

From: [Faculty Senate Budget Priorities Committee](#) on behalf of [Hubbard, Laura](#)
To: FSBPC-LIST@LISTSERV.BUFFALO.EDU
Subject: Re: Request for information
Date: Monday, November 19, 2018 9:12:41 AM
Attachments: [Budget Priorities Committee Questions re Stipen Data.pdf](#)
[Average Assistantships 2017-18.pdf](#)
[data-sharing-confidentiality-rules.pdf](#)

Professor Holstun and Members of the Budget Priorities Committee:

In response to the email below, Provost Zukoski and I asked Craig Abbey, Director of Institutional Analysis, to provide a written response to the questions posted; Craig's response is attached for your review. Also attached is an updated graph of Graduate Student Assistantships for 2017-2018 as well as AAUDE confidentiality rules to which member institutions, including UB, must adhere.

Given the complicated nature of the material being requested and reviewed, we recommend any follow-up questions take place at a Budget Priorities Committee Meeting rather than via emails. To that end, we hope that the members of the Budget Priorities Committee will attend a presentation to the Faculty Senate on graduate student stipends which is scheduled for November 27 at 3 pm in the Center for Tomorrow.

Sincerely,
Laura

Laura Hubbard

Vice President for Finance & Administration
University at Buffalo, State University of New York
542 Capen Hall
Buffalo, NY 14260
716.645.5124
buffalo.edu/administrative-services

From: Faculty Senate Budget Priorities Committee <FSBPC-LIST@LISTSERV.BUFFALO.EDU> **On**
Behalf Of James Holstun
Sent: Monday, October 29, 2018 11:40 AM
To: FSBPC-LIST@LISTSERV.BUFFALO.EDU
Subject: Fw: Request for information

Laura Hubbard
Vice President for Finance & Administration
University at Buffalo, State University of New York
542 Capen Hall
Buffalo, NY 14260
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cc: Faculty Senate Budget Priorities Committee

Dear Vice President Hubbard:

Thank you for responding to my request. Please feel free to use the FSBPC discussion list, which you are subscribed to, as a full, voting member of the Committee--part of the tradition of shared governance that undergirds UB, as we work together for the University's greater good.

I am sorry you were not able to attend our last meeting. I wrote you not as an individual posing one of an array of questions, but as Chair of the Budget Priorities Committee posing a single request for data. My request came directly out of our Committee discussions, in which we determined a need for clearly-labeled data, so that we minimize the comparison of apples and oranges. For instance, we wondered about the very low LAI stipends--whether they reflect a .5 FTE work requirement or something lower. The force of that discussion was that we need more data so that we can understand the stipend situation more clearly. I remembered the two-page document the Administration issued to the Living Stipend Movement last year, and thought that it might be illuminating for the committee. That's why I requested it from you.

As the Committee pursues its charge, I look forward to the collegial exchange of information and ideas, which is part of the basic ebb and flow of shared governance. I want to stress that this is not an array of questions or a request for a large research project that will take months of careful tabulation. It is one request for an updated version of one document that you evidently have ready to hand, since you printed it last year. The fact that we may ask you for other data in the future (we will) does not mean that we do not need this data at your earliest convenience (we do). Indeed, we will no doubt discover the requests we need to make in response to examining the data we have already requested.

So once again, I request these data. It would be very helpful for our deliberations if you could send us an updated version of the attached printout, including

- all assistantships, even those that appear in small numbers (< 5 not represented here).
- an indication of which of these, if any, is for < .50FTE, or < 20 hours a week.
- an indication of what the footnote means by the "AAU Date Exchange methodologies for converting 12-month appointments to 10-month appointments." It would be best, I think, simply to have the full-year stipends, without introducing conversion factors.
- Whether this form includes TAs, GAs, and RAs (only the written annotation asserts this).
- Whether this form refers to Ph.D. assistantships only.

Yes, indeed, that Faculty Senate presentation should be illuminating, and should provide all of us with more background, as you say. But as a standing committee of the Faculty Senate pursuing our charge, we will also be able to provide some of that background, and particularly if we have access to basic data. It would be better if we could share with the Senate an informed and helpful perspective rather than a melancholy report that we have been denied the basic data we need to pursue our committee charge.

