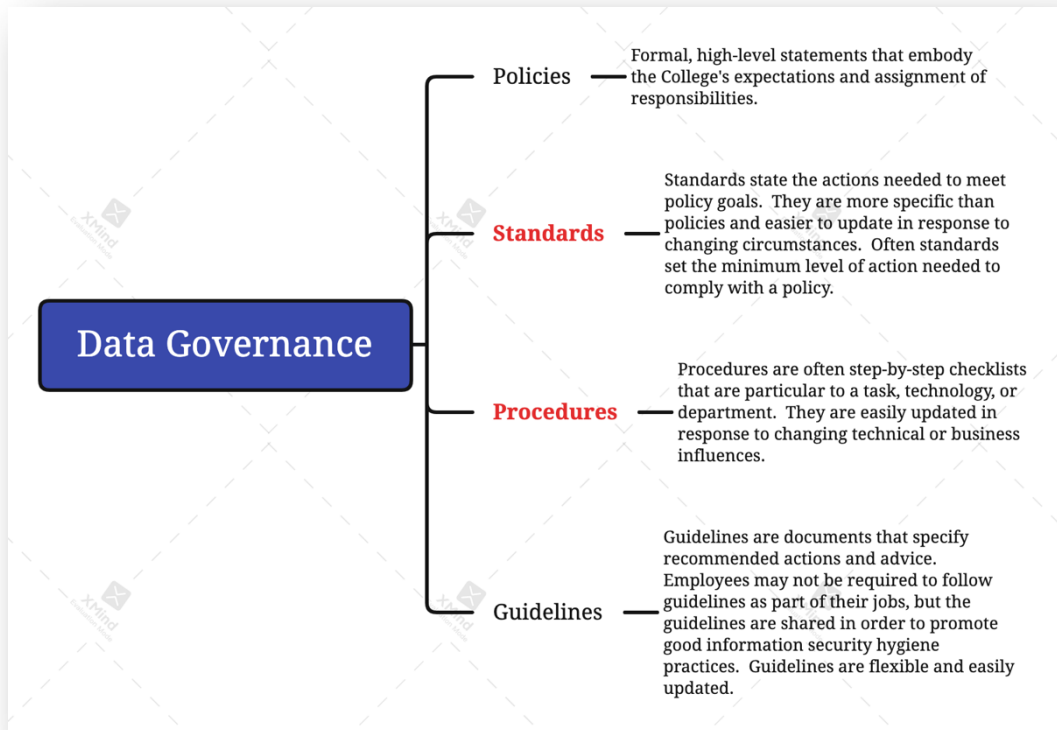


# Data Standards and Procedures Manual

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*This manual was created by Dara Fann with support and assistance from David Ayersman, Jason Garris, Steve Garlow, and Steve Lacek.*

*Completed in July 2021, this manual will be presented to the President's Cabinet as part of the broader initiative to create a **Data Governance Plan**. Changes and updates to this manual will be made by the **Data Stewards** group and approved annually by the **Data Governance Board**.*

