

# Shovels, Rakes and Other Tools for Managing Data Requests



**Mehmet "Dali" Öztürk, Ph.D.**

**Director, Research, Planning & Institutional Effectiveness**

**Tim Hollabaugh**

**Dean, Technology Services**

**The California Association for Institutional Research (CAIR)**

**40th Annual Conference**

**November 4-6, 2015**

**The Holiday Inn Golden Gateway Hotel , San Francisco**

## Shovels, Rakes and Other Tools for Managing Data Requests

The objectives of this presentation are to:

- Share the process created to gather and track research/data requests
- Highlight the tool designed to support the process
- Stimulate discussion on the use of tools to increase research capacity.



## Typical research/data question:

“Hey, I need something about the stuff that I do, can you give me some stuff I can use?”





# What pieces are important?

- People
- Systems
- Processes
- Protocols



**RESEARCH**



**COS**

RESEARCH, PLANNING &  
INSTITUTIONAL EFFECTIVENESS  
[R-PIE]  
915 S. Mooney Blvd. • Visalia, CA 93277



**Aware**

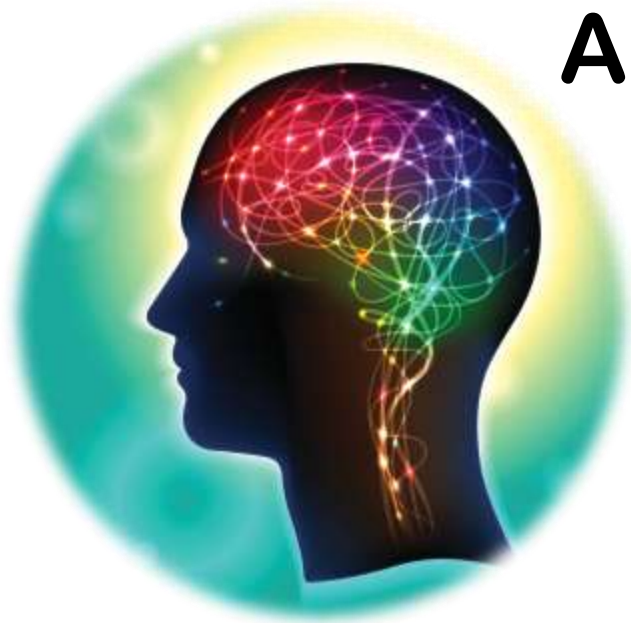
**Cognizant that data  
and research exist**

**Informed**

**What data exists and  
what it means**

**Inquiring**

**Inquisitive about data  
and improvement**



**Accurate**

Do we have enough  
of the right data?

**Timely**

Can we get the  
information to the  
user when they  
need it?

**Maintainable**

Can we consistently  
repeat and update?

Edit

Submit Save Save As Close Paste Copy Cut Print Spell Check

Commit Clipboard Views

## RESEARCH/DATA REQUEST FORM

All requests for research require submitting a *Data Request Form*. We will make every effort to acknowledge your request within 24-48 hours by email. Please submit your request a minimum of two weeks prior in advance by submitting this form. Depending upon the difficulty and detail level, the data request may take two weeks or longer to complete.

Requestor's Name:

Department:

Request Date:

Telephone/Extension:

Preferred Return Date:

November, 2015

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5

Today is Monday, November 02, 2015

Purpose for Request:  
(Check all that apply)

- Accreditation (All Types)
- Assessment (SLO/SAO)
- Consultation
- Curious
- Enrollment Management
- Equity Plan
- For Board of Trustees Interaction
- Grant
- Mandated Reporting
- Program Information
- Program Review
- Public Information Request (PIO Only)
- Shared Governance
- Strategic Plan
- Student Success Support Plan (SSSP)
- Other (Please Specify)





Edit

Submit Save Save As Close Paste Copy Cut Print Spell Check

Commit Clipboard Views

Request Type:

New Request  
 Reference Existing Request  
 Reoccurring Request

Please select what request this references:

[View the referenced request](#)

Does the study involve interaction or intervention with live human subjects?

Is the collected information/data obtained about the subjects?

Is the collected information/data private information?

Is your study designed to produce generalizable knowledge?

(Generalizable knowledge is that which can have predictive value for populations, subjects or situations other than the one being studied. Generalizable is often indicated by intent to publish, presentations, or interest by others in the same field.)

Is the study systematic?

(Follows step by step procedures organized according to interrelated ideas or principles evidenced by a research plan and objectives.)

<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe
<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Maybe

**What do you want to know and why?**



Submit Save Save As Close Paste Cut Print Spell Check

Commit Clipboard Views

or principles evidenced by a research plan and objectives.)

## What do you want to know and why?

**Examples of research questions.** **Information Being Requested:** In order to give you the most accurate data, please be specific when describing the information needed. Please include the following, if applicable: term/semester ranges, year ranges, date ranges, Visalia, Hanford, Tulare, or any combination, student type(s), total FTEF or FTES, detail data, aggregate data.

**Example of what NOT to use:** How many students are at COS?

**Example of what TO use:** How many full-time, degree-seeking, first-time students were enrolled at COS during Spring 2011 on all campuses? *OR* What was the unduplicated headcount on the Visalia campus for 2006-07?



What is your research question or hypothesis, if any?

Please provide a detailed description of the data requested, including any selection criteria (examples: first-time freshmen, Chemistry majors, departments/colleges, etc.)





# Processes

## Documentation/Attachments:

If you have documentation or other attachments relevant to this request, please attach them here.

Click here to attach a file

Add Another Attachment

## What data products will your project require?

[\(Examples of data products.\)](#)

- Data summary tables and/or charts
- Full report with background, methodology, results, and conclusions/recommendations
- Mini report with a summary of findings
- Paper Survey
- Raw Data Only
- Web Survey
- Other (Please Specify)

## Confidentiality/FERPA:

Submit on behalf of Requestor

Confidential information is provided in response to specific requests. Disclosure of this information to unauthorized parties violates the [Family Education Rights & Privacy Act \(FERPA\)](#).

It is expected that you will:

- ▶ Handle this information in a confidential manner, keeping it secure at all times.
- ▶ Communicate this information ONLY to other parties authorized to have access to it in accordance with the provisions of FERPA.
- ▶ Use this information only for its intended purpose.
- ▶ Properly dispose of this information when it is no longer needed.

I understand and will comply with the FERPA regulations stated above.