Thank you for your time and for considering my request. It's a pleasure working with you for the greater good of UB's graduate students and the University as a whole.

Truly,

Jim Holstun
Chair, Budget Priorities Committee

From: Office of the Vice President for Finance and Administration <vpfa@buffalo.edu>

Sent: Monday, October 29, 2018 10:40 AM

To: Benedict, Jason; Bennett, Sean; Bisson, Mary; UB Provost; Dauber, Kenneth; David Love; David Mattson; De Jong, Jurriaan; Detty, Michael; Doloresco, Fred; Fabry, Donna; Farkas, Michael; Glick, Philip; Hatton, Michael; Horsmon, Deborah; Hubbard, Laura; Jim Holstun; Jungquist, Carla; Kost, Kathleen; Lazar, Stuart; Lenker, James; Lewandowski, Joseph; Licata, Domenic; Faculty Senate; McCluskey, Martha; McDonnell, William; Meagley, Traci; Powell, Lewis; Rabin, Richard; Sanders, George; Shucard, David; Swihart, Mark; Udin, Susan; Vardi, Liana; Yang, Lynne

Subject: FW: Request for information

Professor Holstun,

We look forward to working with the Budget Priorities Committee.

Individual committee members have been posing an array of questions. In providing answers, we spend considerable time developing complete data and we also miss the opportunity to benefit from context and a holistic analysis. The result is that we cannot respond to all questions nor do we have a way of prioritizing which questions are most important to the committee. To ensure we are addressing committee priorities, may I ask the Budget Priorities Committee to determine, as a body, what questions are important to the discussion, and we will be pleased to respond.

At last week's FSEC meeting, the Provost and Chair of the Faculty Senate Executive Committee announced a presentation at the next full Faculty Senate meeting in November to discuss issues around TA stipends. We expect this presentation to provide an in-depth discussion of stipends, how they are determined, the diversity of decisions on stipends made by through local faculty governance processes and sources of funding. We believe this presentation will provide background for the Faculty Senate Budget Priority Committee.

Sincerely,

Laura

Laura Hubbard

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From: James Holstun <jamesholstun@hotmail.com>

Date: October 24, 2018 at 4:57:24 PM EDT

To: "Hubbard, Laura" <laurahub@buffalo.edu>

Subject: Request for information

Laura E. Hubbard

Vice President for Finance and Accounting

Dear Vice President Hubbard:

This is just to follow up on the message I sent out to the whole list. It would be very helpful for our deliberations if you could send us an updated version of the attached printout, including

--all TAships, even those that appear in small numbers

--an indication of which of these is for >.50FTE/less than twenty hours a week

--an indication of what the footnote means by the "AAU Date Exchange methodologies for converting 12-month appointments to 10-month appointments." Ideally, I think it would be best to have the total stipend for the year, without breaking out 9-, 10-, or 12-month appointments, since for graduate students pursuing their Ph.D.s, summer months are for research and writing, not for seeking out more income.

Also, it's not completely clear that this form includes TAs, GAs, and RAs (only the written annotation asserts this), and that it refers to Ph.D. assistantships only. That would be best: in the meeting today, there was a strong desire to get clear data to compare, so that we don't bump into the apple and orange problem.

Also, as I indicate in my earlier message, I am still trying to get clear on the discrepancies of two AAU public tallies issued by the UB Administration:

1. The [\\$18,004](#) on page eleven of the document you sent us today.
2. The \$12,986 I gain by subtracting \$2554 in mandatory fees from the [\\$15,540](#) listed on this chart currently posted at the website of Professor Graham Hammill, the Vice Provost for Graduate Education.

Since both evidently draw on data from 2017-2018 (right?), I assume that they would come up with the same tallies, but there are many discrepancies between the two, and neither indicates clearly the year of the sample--a number of times, we have had the distinctly worrying inclusion of the University of Nebraska among ostensible AAU publics, though it was removed in 2011, I believe. So the year is important.

This simplicity and clarity are vital for us to get a clear sense of what's what. Please feel free to write the committee as a whole or me only, whichever you prefer. I will forward your message to the committee and bring hard copies to the meeting.