# Table of Contents

|   |           |
|---|-----------|
| <b>OVERVIEW AND INTRODUCTION.....</b>                                       | <b>3</b>  |
| <b>PURPOSE.....</b>   | <b>3</b>  |
| <b>ESSENTIAL STANDARDS FOR ACCURATE RECORDS .....</b>                       | <b>4</b>  |
| <b>1. DATA ENTRY AND MANAGEMENT.....</b>                                    | <b>4</b>  |
| <b>2. RESPONSIBILITIES FOR OVERSIGHT.....</b>                               | <b>5</b>  |
| <b>3. DATA ACCESS.....</b>  | <b>6</b>  |
| 3.1 General Person Access.....  | 6         |
| 3.2 Requests for Information Access .....                                   | 7         |
| 3.3 Data Element Expertise and Responsibility.....                          | 7         |
| 3.4 Data Privacy and Compliance.....  | 7         |
| 3.4.1 Disclosure of Information.....  | 8         |
| 3.4.2 Assigning and Revoking Access Privileges.....                         | 10        |
| 3.4.3 General Person and Non-Person Searches.....                           | 11        |
| 3.4.4 %IDEN Forms.....  | 11        |
| 3.4.5 VEND Forms .....  | 11        |
| 3.4.6 Other Search Forms .....  | 12        |
| 3.4.7 Identifying the Data Owner .....                                      | 12        |
| <b>4. REQUIRED DOCUMENTATION FOR DATA ENTRY AND MODIFICATION .....</b>      | <b>12</b> |
| 4.1 Documentation for New Accounts and Account Modifications .....          | 13        |
| 4.2 Vendor (Person) Information Changes .....                               | 13        |
| 4.3 Vendor (Non-Person) Information Changes .....                           | 13        |
| <b>5. RECORDS MANAGEMENT .....</b>  | <b>14</b> |
| 5.1 General Record Information .....  | 14        |
| 5.2 Use Common Matching to Search Prior to Creating New Entity Records..... | 15        |
| 5.3 New River’s 9-Digit ID Number .....                                     | 15        |
| 5.4 Minimum Data Required for New Records .....                             | 16        |
| <b>6. NAMES .....</b>   | <b>16</b> |
| 6.1 Personal Name Formatting .....  | 16        |
| 6.2 Non-Person Names (Vendors) .....  | 19        |
| 6.3 Name Type.....  | 20        |
| <b>7 ADDRESSES AND DEMOGRAPHIC INFORMATION .....</b>                        | <b>20</b> |
| 7.1 Address Changes Guidelines .....  | 23        |
| 7.2 Telephone Numbers .....   | 23        |
| 7.3 Email .....   | 24        |
| 7.4 Dates .....   | 24        |
| 7.5 Gender .....  | 24        |
| 7.6 Social Security Number .....  | 24        |
| 7.7 Date of Birth .....   | 24        |
| 7.8 Race and Ethnicity Code .....   | 25        |
| 7.9 Deceased Information.....   | 25        |
| 7.10 Citizenship .....  | 25        |

## OVERVIEW AND INTRODUCTION

Data that resides on, or is transmitted by, college-owned (or Cloud-contracted) servers is owned by New River Community and Technical College (New River) and is a critical and highly valued asset of the institution. Managing these data assets requires clear standards and procedures to ensure the data serves its intended purpose of supporting the planning, decision making, and operations of New River. New River data assets are securely accessed and managed by numerous employees using assigned credentials with appropriate access privileges.

This **Data Standards and Procedures Manual** establishes the actions needed to meet policy goals and the standards needed for policy compliance, while also addressing:

1. Data **Provenance**—the origin of data.
2. Data **Entry Requirements**—correct data entry standards for **Data Specialists**.
3. Data **Cleansing Procedures**—process of preparing data for analysis by removing or modifying data that is incorrect, or improperly formatted.
4. Data **Quality Standards**—clear standards to decrease duplicate and incomplete data within enterprise systems.
5. **Unique** identifiers—distinguishing one entity record from every other record.

New River uses Ellucian Banner to maintain much of its electronic data pertaining to students, financial aid, finance, and personnel. Banner is a **primary data source**, which means that original data are input directly into Banner and that other systems depend on automated data extractions from Banner to function. A good example is the Learning Management System (Blackboard), which receives all course enrollments from Banner in near real-time.

Data errors in a primary data source are particularly harmful since these errors are then replicated to other connected systems. Mitigating these errors can be time-intensive and difficult, especially after time elapses and the error propagates to secondary data systems.

The standardization of data within Banner is critical for maintaining consistent and accurate records for use in all areas of the College. This **Data Standards and Procedures Manual** will help to establish, maintain, and communicate New River data standards; to promote data quality both retroactively and proactively; to establish, maintain, and communicate consistent reporting standards; and, thus, to facilitate timely access to consistently reliable college information over time.

## PURPOSE

Without data standards and procedure requirements, the value of New River's data assets would certainly diminish until the asset would serve no meaningful purpose. This manual serves to improve data accuracy, quality, and security by providing clear guidance for managing New River data assets. The responsibilities for data management are clearly defined in this manual by role, so that **Data Owners** and **Data Specialists** can routinely fulfill their position responsibilities related to data entry, access, and management.