Submit



## Example – Assigned researcher steps

- 1) Pre-assess Data Request
  - 1) Priority, Deadline, Notes review
  - 2) “Smell” test – aligns with district mission
  - 3) Review with requestor/IR director
  - 4) Estimate time/effort involved
  - 5) Schedule work based on priorities/deadlines
- 2) Create Data Folders
  - 1) Working folder
  - 2) Final Product folder
- 3) Upload final product and working documents
  - 1) Set correct permissions for folder
  - 2) Notify requestor with link to final product.

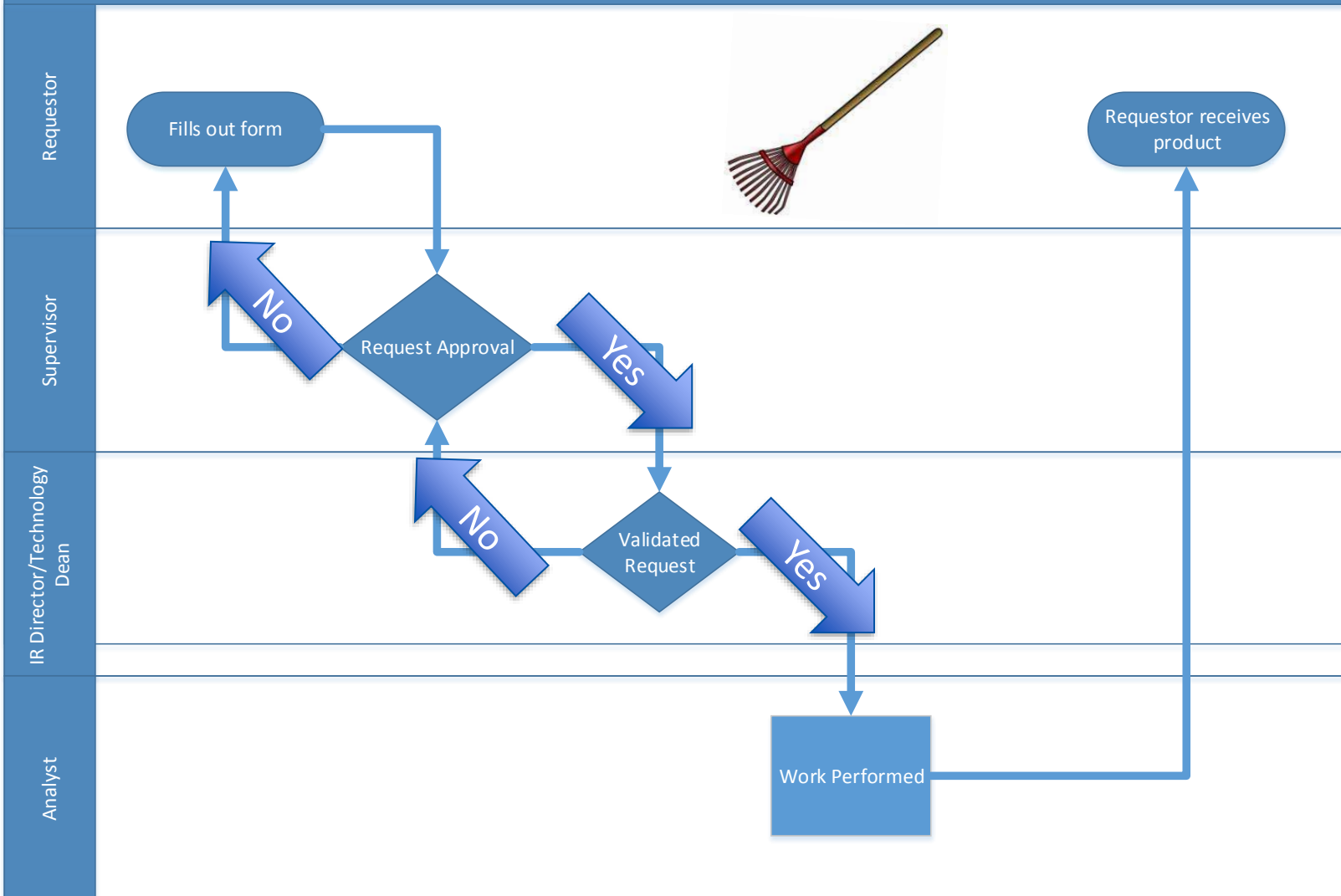


# The Shovel and the Rake



## The Shovel and the Rake

Flow



Gather

- ✓ Requestor submits data request
- ✓ Confirmation of request

Approve

- ✓ Supervisor notified of request
- ✓ Supervisor approves/disapproves
- ✓ Supervisor reminded if necessary
- ✓ User notified when approved/disapproved

Validate

- ✓ Research/Technology office notified
- ✓ Research/Technology Managers validate request

Assign

- ✓ Research/Technology Managers assign analyst
- ✓ Analyst notified
- ✓ Requestor notified

# Requestor submits a data request



http://intranet.cos.edu/departmen Research-Data Request - N... x

File Edit View Favorites Tools Help

New Repository Data Request Document L... Data Request - New

Edit

Submit Save Save As Close Paste Copy Cut Print Spell Check

Commit Clipboard Views

## COLLEGE OF THE SEQUOIAS

### RESEARCH/DATA REQUEST FORM

All requests for research require submitting a *Data Request Form*. We will make every effort to acknowledge your request within 24-48 hours by email. Please submit your request a minimum of two weeks prior in advance by submitting this form. Depending upon the difficulty and detail level, the data request may take two weeks or longer to complete.

---

Requestor's Name:

Department:

Request Date:

Telephone/Extension:

Preferred Return Date:

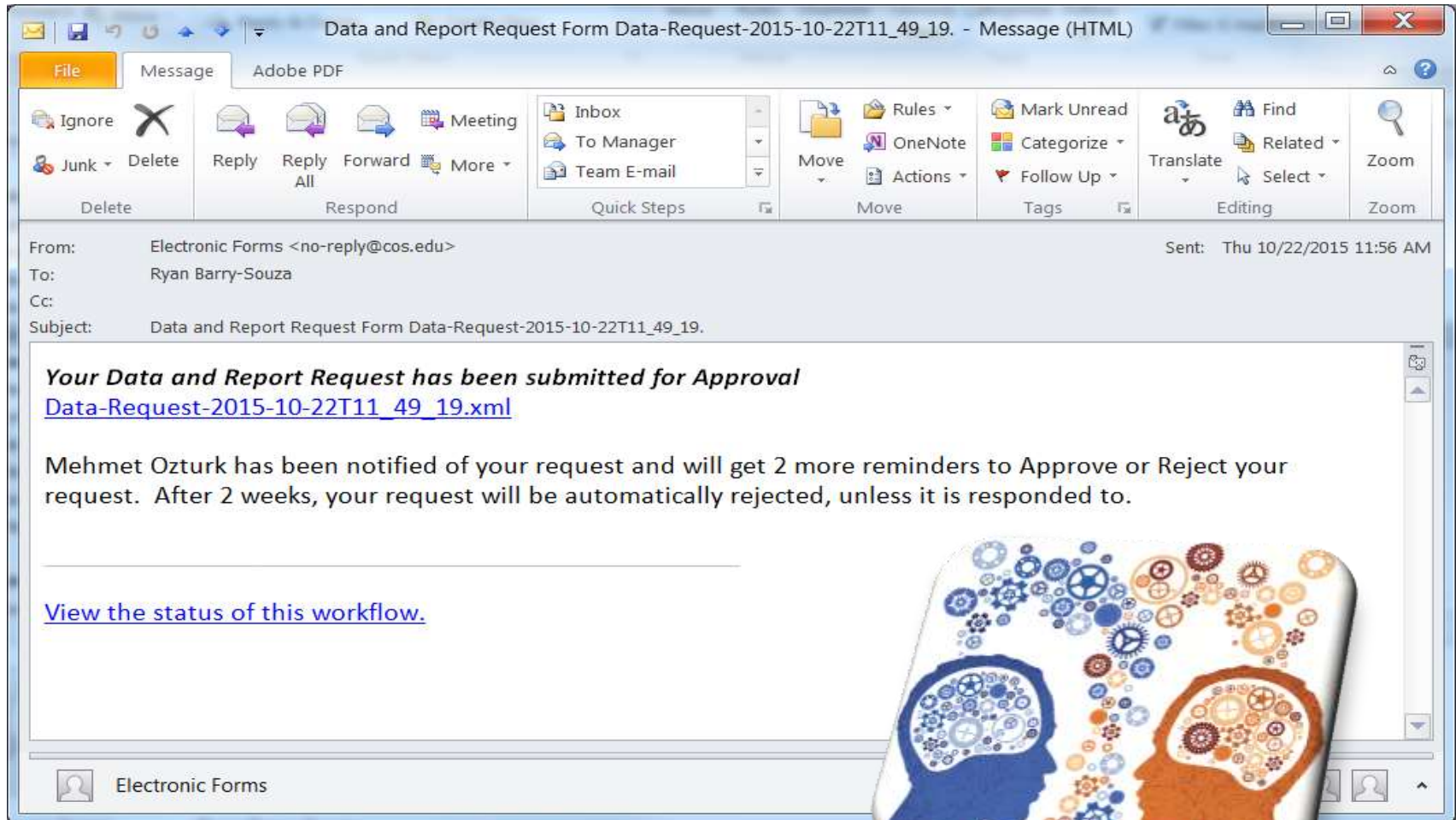
Purpose for Request: (Check all that apply)

- Accreditation (All Types)
- Assessment (SLO/SAO)
- Consultation
- Curious
- Enrollment Management
- Equity Plan
- For Board of Trustees
- Grant
- Mandated Reporting
- Program Information

October, 2015						
S	M	T	W	T	F	S
27	28	29	30	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Today is Friday, October 23, 2015

# Confirmation to Requestor



The screenshot shows an email client window with the following details:

- Title Bar:** Data and Report Request Form Data-Request-2015-10-22T11\_49\_19. - Message (HTML)
- Menu Bar:** File, Message, Adobe PDF
- Toolbar:** Includes icons for Ignore, Delete, Reply, Reply All, Forward, Meeting, More, Move, Rules, Mark Unread, Find, Translate, and Zoom.
- Message Header:**
  - From:** Electronic Forms <no-reply@cos.edu>
  - To:** Ryan Barry-Souza
  - Cc:**
  - Subject:** Data and Report Request Form Data-Request-2015-10-22T11\_49\_19.
  - Sent:** Thu 10/22/2015 11:56 AM
- Message Body:**

***Your Data and Report Request has been submitted for Approval***  
[Data-Request-2015-10-22T11\\_49\\_19.xml](#)

Mehmet Ozturk has been notified of your request and will get 2 more reminders to Approve or Reject your request. After 2 weeks, your request will be automatically rejected, unless it is responded to.

[View the status of this workflow.](#)
- Sender:** Electronic Forms



# Supervisor – Request for Approval

Tasks - Please approve Data-Request-2015-10-22T11\_49\_19 - Message (HTML)

File Message Adobe PDF



Ignore X Delete Reply Reply All Forward More Meeting Meeting To Manager Team E-mail Move OneNote Actions Open this Task Open Mark Unread Categorize Follow Up Tags Translate Editing Zoom Zoom

From: Electronic Forms <no-reply@cos.edu> Sent: Thu 10/22/2015 11:56 AM  
To: Mehmet Ozturk  
Cc:  
Subject: Tasks - Please approve Data-Request-2015-10-22T11\_49\_19

**Ryan Barry-Souza has submitted a Data and Report Request and needs your approval, in order for it to be processed by the Office of Research and Planning.**


**Please Review The Request:**  
[http://intranet.cos.edu/department/forms/ResearchData%20Request/Data-Request-2015-10-22T11\\_49\\_19.xml](http://intranet.cos.edu/department/forms/ResearchData%20Request/Data-Request-2015-10-22T11_49_19.xml)

To **Approve** or **Reject** this request from **Outlook**, click the link at the top of this message that says, 'Open this task...' It may also appear in the **Ribbon** above this message (near the top, center).

 **Or** 

**You can view all of your requests here:**  
<http://intranet.cos.edu/department/forms/ResearchData Request>

**Need some help?**  
[Contact the Webmaster at 737-6188 or email him here.](#)



Electronic Forms



# First Reminder

FW: Approval Still Waiting (12 Hours) For Data Request - Message (HTML)

File Message Adobe PDF

Ignore X Reply Reply Forward Meeting  
Junk - Delete Reply All Respond

Inbox To Manager  
Team E-mail Done  
Reply & Delete Create New

Rules - Mark Unread  
OneNote Categorize +  
Actions - Follow Up +

Move Tags

Find Related +  
Translate Select -  
Zoom

Delete

Quick Steps

Move Tags

Editing Zoom


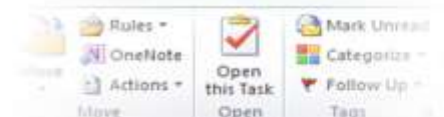
From: Mehmet Ozturk  
To: Ryan Barry-Souza  
Cc:  
Subject: FW: Approval Still Waiting (12 Hours) For Data Request  
Sent: Thu 10/22/2015 1:13 PM

This item was submitted for Approval **24 hours ago**. You have been sent this reminder request to review then **Approve or Reject** the item.