Thanks for your help, your time, and your expertise.

all the best,

Jim Holstun

Chair, Budget Priorities Committee



University at Buffalo

Institutional Analysis

Office of the Provost

TO: Charles F. Zukoski
Laura E. Hubbard

FROM: Craig W. Abbey *CWA*

RE: Budget Priorities Committee Questions Regarding Stipend Data

DATE: November 16, 2018

Per your request, I have outlined below answers to questions posed in an October 29, 2018, email from the Budget Priorities Committee regarding stipend data. Please let me know if you need further information.

- As you know, the University at Buffalo uses the methodology developed by national experts from the Association of American Universities Data Exchange¹ (AAUDE) to provide reliable benchmarking for the decisions that our faculty, programs, departments and academic units make when they set stipend levels for their doctoral programs. This standard methodology for comparing stipends uses the 10-month salary and includes all teaching assistants, graduate assistants and research assistants. Comparing 10 months of work with 12 months of work does not yield comparable benchmarking data.
- A full assistantship is 0.5 FTE. A few departments/programs provide students less than a full assistantship. In order to make accurate pay rate comparisons, the AAUDE methodology normalizes all comparisons to 0.5 FTE.
- Because of the Data Sharing Guidelines and Confidentiality Rules (attached) agreed to by all participants in the AAUDE, individual institutions cannot be disclosed.
- *Publicly* sharing graphs or data that show individual dollar amounts or names is a violation of the AAUDE rules and could result in disciplinary actions against the University at Buffalo by AAUDE.
- The University at Buffalo does not disclose sensitive, personally identifiable information such as salary or race/ethnicity on its students, staff and faculty unless

¹ AAUDE is a private, non-profit organization whose primary purpose is the annual exchange of data and information of common interest agreed upon by its institutional representatives. It is not a part of the Association of American Universities (AAU). Two former AAU member institutions, the University of Nebraska and Syracuse University, continue to participate in AAUDE and many exchange items. Additionally, some exchange items include data for institutions that are not part of AAUDE but pay to participate in order to eliminate the need to create a separate data exchange.

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compelled to do so by law. It is for this reason that the *Average Assistantship Stipends*, AY 2016-2017 does not reference data for departments with five or fewer assistantships.

- All terminal degree seeking students paid by an academic unit are used in the unit and the overall university calculations and totals, even if a particular department is not shown. For example, three departments with more than five assistantships in the Graduate School of Education are shown. These departments sum to 45 assistantships but the school as a whole has 48 assistantships, the three others spread across several other departments. On a side note, the data in this particular PDF show the department/entity where the doctoral student is appointed, not their academic program. While these are most often the same department/entity, there are several cases where this may not be the case and may lead some to incorrectly infer that a particular academic program is missing.
- The Graduate Student Employees Union (GSEU) represents all teaching and graduate assistants but not research assistants. GSEU membership includes all TAs and GAs regardless of degree program or which funds their appointment. There are many GAs and some TAs who are masters or professional students. Often, these students are hired by non-academic units as student employees for work that may or may not be directly related to their academic program. The salary data provided by GSEU include these non-doctoral students. They also report actual amounts paid, not salary or wage rates. This can make a significant difference. Take for example a student that was appointed as a TA at a 10-month rate of \$20,000. If the student serves only five months as a TA and then is appointed as an RA for five months, GSEU's payroll data will show the student as earning only \$10k when they actually made twice that amount in those 10 months.
- Attached is an updated version of the *Average Assistantship Stipends*, AY 2017-18