## ESSENTIAL STANDARDS FOR ACCURATE RECORDS

- **NEVER SHARE PASSWORDS:** Data integrity begins with control over access to the data assets. Usernames and passwords are linked to identities and must NEVER be shared. Passwords safeguard access to the data and protect a person's identity from being misused within the system by anyone else.
- **SEARCH FIRST:** Before creating a new record for any entity ("Person" or "Non-Person"), please make sure the entity has not already been entered into Banner by conducting an *exhaustive* query for the record. An exhaustive query typically involves using *known* information about the entity (name, ID number, phone, address, etc.) with *wildcards* to conduct multiple searches using more than one field. Without conducting this exhaustive query prior to creating a new record, duplicate records are created which reduces the value of this data as an asset.
- **NEVER REMOVE: Never delete a record in Banner.**
- **NEVER USE:** In creating a record, never use the pound sign (#), the percent sign (%), the asterisk (\*) or the underscore (\_). The pound sign can cause Banner database errors and the percent sign has a special use within the search functions of the system. The asterisk and the underscore can cause Oracle errors.
- **ABBREVIATIONS:** There are specific ways to abbreviate words that are shown throughout this document. Please use ONLY these approved abbreviations when entering data.
- **PUNCTUATION:** Do NOT add punctuation where there is none. For "Person" names, use hyphens or apostrophes exactly as the person indicates in writing. Do not use commas or periods in any name field. Do not use punctuation in abbreviations, prefixes, or suffixes (such as Dr, PhD, or Jr). Punctuation for address fields should only be used if specifically required for the address number and should be limited to periods, slashes, and hyphens.
- **DATA CHANGES:** Please do NOT make any data changes unless the appropriate responsibility and authority has been granted. When making changes, please follow the procedures established by the **Data Owner** for the data needing to be changed.
- **REMEMBER:** Many data fields have specific data entry rules. These specific rules are outlined in this manual and should be carefully followed.
- **REMEMBER:** Never maintain the same information in more than one place. If Banner has a place defined for the information needed, then Banner should be the primary source for that information.

### 1. DATA ENTRY AND MANAGEMENT

**Data Specialists** and **Data Owners** are identified in the **Data Governance Plan**. A **Data Owner** is typically a director-level position and is responsible for the integrity and quality of the data in a particular data asset. So, while a primary focus is striving for the highest level of data integrity, a secondary focus should be on prompt remediation of any data entry errors. If the responsibilities for data entry are assigned to subordinates, then the **Data Owner** ensures data accuracy by supervising these **Data Specialists** (who do data entry).

**Data Owners** share responsibility for data security by preventing unauthorized access. Data Owners are responsible for the maintenance and control of Banner validation and rules tables. These tables, and processes related to their use, define how business is conducted.

**Data Owners** may designate someone with appropriate authority as a proxy agent to approve data access requests during their absence. Requests for access to Banner data assets should be submitted by supervisors or Chief Data Officers using the:

### **Banner Account Request Form**

<https://www.newriver.edu/wp-content/uploads/2018/04/Banner-Account-Request-Form-v1-3-4.pdf>

When granting access to data, **Data Owners** must ensure that sufficient protection requirements have been implemented and that **least-restrictive privileges** are assigned to minimize “access beyond responsibility” issues.

By approving end-user access to institutional data, the Data Owner consents to the use of this data within the normal business functions of administrative and academic offices.

Misuse, non-compliance, or persistent data entry errors by **Data Specialists** may result in revocation of access privileges and may jeopardize assigned position responsibilities.

*Data security is everyone's responsibility and by completing designated training and complying with the information in this manual, you are protecting New River's data assets.*

## **2. RESPONSIBILITIES FOR OVERSIGHT**

By law, certain data assets are confidential and may NOT be released without proper authorization. Disclosure of information is restricted to **Data Owners** or their authorized representatives. Contact the **Data Owner** or their direct representative (e.g., the Registrar or a representative of the Registrar for student information) prior to disclosure of information. Employees with access to data assets are expected to be aware of, and to adhere with, all applicable federal and state laws as well as College policies concerning storage, retention, use, release, and destruction of data.