**Ryan Barry-Souza has submitted a Data and Report Request and needs your approval, in order for it to be processed by the Office of Research and Planning.**

**Please Review The Request:**  
[http://intranet.cos.edu/departement/forms/ResearchData%20Request/Data-Request-2015-10-21T07\\_49\\_38.xml](http://intranet.cos.edu/departement/forms/ResearchData%20Request/Data-Request-2015-10-21T07_49_38.xml)


To **Approve** or **Reject** this request from **Outlook**, click the link at the top of this message that says, 'Open this task...'  
It may also appear in the **Ribbon** above this message (near the top, center).

 Open this task... Or 

You can view all of your requests here:  
<http://intranet.cos.edu/departement/forms/Planning and Research Data Request>

Need some help?  
[Contact the Webmaster at 737-6188 or email him here.](#)  
*Please Approve or Reject the task.*

By approving this item, you hereby agree that you have read/reviewed and understand the nature of this Data Request which will require the use of district resources.



Mehmet Ozturk

# Second Reminder

Approval Still Waiting (24 Hours) For Data Request - Message (HTML)

File Message Adobe PDF

Ignore X Reply Reply Forward Meeting Meeting  
Delete Delete Reply All Respond More -  
Delete Respond

Inbox To Manager Team E-mail  
Quick Steps

Move Move Move  
Rules OneNote Actions  
Open this Task Open

Mark Unread Categorize Follow Up  
Tags

Translate Find Related Select Zoom  
Editing



From: Electronic Forms <no-reply@cos.edu> Sent: Fri 10/16/2015 11:01 AM  
To: Mehmet Ozturk  
Cc:  
Subject: Approval Still Waiting (24 Hours) For Data Request

This item was submitted for Approval **72 hours ago**. You have been sent this **second reminder request to review then Approve or Reject the item**.

**Ryan Barry-Souza has submitted a Data and Report Request and needs your approval, in order for it to be processed by the Office of Research and Planning.**

**Please Review The Request:**  
[http://intranet.cos.edu/department/forms/Planning%20and%20Research%20Data%20Request/Data-Request-2015-10-13T10\\_49\\_29.xml](http://intranet.cos.edu/department/forms/Planning%20and%20Research%20Data%20Request/Data-Request-2015-10-13T10_49_29.xml)


To **Approve** or **Reject** this request from **Outlook**, click the link at the top of this message that says, 'Op  
It may also appear in the **Ribbon** above this message (near the top, center).

 Open this task... **or** 

You can view all of your requests here:  
<http://intranet.cos.edu/department/forms/Planning and Research Data Request>

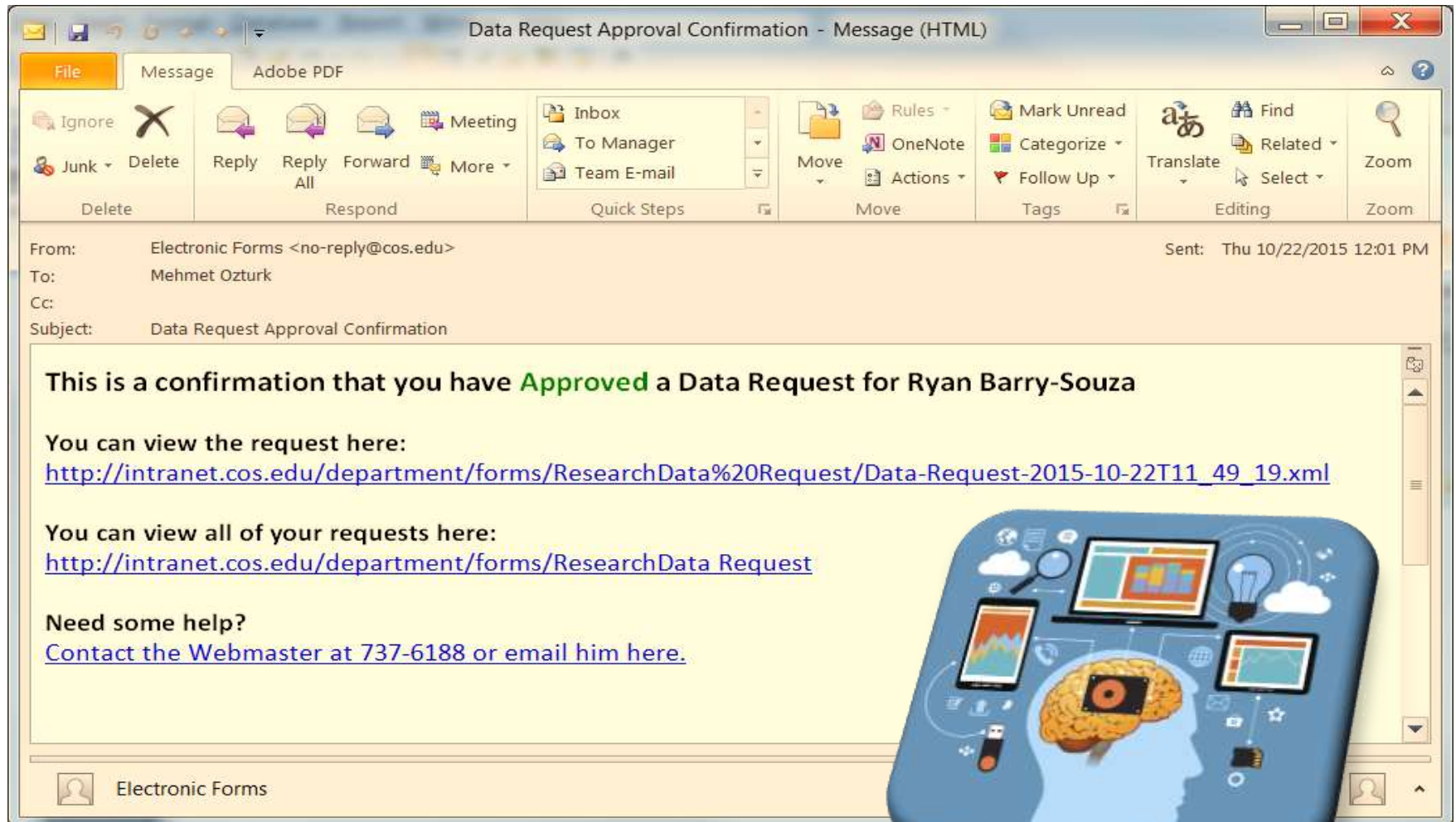
Need some help?  
[Contact the Webmaster at 737-6188 or email him here.](#)  
*Please Approve or Reject the task.*

By approving this item, you hereby agree that you have read/reviewed and understand the nature of this Data Request which will require the use of district resources.