Average Assistantship Stipends, 2017-18

Unit	Department	Average Stipend	Count
College of Arts and Sciences	Anthropology	\$15,183	21
	Art	\$14,816	20
	Biological Sciences	\$20,340	36
	Chemistry	\$24,252	136
	Classics	\$15,440	17
	Communication	\$16,124	11
	Communicative Disorders and Sciences	\$15,885	8
	Comparative Literature	\$15,431	14
	Economics	\$15,060	22
	English	\$15,808	64
	Geography	\$15,133	17
	Geology	\$17,235	17
	History	\$13,995	17
	Linguistics	\$15,330	20
	Mathematics	\$18,793	48
	Media Study	\$15,070	11
	Music	\$15,210	13
	Philosophy	\$15,406	20
	Physics	\$17,887	61
	Political Science	\$14,865	13
	Psychology	\$16,354	52
	Romance Languages and Literatures	\$15,199	21
	Sociology	\$15,759	7
Theatre and Dance	\$14,100	7	
Transnational Studies	\$14,393	15	
	Total	\$17,860	699
Graduate School of Education	Counseling, School, and Educational Psychology	\$12,465	18
	Educational Leadership and Policy	\$11,036	7
	Learning and Instruction	\$11,196	20
	Total	\$11,612	48
Jacobs School of Medicine and Biomedical Sciences	Biochemistry	\$22,380	19
	Jacobs School of Medicine and Biomedical Sciences	\$20,731	15
	Microbiology and Immunology	\$20,272	13
	Pharmacology and Toxicology	\$21,630	20
	Total	\$21,218	97
School of Architecture and Planning	Total	\$10,118	42
School of Dental Medicine	Total	\$18,726	9
School of Engineering and Applied Sciences	Biomedical Engineering	\$18,238	28
	Chemical and Biological Engineering	\$19,929	63
	Civil, Structural and Environmental Engineering	\$19,345	55
	Computer Science and Engineering	\$19,377	98
	Electrical Engineering	\$19,392	64
	Industrial and Systems Engineering	\$19,491	47
	Materials Design and Innovation	\$19,106	9
	Mechanical and Aerospace Engineering	\$18,821	60
	School of Engineering and Applied Sciences	\$21,445	12
	Total	\$19,346	439

School of Management	MGT Finance	\$17,917	10
	MGT Management Science and Systems	\$17,724	8
	MGT Operations Management and Strategy	\$17,485	8
	MGT Organization and Human Resources	\$19,548	8
	Total	\$18,617	40
School of Nursing	Total	\$12,089	16
School of Pharmacy and Pharmaceutical Sciences	Total	\$19,684	32
School of Public Health and Health Professions	Biostatistics	\$21,493	9
	Community Health and Health Behavior	\$18,672	8
	Epidemiology and Environmental Health	\$16,680	8
	Total	\$18,242	31
School of Social Work	Total	\$10,075	19
Grand Total		\$18,006	1,472

Note: All teaching, graduate, and research assistantships for students with appointments in academic units who are seeking a terminal degree (e.g PhD, MFA) are included. Departments with five or fewer assistantships are not shown but are included in the unit headcounts and average stipend amounts. All amounts are calculated from appointment data using AAU Data Exchange methodologies for converting appointments to full-time 10-month appointment equivalents.

AAUDE Data Sharing Guidelines and Confidentiality Rules

General Introduction

The purpose of the Association of American Universities Data Exchange (AAUDE) is to facilitate and coordinate the exchange of data and information among its members, and to continually enhance efficiency and consistency in collecting and exchanging data. The AAUDE values a free exchange of timely and accurate information while fully appreciating privacy and confidentiality requirements.

While many exchange items are designated public and have very limited restriction regarding their use, other exchange items contain sensitive information that exchange participants consider confidential. For these members, the privacy of individuals and the confidentiality of member institutions needs to be protected.

To encourage maximum participation in data exchanges, AAUDE member institutions must have confidence that shared data are stored in a safe and secure manner, and are used in accordance with established data-sharing rules and guidelines when presented and disseminated. It is also vital that the AAUDE minimize the potential risk of public disclosure of sensitive data. Thus, the overarching goal of data policy is to strike a balance between data access and confidentiality.

Compliance and Enforcement

Amendments to this policy are anticipated as organizational needs change and as data management and security standards evolve along with technology. The AAUDE Council will review proposed changes and inform membership of approved changes well in advance of their implementation.

The AAUDE Council coordinates the review and resolution of risk management issues related to AAUDE data access, storage, and distribution at participating institutions and among all approved users. Institutions may be notified of the misuse of data as part of the review process, and may take ultimate responsibility for reaching a decision on future disciplinary action.

Failure to comply with specified AAUDE rules and guidelines may result in disciplinary actions. In the most severe cases, noncompliance may result in the loss of access to exchange items and other AAUDE information.