All levels of management should ensure that, for their areas of accountability, each **Data Owner** and **Data Specialist** faithfully executes his or her responsibilities. This manual should be used to prepare these employees for those responsibilities related to data governance—prior to, or concomitant with, data access requests being fulfilled.

Institutional data assets are owned by the College and these assets are vitally important to business continuity. All institutional data, whether maintained in a central database or copied into other data systems, including personal computers and mobile devices, remains the property of New River. Access to these data assets is NOT approved for use beyond an individual's official College responsibility—institutional data assets and services shall be used ONLY for the legitimate business of New River as required in the performance of job functions.

Supervisors and administrators should ensure a secure office environment for those employees with access to institutional data assets. Supervisors should limit the scope of data access requests to ONLY what is needed for executing job responsibilities.

Under no circumstances should anyone use institutional electronic data (in detail or in summary) in any publication, seminar, or professional presentation, or otherwise release data, in any form, outside the College without prior written approval from the appropriate Data Owner.

*Data should never be left on any system to which access is not controlled.*

As a general principle of access, College data (regardless of who collects or maintains it) shall be shared among those employees whose work can be done more effectively by knowledge of such information. All guidelines, standards, and procedures for data governance are intended to ensure that:

1. All data are entered accurately or promptly corrected when errors are made.
2. Responsibilities for data quality and security are clearly understood and enforced.
3. Appropriate access restrictions are applied to limit data access.
4. Data assets are secure and privacy measures are in place.

### **3. DATA ACCESS**

#### **3.1 General Person Access**

General Person access is assigned with the expectation that appropriate **Banner training** will be completed. Data entered or modified in Banner general tables (person or non-person) impacts the overall integrity of New River's data assets which are relied upon by users and integrated systems.

Failure to abide by the guidelines outlined in this manual for creating and maintaining general entity records may result in the revocation of access until appropriate retraining is complete.

Data Specialists with General Person access are expected to ensure data integrity by:

- **Avoiding** creation of duplicate records for a single entity.
- **Enforcing** New River data entry standards.
- **Sharing** effective best practices and problem resolutions with others.
- **Representing** their functional area by advising on policies, maintenance procedures, and resolving cross-functional issues.
- **Reviewing** relevant General Person maintenance rules and concerns with fellow Data Specialists and Owners in their area.
- **Understanding** the data entry and management needs of their area.
- **Reporting** any data quality or security concerns to a supervisor or Data Owner so issues can be promptly resolved.

### 3.2 Requests for Information Access

All requests for information access should be coordinated through functional area Data Owners. Every new request for data asset access, changes to current access, or termination of access requires approval from the supervisor. If the supervisor is not the **Data Owner**, then the Data Owner must also approve. The request should be submitted by the supervisor to the CTO using the online **Banner Account Request Form**.

Only requests submitted to IT by HR, or by immediate supervisors, will be fulfilled. Requests for access to New River's data assets may include: (1) requests for access to data assets and processes; (2) requests for reporting tool access; or (3) requests to third-party products that connect to Banner or its associated databases.

Supervisors and Data Owners should ensure the requested access is commensurate with *completion* of any required general training as well as any required departmental specific training. Account and password information will be transmitted directly to the user. Supervisors should take steps to ensure they have an alternate person assigned for critical office tasks and this person has appropriate access and skills to perform these tasks when needed.

*Update access* provides both **query** and **update** capability. *Update capability* is generally limited to the persons directly responsible for the collection and management of the data. *Update access* is available to users who have an authorized need to change institutional data in the routine performance of their job responsibilities.

User access privileges are configured based on appropriate combinations of *query-only* and *update access* to specific parts of Banner, based on position responsibilities (need to know, and need to act basis).

### 3.3 Data Element Expertise and Responsibility

**Data Specialists** and **Data Owners** are responsible for understanding the data elements they use to fulfill their position responsibilities. They must ensure that the data entered are accurate, complete, and entered into the correct data fields. If the meaning of a data element is not understood, the appropriate **Data Owner** or a **Data Steward** should be consulted for clarification.