Electronic Forms

# Supervisor Approval Confirmation



The screenshot shows an Outlook window titled "Data Request Approval Confirmation - Message (HTML)". The interface includes a ribbon with "File", "Message", and "Adobe PDF" tabs. The "Message" ribbon contains various actions like Ignore, Delete, Reply, Forward, Meeting, and More. The "File" ribbon shows folders like Inbox, To Manager, and Team E-mail, along with actions like Move, Rules, Mark Unread, Categorize, Follow Up, Translate, Find, Related, Select, and Zoom. The email header shows the sender as "Electronic Forms <no-reply@cos.edu>" and the recipient as "Mehmet Ozturk". The subject is "Data Request Approval Confirmation". The main body of the email contains the following text:

**This is a confirmation that you have **Approved** a Data Request for Ryan Barry-Souza**

**You can view the request here:**  
[http://intranet.cos.edu/department/forms/ResearchData%20Request/Data-Request-2015-10-22T11\\_49\\_19.xml](http://intranet.cos.edu/department/forms/ResearchData%20Request/Data-Request-2015-10-22T11_49_19.xml)

**You can view all of your requests here:**  
<http://intranet.cos.edu/department/forms/ResearchData Request>

**Need some help?**  
[Contact the Webmaster at 737-6188 or email him here.](#)

The sender's name "Electronic Forms" is visible at the bottom left of the email window. A blue graphic of a brain with various icons (laptop, smartphone, lightbulb, magnifying glass, etc.) is overlaid on the bottom right of the screenshot.

## Management Guide to Approving Data/Research Requests



### **Benefit to the District**

First, consider how the data request will benefit the District. Will the request help the District assess and accomplish its goals and objectives as outlined in the Master Plan, Annual Report on the Strategic Plan, and other key reports? Often, a significant amount of time and resources are used to complete requests and they should be expended on those that are most beneficial to the District.

### **Engagement**

Managers and supervisors are advised to be involved in the data request process prior to the submission of the request. It is important to have discussions with the requestor about the purpose of the request and plans for appropriate utilization of the data. This helps both the requestor and the manager/supervisor better understand what data are needed and how the data can improve effectiveness.

### **Alternatives**

Requestors should be encouraged to explore alternative methods to obtain the information/data needed. For example, everyone requests surveys! Although surveys are helpful, they are but one tool that can be used. Other data collection methods include reviewing internal documents and protocols and/or conducting individual or focus group interviews. It is also important to consider if there are already existing data that can be used. At times, requests may be made for data that have already been collected, which may require unnecessary and duplicated work.

## Sense and Sensibility

When reviewing the request, evaluate if it makes sense, meaning it is reasonable, logical, understandable, and practical. Determine if there is a clear relationship between the purpose of the request, research questions, and application/use of the data. For example, are the correct data being requested? Will the data answer the research questions and fulfill the intended purpose(s)? If the data request does not make sense, make sure it does prior to submitting it.