Responsibility for Observing Rules and guidelines

When participating in AAUDE, each member institution agrees to honor the confidentiality of all data so designated and to abide by all data-sharing rules and guidelines, both those general to AAUDE and those added specifically for individual exchange items.

Responsibility for developing data-sharing guidelines and policies and ensuring their observance is vested in the AAUDE Council, the governing body established to coordinate the association's activities.

The AAUDE Staff, as directed by Council, are responsible for the operational management of central AAUDE data resources. The AAUDE Staff ensure that AAUDE data are safely and securely maintained in a manner that is consistent with industry standards, in order to minimize the risk of accidental release or intentional theft.

In addition, member institutions rely upon their designated representatives to ensure that AAUDE data are used in a safe and appropriate manner. The Primary Representative, designated by each member institution, is responsible for ensuring appropriate use of AAUDE data by his/her institution. The Primary Representative, in collaboration with the Alternate Representatives at his/her institution, must work to ensure that AAUDE data sharing rules and guidelines are observed at their institution and that data confidentiality is protected.

The Primary Representative at each institution plays an essential role by:

- Administering the Memorandum of Understanding (MOU) at their institution and providing on-going support and oversight to individuals having direct access to AAUDE data.
- Serving as an AAUDE liaison at their institution to answer questions regarding use and distribution of AAUDE data locally.
- Familiarizing other users at their institution on the policy details and the level of confidentiality associated with each exchange item.
- Monitoring local users with AAUDE website access.
- Acknowledging special data sharing rules and guidelines associated with data either locally or with AAUDE exchange items.

Any individual requesting direct access to AAUDE data sources, including the website and its data warehouse, shall be required to sign the MOU. The MOU documents that all individuals granted access to AAUDE data have agreed to use said data in an appropriate manner.

Data Security

Central AAUDE Resources

The AAUDE Data Sharing and Confidentiality Rules apply to all AAUDE data resources, including, but not limited to, the AAUDE warehouse, the AAUDE website, and the AAUDE Tableau platform.

Local storage of AAUDE data by institutional representatives

AAUDE representatives must take all appropriate measures, as identified by their institution, to protect AAUDE data from being accidentally disclosed or stolen. While security requirements vary by institution, AAUDE has identified the following practices as a minimum standard for securing AAUDE data during its use by AAUDE representatives and others granted access:

- All transmissions of data from AAUDE servers to institutional computers should be encrypted.
- AAUDE data resources, such as warehouse tables, should not be mirrored to local servers or rebroadcast to local university systems unless those resources are provided as part of an approved institutional account. No AAUDE confidential data is provided as part of an institutional account.
- Computers and media used to store AAUDE data should be protected by a strong password. It is also recommended that all storage media used to store AAUDE data be encrypted. Storage of AAUDE data on laptops, tablets, portable drives, and portable media is discouraged, but if this is necessary the portable media should be encrypted. All storage media should be regularly patched, updated and scanned by security software in accordance with institutional practices.
- Primary representatives are responsible for ensuring that other users (Dean's offices, task forces, etc.) are properly informed about both institutional and AAUDE confidentiality policies and that data sharing across larger audiences is regulated according to these policies. They are also responsible for certifying that other approved users of AAUDE data have read and understood the relevant policy documents and have completed the MOU (available at <http://aaude.org/requesting-access>) on an annual basis.

Categories of Exchange Items by Level of Confidentiality

The degree of confidentiality required by AAUDE data varies substantially. To balance the need for free, unimpeded use of data with the need for ensuring confidentiality, it makes sense to group exchange items into categories and establish data-sharing rules and guidelines for each category. The four categories of exchange items are:

1. Publicly reported data
2. Ad hoc/special requests
3. Confidential exchange items

4. Confidential exchange items with additional rules

Each existing AAUDE exchange item has been placed in one of these four categories, depending on the level of confidentiality involved. As new exchange items are added, the AAUDE Council will evaluate and assign each to the appropriate category. The level of confidentiality is identified on each exchange item’s web page.

Practices for data sharing are acknowledged to be contingent on the specific audience that reports are distributed to locally and dependent on the exchange item and level of detail associated with each report.