Data assets must be protected from unauthorized use, disclosure, alteration, and destruction. Data Specialists and Data Owners are responsible for security, privacy, and control of the data assets they use, which can be tracked and monitored by username.

### 3.4 Data Privacy and Compliance

Data Specialists and Owners should lock their computer screens with a screen saver before leaving their workstations unattended while logged into Banner. The default inactive time-out setting for Banner is 20 minutes, after which time the user is logged out of Banner (and the portal).

Employees working remotely should adhere to the telework security procedures within the **Telework Procedure** and **Telework Memorandum of Agreement** available from HR.

Employees accessing Banner data assets must sign confidentiality agreements prior to gaining access. Copies of these agreements are maintained by HR. Each employee is accountable for adhering to this confidentiality or data access privileges may be revoked and position responsibilities may be jeopardized.

### **Confidentiality Agreement Form (HR)**

<https://www.newriver.edu/wp-content/uploads/2018/12/Confidentiality-agreement-12-2018.docx>

Students have a right to inspect their educational records and to request amendment to those records if they believe them to be inaccurate. Legislation governs the confidentiality of information stored as assets in Banner. This includes the [Family Educational Rights and Privacy Act](#) (FERPA), the [Gramm-Leach-Bliley Act](#) (GLBA) and the [Health Insurance Portability and Accountability Act](#) (HIPAA), among others.

### **FERPA ([Family Educational Rights and Privacy Act](#))**

**FERPA** is a federal law that affords parents the right to have access to their children's education records, the right to seek to have the records amended, and the right to have some control over the disclosure of personally identifiable information from the education.

### **GLBA ([Gramm-Leach-Bliley Act](#))**

The GLBA requires financial institutions – companies (like New River) that offer consumers financial products or services like loans, financial or investment advice, or insurance – **to explain their information-sharing practices to their customers and to safeguard sensitive data.**

The Act consists of three sections:

1. The **Financial Privacy Rule**, which regulates the collection and disclosure of private financial information.
2. The **Safeguards Rule**, which requires New River to implement security programs to protect such information.
3. The **Pretexting** provisions, which prohibit the practice of pretexting or accessing private information using false pretenses. The Act also requires financial institutions to give customers written privacy policy notices that explain their information-sharing practices ([Consent to Do Business Electronically](#)).

### **HIPAA ([Health Insurance Portability and Accountability Act](#))**

**HIPAA** is a 1996 federal law that establishes national standards to protect sensitive patient health information from being disclosed without the patient's consent or knowledge.

#### **3.4.1 Disclosure of Information**

The College may release “Directory Information” without the consent of the student. All other information will be released only upon receipt of a signed waiver from the individual student that specifies the information to be released.



In accordance with FERPA provisions, an enrolled student has the right to withhold the disclosure of “Directory Information.” Enrolled students may request the non-disclosure of “Directory Information” by contacting the Office of the Registrar.

New River defines **Directory Information** as:

1. name,
2. address,
3. phone number,
4. date of birth,
5. major field of study,
6. educational level,
7. dates of attendance,
8. most recent prior educational enrollments,
9. country of citizenship,
10. full or part-time status,
11. candidacy for degree,
12. degrees, scholarships, and awards received.

**Request for Non-Disclosure of Directory Information (Registrar’s Office)**  
**(this form needs created)**

<https://www.newriver.edu/student-forms/>

Once submitted, the request for non-disclosure of “Directory Information” will be honored until the student submits a written request to rescind it, even if he or she has subsequently left the institution. The College assumes no liability for honoring a request for the non-disclosure of “Directory Information.”

**NOTE:** Confidential Information Indicator - If a student completes a “Request for Non-Disclosure of Directory Information” form, then the person’s directory information should not be disclosed to the public and the user’s record should be marked Confidential on the **SPAIDEN** form.