# Management Guide to Approving Data/Research Requests

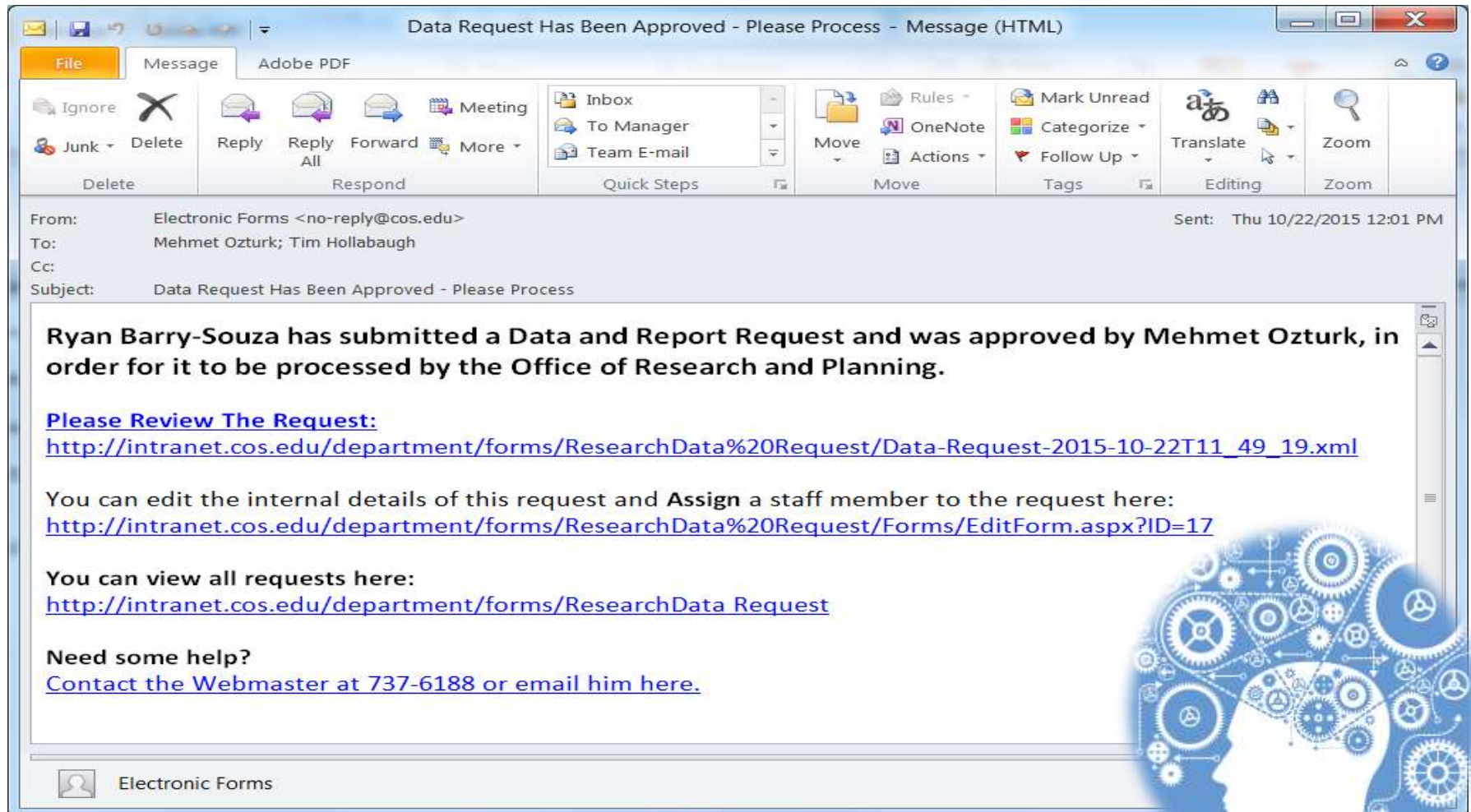


## FERPA & Ethics (Identity Protection)

Data reports may include sensitive/personally identifying information and references about the District's students, faculty and staff, and the privacy of these individuals must be protected. Any disclosure of the personally identifiable information to unauthorized parties violates the Family Education Rights & Privacy Act ([FERPA](#)). Thus, all users of the data must be informed and aware of FERPA, General Ethical Standards ([COS AP 3050](#)), and/or [Human Subjects](#) procedures ([COS AP 3290](#) & [COS BP 3290](#)). If requestors and data users are unaware of these guidelines, please direct them to the appropriate sources.



# Submission to IR/Technology



The screenshot shows an email client window titled "Data Request Has Been Approved - Please Process - Message (HTML)". The window includes a ribbon with "File", "Message", and "Adobe PDF" tabs. The "Message" tab is active, showing various actions like Ignore, Delete, Reply, Reply All, Forward, Meeting, and More. The "File" tab shows options like Move, Rules, Mark Unread, Categorize, Follow Up, Translate, and Zoom. The "Message" tab shows options like Move, OneNote, Actions, Tags, and Zoom. The email content is as follows:

From: Electronic Forms <no-reply@cos.edu>  
To: Mehmet Ozturk; Tim Hollabaugh  
Cc:  
Subject: Data Request Has Been Approved - Please Process

Sent: Thu 10/22/2015 12:01 PM

**Ryan Barry-Souza has submitted a Data and Report Request and was approved by Mehmet Ozturk, in order for it to be processed by the Office of Research and Planning.**

**Please Review The Request:**  
[http://intranet.cos.edu/department/forms/ResearchData%20Request/Data-Request-2015-10-22T11\\_49\\_19.xml](http://intranet.cos.edu/department/forms/ResearchData%20Request/Data-Request-2015-10-22T11_49_19.xml)

You can edit the internal details of this request and **Assign** a staff member to the request here:  
<http://intranet.cos.edu/department/forms/ResearchData%20Request/Forms/EditForm.aspx?ID=17>

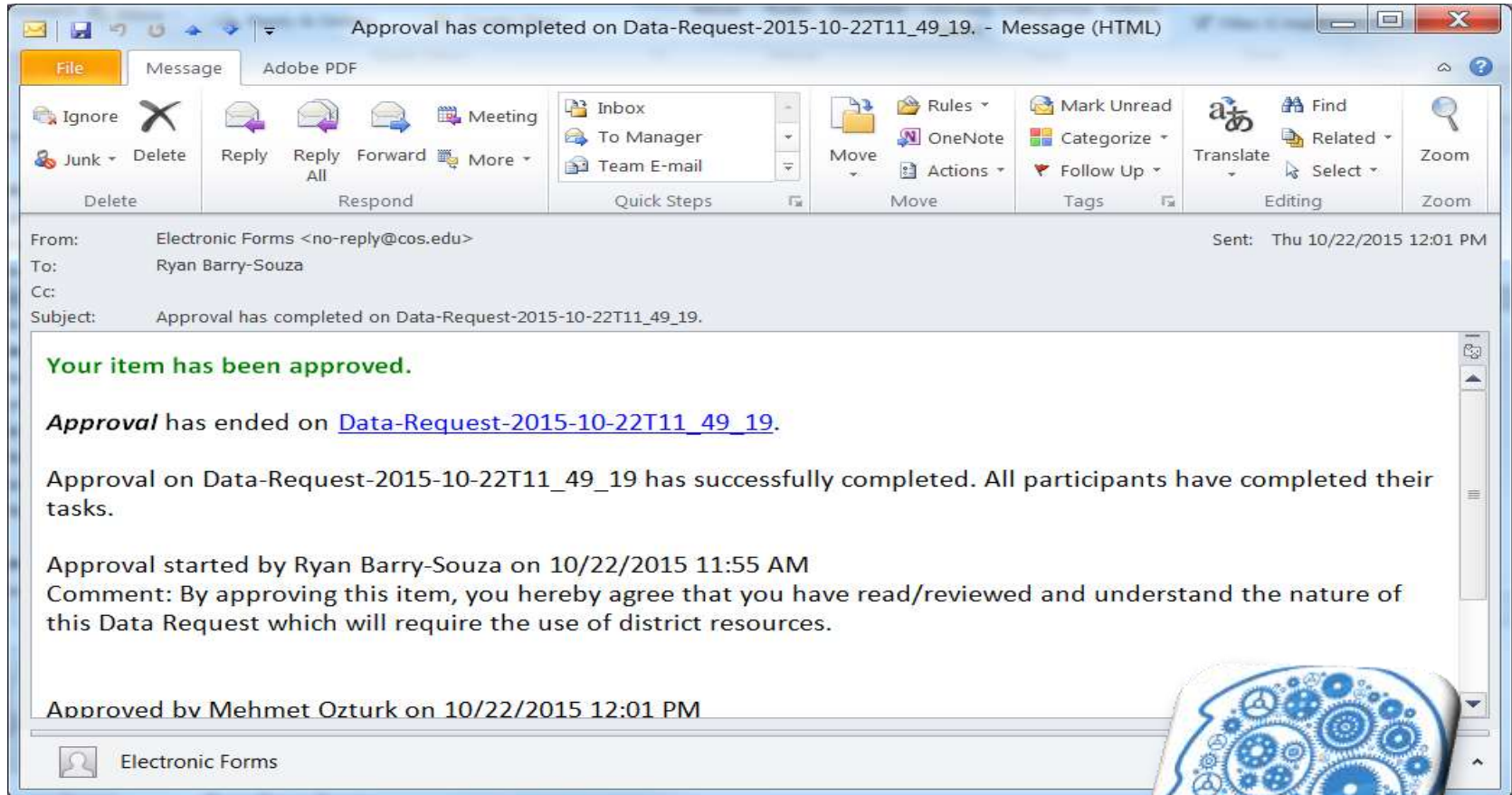
You can view all requests here:  
<http://intranet.cos.edu/department/forms/ResearchData Request>

**Need some help?**  
[Contact the Webmaster at 737-6188 or email him here.](#)

Electronic Forms



# Requestor Notification of Approval



Approval has completed on Data-Request-2015-10-22T11\_49\_19. - Message (HTML)

File Message Adobe PDF

Ignore X Meeting  
Junk Delete Reply Reply All Forward More  
Delete Respond Quick Steps Move Move Tags Editing Zoom

From: Electronic Forms <no-reply@cos.edu> Sent: Thu 10/22/2015 12:01 PM  
To: Ryan Barry-Souza  
Cc:  
Subject: Approval has completed on Data-Request-2015-10-22T11\_49\_19.

