, Prospect & Notes Tabs Only	Input to RE via worksheet to SUWG for upload or directly thru computer or mobile app	Yes
Univ Vice Presidents and Deans	Full View - Exported data from SUWG	Input to Action & Notes Tabs Only	Probably not all - determined by Univ development needs	Some
Univ Directors and Department Heads	Full View - Exported data from SUWG	Input to Action & Notes Tabs Only	Probably not all - determined by Univ development needs	Some
Univ Admin Assistants / Secretaries	Based on Supervisors Level	Based on Supervisor's Level	Typically one assistant or secretary per supervisor with RE access	Some
Univ Faculty / Other Staff	Via Exported Spread sheets from SUWG	Contact Information Only		No
Fdn Board of Trustees & Volunteers	Via Exported Spread sheets from SUWG	Contact Information Only		No
AAn Board of Directors & Volunteers	Via Exported Spread sheets from SUWG	Contact Information Only		No
AAn Area Vice Presidents	Via Exported Spread sheets from SUWG	Contact Information Only		No
HRC Board & Volunteers	Via Exported Spread sheets from SUWG	Contact Information Only		No
Third Party - Mailings	Via Export from SUWG	As needed for mail merge		No
Third Party - e-mailing	Via Export from SUWG	E-mail addresses		No
Third Party - Auto Dialing	Via Export from SUWG	As needed for Phonathons	Upload to "CallFire" or similar for phonathons	No
Student Workers	Via Export from SUWG	As needed for specific purpose	Under direction of SUWG. Such as Fdn Phonathon and AAn regular student worker	No
Student Group Advisors	Via Exported Spread sheets from SUWG	Contact Information Only	Clarify restrictions and limitations, required to coordinate w Fdn	No
Student Groups	None	None		No
Online Alumni Directory (AD) Registered Users	Online Alumni Directory View	Alumnus/ae may restrict to keep private, per AD Policy	Defined by SDSM&T Alumni Directory Access Policy to provide online access to basic Alumni contact information	No

Direct Database Access: Yes = Raiser's Edge (RE) loaded on computer and/or mobile access.

Action* = entry fields will allow for Highly Confidential/Anonymous entry information to be entered.