In general, New River does not disclose personally identifiable information (PII) contained in a student’s record unless the student provides written permission for disclosure. FERPA does permit the College, however, to disclose PII from a student record without the student’s consent, to the following parties:

1. To college officials who have legitimate educational interests. A college official is a person employed by the College in an administrative, supervisory, academic or research, or support staff position; a person or company with whom the College has contracted (such as an attorney, auditor, vendor, or collection agent); a person serving on the Board of Governors; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another college official in performing his or her tasks. A college official has a legitimate educational interest if

- the official needs to review an educational record to fulfill his or her professional responsibility.
2. To other college or university officials of another school in which a student seeks or intends to enroll.
  3. To certain governmental officials to carry out lawful functions
  4. To appropriate parties in connection with financial aid to the student.
  5. To organizations conducting studies concerning predictive tests, student aid programs, and improving instruction.
  6. To accrediting organizations
  7. To parents of dependent students.
  8. To parents of entering freshmen under the age of 21 who violate New River's alcohol or drug policies (non-academic information).
  9. To individuals who obtain lawful court orders or subpoenas.
  10. To appropriate persons, when necessary, to protect the health or safety of students or other persons.
  11. To State or local authorities to whom disclosure was required by state laws adopted before and after November 19, 1974, in very limited circumstances. Questions concerning the requirements of FERPA should be directed to the college's legal counsel through the President's Office or to the Registrar.

### **3.4.2 Assigning and Revoking Access Privileges**

Employees must use their assigned New River username and password when accessing New River data assets. These credentials are not to be shared or used by anyone other than the person assigned them. All Banner activity is tracked by username, which helps to identify when data are modified and by whom.

Temporary employees and student employees should not be given update capability for financial, human resources, and payroll transactions; nor should they be permitted access to validation tables and transactions that directly affect a student transcript (such as grades). This includes functions that create financial transactions (such as registration or payments); this does not apply to transactions created by web self-service applications. Exceptions may be authorized at the discretion of the **Data Owner**.

When employment ends, it is the responsibility of the **supervisor** to ensure that access to data assets is revoked for all employees (temporary, student, and regular full-time). This is best achieved by email notifications to HR and IT that employment has ended for an employee while providing an end date for it. HR incorporates this information into a **Cease Access** request they submit to IT as part of an employee's offboarding requirements. This notification by the supervisor to HR serves to trigger the actions needed to delete accounts and revoke access for these former employees. And these actions satisfy external auditors by showing when access is granted and when it is revoked for every user.

*Periodic user account audits must be conducted to provide additional checks-and-balances regarding user access privileges.*

### 3.4.3 General Person and Non-Person Searches

Searches should be done from an **%IDEN** form or **%VEND** form because these searches span ALL general person and non-person records. **FTMVEND** displays both person and non-person records while **%IDEN** forms display only person records. Searches from other forms restrict the information to records associated with that module.

- The **%** character is a *wildcard*, which means it substitutes for all characters that might follow or precede the value placed in front of or behind it.
- Look for the common denominators in names that might be abbreviated. Examples would be **%ill%** when looking for names like Bill, Billy, William, Will, or Willy, all of which could be names used by that one person.
- Double last names may have a hyphen (-) or just a space between them. Search for them by typing one of the last names and putting the **%** character either before or after the term being searched. Placement of the **%** depends on whether searching is being done on the last of the two names or the first of the two.
- The underscore (**\_**) key can be used to replace one character at a time.
- While names should always be entered in Title Case format, the user should also try searching for all upper or all lower case to see if a match can be found. The best way to do this search is to select the case insensitive query option before executing the search on the forms where this option is available. It is much easier to update the name to follow the standards than it is to cleanup duplicate records.

| Module        | Information Form | Person Search Form | Non-Person Search Form |
|---------------|------------------|--------------------|------------------------|
| Student       | SPAIDEN          | SOAIDEN            | SOACOMP                |
| Financial Aid | SPAIDEN          | SOAIDEN            | SOACOMP                |
| Finance       | FOAIDEN          | FTIIDEN            | FOICOMP                |

### 3.4.4 %IDEN Forms

For **%IDEN** forms, eliminate any data in the ID field and go to the Name field. Type in the name to be searched using the **%** (*wildcard*) to broaden the search. When a list of possible names is retrieved for a person, use other information to restrict the search (gender, birth date, social security number, ID number, previous names, state, or zip code) and any other information available. Also, remember to search using the middle name field (without punctuation).