Table 1. Categories of Exchange Items by Level of Confidentiality (as of 9/23/2013)

<i>Level of Confidentiality</i>	<i>Exchange Item</i>
<i>Publicly Reported Data</i>	<ul style="list-style-type: none"> - AAUP Faculty Salaries - IPEDS Fall Enrollment - IPEDS Completions - IPEDS Human Resources - IPEDS Institutional Characteristics - IPEDS Finance - Peer Institutions - NSF Graduate Student Support - NSF R&D Expenditures/NSF HERD - Tuition and Required Fees - “Florida Links” to Annual Financial Reports, Organization Charts, and Fact Books
<i>Ad Hoc and Special Requests</i>	<ul style="list-style-type: none"> - Ad Hoc Requests
<i>Confidential Exchange Items</i>	<ul style="list-style-type: none"> - Faculty Profile by CIP - CSRDE Graduation and Retention Rates - Administrative Salaries - Current Developments Survey - Delaware Teaching Load and Cost Survey - Doctoral Time-to-degree - Doctoral Completion Rates - Enrollment Detail by CIP and Race/Ethnicity - First-time Freshman Profile - Graduate Assistant Stipends - Undergraduate Time-to-Degree - Roundtable Exchange
<i>Confidential Exchange Items with Additional Rules</i>	<ul style="list-style-type: none"> - Faculty Salaries by CIP - Doctoral Exit Surveys - Faculty Surveys - Graduating Senior Surveys - National Survey of Student Engagement - Alumni Surveys - AAUDE Survey of Faculty Benefits (discontinued)

1. Publicly Reported Data

The exchange items in this category are publicly available. They include: periodic surveys conducted by the Department of Education’s National Center for Education Statistics (NCES) through the Integrated Postsecondary Education Data System (IPEDS) system, surveys by the National Science Foundation (NSF) and other data collection agencies.

These exchange items are not subject to AAUDE’s data-sharing guidelines and confidentiality rules. However, users of these data are expected to: (a) observe the collection agency’s confidentiality rules and cautionary notes, and (b) not publish any of these data before they are publicly released by the collection agency.

2. Ad Hoc/Special Requests

Member institutions regularly send various inquiries and special requests to exchange participants. Such inquiries and special requests are not deemed confidential unless specified by the inquiring or the responding institution. Specifications of confidentiality should be made explicitly during the exchange of data or information.

An institution that conducts an inquiry or a special request is expected to share appropriate summaries of the results of the inquiry or special request with the exchange group as soon as it compiles the responses. A summary should not be issued with both institution names and their corresponding AAUDE codes in order to restrict distribution of these codes.

3. Confidential Exchange Items

This category of exchange items contains sensitive information that exchange participants have defined as confidential. Thus, establishment and observance of data-sharing rules and guidelines for these items are essential. These rules and guidelines are evolving, and adjustments to policy will be necessary in the future to reflect changes in exchange items and levels of privacy. The confidential exchange items are listed in the Table 1.

Users should observe the following guidelines when using data from confidential exchange items:

1. Use aggregated data (e.g., mean, median, range) in reports when appropriate and possible.
2. Identify an institution as a member of a known category of institutions comprising a given set of confidential data in a report (e.g., public research university, private research university, land-grant university, etc.).
3. Use only codes (but not the AAUDE code), and not names of institutions when reporting individual institutional data.
4. An institution may be identified by name or any publicly available and recognizable code (e.g. FICE code) when reporting institution-specific data only if prior approval has been obtained from that institution.
5. A brief statement acknowledging the source of data and any restrictions associated with the data should be incorporated into the prefatory sections of any reports and/or presentations that use AAUDE data.

Data may be shared at a finer level of detail with the highest ranks of university administration, as these officials are presumed to understand confidentiality policies and be able to honor AAUDE restrictions. As the composition of the audience becomes less secure and/or the risk of inappropriate disclosure of confidential information increases, the rules on permissible data presentation adjust accordingly in terms of minimum level of aggregation and level of institutional identification (e.g., requiring the aggregation of data from a minimum number of peer institutions). Table 2 shows guidelines for acceptable use by audience.