**Your item has been approved.**

**Approval** has ended on [Data-Request-2015-10-22T11\\_49\\_19](#).

Approval on Data-Request-2015-10-22T11\_49\_19 has successfully completed. All participants have completed their tasks.

Approval started by Ryan Barry-Souza on 10/22/2015 11:55 AM  
Comment: By approving this item, you hereby agree that you have read/reviewed and understand the nature of this Data Request which will require the use of district resources.

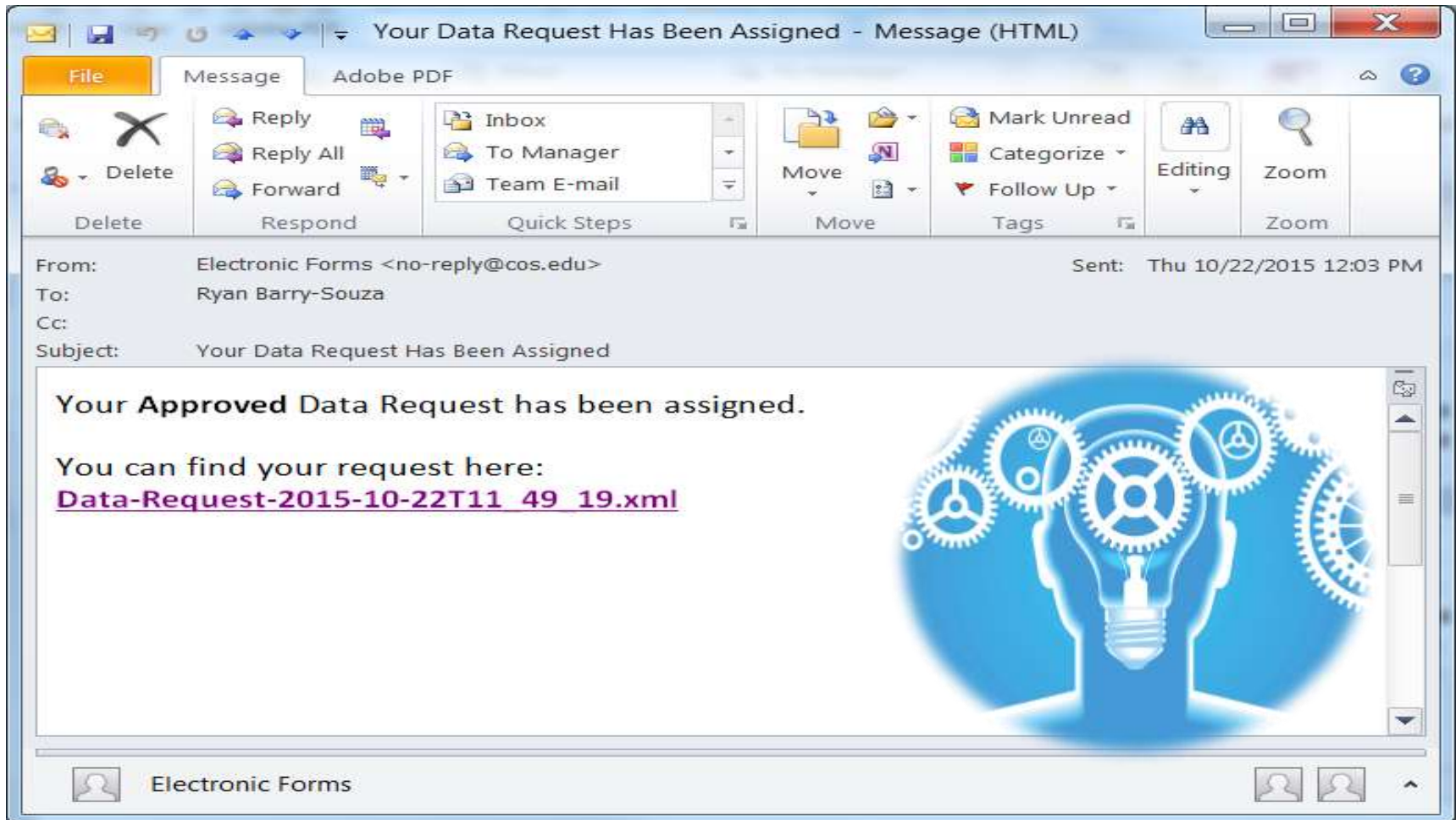
Approved by Mehmet Ozturk on 10/22/2015 12:01 PM

Electronic Forms





# Notice that request has been assigned



The screenshot shows an email client window titled "Your Data Request Has Been Assigned - Message (HTML)". The interface includes a ribbon with "File", "Message", and "Adobe PDF" tabs. The "Message" ribbon contains sections for "Delete", "Respond" (with Reply, Reply All, and Forward options), "Quick Steps" (with Inbox, To Manager, and Team E-mail options), "Move", "Tags" (with Mark Unread, Categorize, and Follow Up options), "Editing", and "Zoom".

The email header information is as follows:

- From: Electronic Forms <no-reply@cos.edu>
- To: Ryan Barry-Souza
- Cc:
- Subject: Your Data Request Has Been Assigned
- Sent: Thu 10/22/2015 12:03 PM

The main body of the email contains the following text:

**Your Approved Data Request has been assigned.**

You can find your request here:  
[Data-Request-2015-10-22T11\\_49\\_19.xml](#)

On the right side of the email body, there is a blue graphic of a hand holding a glowing lightbulb, surrounded by several interlocking gears, symbolizing ideas and technology.

The bottom of the window shows the sender's name "Electronic Forms" and a contact list with two icons.