### 3.4.5 VEND Forms

Clicking on the dropdown to search for vendor will take a user to the **FTIIDEN** form to do the actual search. If using Finance forms such as **FTIIDEN**, remember to search the whole database by checking ALL in the first block. Otherwise, searches are restricted to ONLY those records that have had Finance transactions. Non-person names may only be matched to their names. Use the **%** character when searching in case punctuation or digits are used as part of the name (e.g., I.B.M. or BONMAR1). The safest way to search on name is to include the wildcard at the front and at the end of the search (e.g., **%Bon Marche%**). This

would find “The Bon Marche” or “Bon Marche Inc.” If necessary, perform multiple searches, using separate portions of the name (e.g., %Bon% and %Marche%).

### 3.4.6 Other Search Forms

By clicking on the dropdown arrow beside the ID field in any form, the **Data Specialist** may initiate a search. Selecting Person Search will bring up the %IDEN form. Selecting non-Person Search will bring up form **SOACOMP** (or the similar **FOICOMP**). Selecting Alternate ID Search will bring up form **GUIALTI**. *Wildcards* may be used to aid in searches from this form also.

### 3.4.7 Identifying the Data Owner

Modifications to identifying information (e.g., name, birthdate) may impact more than one Banner module as well as secondary systems that receive data from Banner. Therefore, the appropriate **Data Owner** must be identified and informed before making such changes. Identifying the Data Owner of a student record can be complicated, but outlined below is a way to identify the **Data Owner** for a student record.

First go to **GUASYST** to determine if the ID is for a student, employee, or vendor. Enter the student, employee, or vendor ID number into **GUASYST** and the current name of the student, employee, or vendor will be retrieved. Go to the next data block of **GUASYST** and review the available form sections (Student, Advancement, Financial Aid, Finance, and Accounts Receivable) to identify the various roles the Person or non-Person has (admissions, general student, financial aid applicant, employee, or vendor).

The following types of changes need to be communicated to each respective office:

- Changes dealing with purchasing should be sent to the **Purchasing Office**.
- Changes dealing with employment records should be sent to **HR** except for processing student worker employment, which should be sent to **Financial Aid**.
- Changes dealing with a student’s bill should be sent to **Student Accounts**.
- Changes dealing with a student’s financial aid, scholarships, or loans, should be sent to **Financial Aid**.

## 4. **REQUIRED DOCUMENTATION FOR DATA ENTRY AND MODIFICATION**

Prior to creating new entities in Banner, the required documentation must be received and then used to correctly identify the entity as the account is created. To receive federal grants, financial aid, and other forms of funding from the government, verifying students' identities is required. **New River accepts only official forms of identification.** Data entered by users on self-service forms should be validated by a Data Specialist or Data Owner to ensure data accuracy.

Any changes required to correct initial data entry errors related to identifying information (name, marital status, SSN and/or TIN) are based upon the original, correct documentation provided to New River, and therefore, do NOT require additional documentation.

When adjustments to identifying information are required due to errors and/or changes to the original documentation supplied to the College by “Person” students, employees and/or vendors then addition documentation will be **required**.

*Do not change a legal name, marital status, SSN, or TIN record without the required legal documentation.*

#### **4.1 Documentation for New Accounts and Account Modifications**

Acceptable documentation for a legal name change includes the person’s:

- Birth Certificate
- Social Security Card
- Marriage License
- Passport
- Citizenship Papers
- Driver’s License
- Court Document

Documents supplied may be originals, copies, or faxed copies. Acceptable documentation for SSN changes is the person’s:

- Social Security Card.