Table 2. Guidelines for Acceptable Use of Analysis and Summaries of AAUDE Data by Audience

<i>Use of Analysis and Summary Data</i>		<i>A. Board of Trustees and Senior Campus Officers</i>	<i>B. Governance Groups and Other Campus Officers</i>	<i>C. Campus-at-large or Public</i>
I	Institution's own data	Institutional decision		
II	Data aggregated within groupings of at least three institutions and institutions are not identified in the analysis/presentation	Agreement that presentation use is acceptable.		Generally unacceptable. Consult caretaker or Director
III	Data aggregated within a peer grouping of at least three institutions and the institutions are identified in the analysis			
IV	Data from specific institutions that are either not identified or their identities are masked in the analysis-specific data from unidentified or masked institutions	Agreement that presentation use is acceptable, but distribution of hard copy should be done with <i>extreme caution</i>		
V	Data from institutions that are identified in the analysis/presentation	Use with <i>extreme caution</i>		<i>Not acceptable in any circumstances</i>

4. Confidential Exchange Items with Additional Rules

Some AAUDE exchange items contain data that are considered highly confidential and/or sensitive by contributing institutions. These data are shared with the understanding that additional rules are needed to govern their dissemination and that users of these data will abide by these rules. Additional rules serve as add-ons to ensure an additional appropriate level of data security. Failure of data users to abide by these additional rules could jeopardize the continued participation of some institutions in the exchange item.

The confidential exchange items with additional rules are listed in the Table 1. The web page for each of these exchange items should be consulted for the specific rules and guidelines that govern the use and dissemination of data from that exchange item.

Additional rules are proposed by the caretaker of an exchange item, assisted by a working group established to develop those rules. The AAUDE Council, upon approval of the special rules, posts them on the webpage of the exchange item.

The rules and guidelines listed under Category 3 above also apply to the exchange items in Category 4.

General Data Sharing Rules and guidelines

“No Submission, No Access” Principle: Access to exchange items is intended for those member institutions who [regularly] submit data for that exchange item. Institutions that do not [regularly] contribute data to an exchange item should refrain from using its data except to inform decisions about whether to submit data in the future. Given the differences in the submission cycles, the definition of whether an institution [regularly] contributes will vary by exchange item; this information is not on item web pages. Non-participants in an exchange item may be denied access.

Institutional Legal and Cultural Difference: The legal and cultural framework under which each member institution operates varies considerably. While data sharing among public universities tends to be less restrictive than among private universities, public institutions are also subject to public records laws that do not apply to private institutions. Users of AAUDE data should be cognizant of such differences and use the data accordingly.

Use of Data with Small Number of Cases: Re-identification of individual persons may be possible when a small number of individuals share a single characteristic such as gender, race/ethnicity, disability status, etc. In order to minimize the risk of re-identifying individuals, AAUDE data users should not report summaries pertaining to a cell size of fewer than five individuals. Some exchange items may have more stringent requirements and require larger cell sizes.

Combining data from two or more exchange items: Data products derived from two or more exchange items should be used in a manner that is consistent with the item having the most stringent data use rules. For example, a report on degrees conferred per faculty member may be based upon IPEDS Completions (a public item) and Faculty Profile by CIP (a confidential item). This report should follow the stricter Faculty Profile by CIP data use rules. This should be treated as a general rule for confidential data. More detailed protocols required by specific exchange items should be outlined within the AAUDE guidelines.

Additionally, AAUDE submissions should follow the higher level of security when they combine two or more data sources (i.e., Faculty Profile by CIP and IPEDS Completions).

Data Quality: To ensure data quality, AAUDE data users are expected to perform required validity, consistency, and reasonability checks before further use of the data. To ensure data quality, both primary representatives and other approved users are obligated to report any data improprieties with AAUDE caretakers and/or staff in a timely manner.

Exchange Items with External Rules: If an exchange item is governed by external rules (e.g., National Survey of Student Engagement), those rules should be explicitly referenced on the exchange item webpage and should be followed in precise detail.

Purpose of Data and Intended Audiences: The purpose of confidential data exchanged by AAUDE is to assist in internal decision making at our universities. Some presentations of data may be shared with the campus at large or even on public websites, but confidential data should never be reported to a third party external requester (i.e. newspaper or other periodical) even in summary form.