# Research Analyst Assigned

You have been assigned a data request - Message (HTML)

File Message Adobe PDF

Ignore X Reply Reply All Forward More Meeting

Junk Delete

Inbox To Manager Team E-mail

Rules OneNote Actions

Mark Unread Categorize Follow Up

Find Related Select

Translate

Delete Respond Quick Steps Move Tags Editing Zoom

From: Electronic Forms <no-reply@cos.edu> Sent: Thu 10/22/2015 12:03 PM

To: Ryan Barry-Souza


Cc:

Subject: You have been assigned a data request

Ryan Barry-Souza has submitted a data request. The request has been approved by their supervisor. You can read the request here:

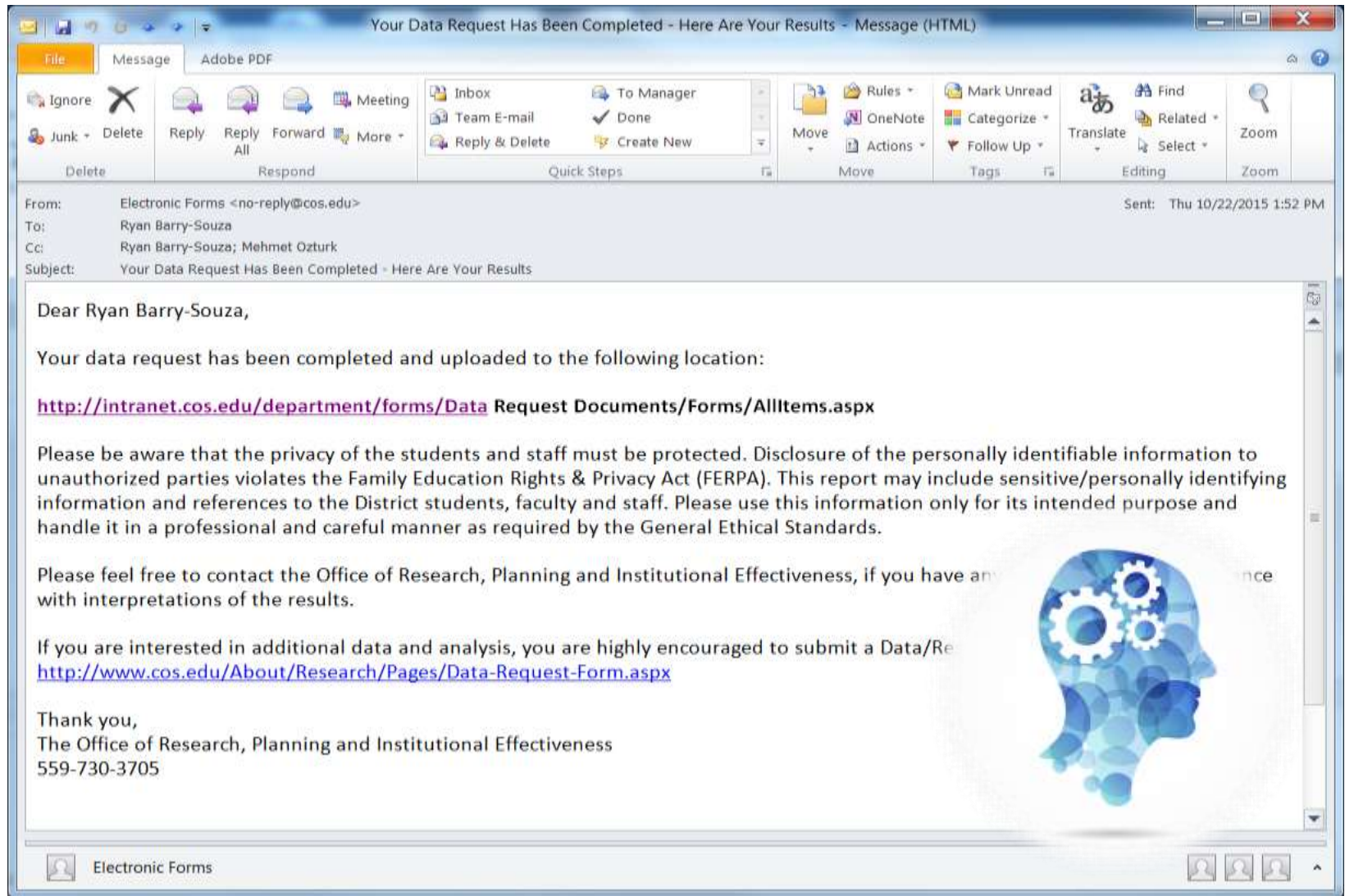
[Data-Request-2015-10-22T11\\_49\\_19.xml](#)

The due date for this project is **10/23/2015**



Electronic Forms

## Final Product sent to Requestor, Supervisor is also notified.



Your Data Request Has Been Completed - Here Are Your Results - Message (HTML)

File Message Adobe PDF

Ignore X Reply Reply Forward Meeting  
Junk Delete Reply All Forward More  
Delete Respond

Inbox To Manager  
Team E-mail Done  
Reply & Delete Create New

Quick Steps

Rules Mark Unread Find  
OneNote Categorize Translate  
Actions Follow Up Tags Editing Zoom

From: Electronic Forms <no-reply@cos.edu> Sent: Thu 10/22/2015 1:52 PM  
To: Ryan Barry-Souza  
Cc: Ryan Barry-Souza; Mehmet Ozturk  
Subject: Your Data Request Has Been Completed - Here Are Your Results

Dear Ryan Barry-Souza,

Your data request has been completed and uploaded to the following location:


<http://intranet.cos.edu/department/forms/Data Request Documents/Forms/AllItems.aspx>

Please be aware that the privacy of the students and staff must be protected. Disclosure of the personally identifiable information to unauthorized parties violates the Family Education Rights & Privacy Act (FERPA). This report may include sensitive/personally identifying information and references to the District students, faculty and staff. Please use this information only for its intended purpose and handle it in a professional and careful manner as required by the General Ethical Standards.

Please feel free to contact the Office of Research, Planning and Institutional Effectiveness, if you have any questions or need assistance with interpretations of the results.

If you are interested in additional data and analysis, you are highly encouraged to submit a Data/Request Form at <http://www.cos.edu/About/Research/Pages/Data-Request-Form.aspx>

Thank you,  
The Office of Research, Planning and Institutional Effectiveness  
559-730-3705



- SharePoint 2010
  - Document Library
  - Workflow attached to Document Library
- InfoPath
  - Form design
  - Form data storage
- Microsoft Exchange
  - Interface between user and system
  - Reminders



Comprehend implications (consequences)

Next steps? What do you do?





COLLEGE OF THE SEQUOIAS



*Thank  
You!*

*Questions?*