Acceptable documentation for a marital status change includes the person’s:

- Marriage License
- Court Document

#### **4.2 Vendor (Person) Information Changes**

A “Person” vendor is an individual using an SSN for identification purposes. “Person” vendors include sole proprietorships, independent contractors, employees, and students receiving expense reimbursement checks. A revised W-9 form is acceptable documentation for a change to legal name, SSN and/or marital status for a “Person” vendor who is not currently and who has not previously been a student and/or employee at New River. Accounts payable and/or purchasing personnel must check Banner **GUASYST** to determine if a “Person” vendor is currently or has been previously a student or employee.

*“Person” vendors who have previously been or currently are College students or employees must provide the same documentation for name, SSN, and marital status changes as students or employees as described previously.*

#### **4.3 Vendor (Non-Person) Information Changes**

A non-Person vendor is a corporation, partnership, and/or LLC that uses a TIN for identification purposes. A non-Person Vendor can also be other state agencies or non-

profit organizations. For a non-Person Vendor, a revised W-9 form is acceptable documentation for a change to legal name or TIN.

## **5. RECORDS MANAGEMENT**

General person data may be entered on a variety of forms, depending on the Banner module used. Most name and address data are entered on “Identification” forms ending in **%IDEN** (e.g., Student uses **SPAIDEN**, and Finance uses **FOAIDEN**). Because Banner uses a shared database, entry into any **%IDEN** form affects all systems. It is critical that new records do not duplicate existing general identity or PIDM (Person Identification Master) records. Resolving these errors is especially time-consuming and difficult.

The term “multiple PIDM” or “duplicate PIDM” means that one single entity (whether an individual or corporation) has more than one Banner record. The PIDM is a system-assigned unique number (not displayed on forms and not visible to users) which serves to uniquely identify an entity in Banner. It serves as a primary key for connecting all relevant data to the entity. If multiple PIDMs are associated with a single entity, it prevents accurate data management.

Multiple/Duplicate PIDMs can occur for many reasons, including:

- failure to perform a complete search before record creation
- error by Data Specialist during data entry to Banner
- error by user keying in data over the web (Self-Service Banner)
- incorrectly matched records on web admission applications
- inadequately checked feeds to Banner from governmental agencies or vendors

The existence of multiple identity records for one entity defeats the whole purpose of a relational database and it violates the integrity of the data assets. Duplicate records create data integrity issues such as: 1) invalid reports; 2) inaccurate directory information; and 3) miscommunications based on these inaccuracies serving to confuse both internal and external clients.

Each identified duplicate PIDM problem takes hours to analyze and repair. Delays in handling duplicate records compounds the issue, making it even more difficult to resolve.

*If a Data Specialist creates or identifies a duplicate record in Banner, a prompt notification to all impacted offices is required to resolve the issue.*

### **5.1 General Record Information**

All name, ID, address, telephone, and email information for an entity, as well as some demographic information for person entities (gender, birth date, social security number, etc.), is shared throughout Banner. To ensure data accuracy, effort must be made to ensure users are not duplicating existing records. Thorough searching prior to record creation can prevent the creation of duplicate records.

Entities may have multiple relationships (or roles) over time (or simultaneously) with New River. A person may be an employee and a student (taking a class) at the same time.

At times, all the necessary information to create an entity may NOT be readily available or reliable. A prospective student may initially only provide a nickname and a last name instead of a legal first name, middle name, and last name. Obtaining the complete information before creating the record is the best course of action. This avoids creating duplicate records when only partial information is known. Creating an initial record with partial information and then following up to complete that record is acceptable too. Records can be created using partial or un-confirmed information, but only if they are subsequently updated and completed when accurate information is promptly obtained.

## **5.2 Use Common Matching to Search Prior to Creating New Entity Records**

Before creating a new record, a thorough and exhaustive search must be conducted to ensure that duplicate records are not created. This search is to be conducted using the Banner form “**GOAMTCH**.”

For data accuracy and quality, it is very important to prevent the creation of duplicate records (or multiple PIDMs). Because of this, privileges required to create new students, employees or vendors is limited to specific employees with this responsibility (**Specialists**) who have supervisors (**Owners**), who monitor data quality and accuracy.

*Users who are granted access to create or change personal information should be carefully trained and should know the standards required by this manual.*

If a Social Security Number (SSN) or Taxpayer Identification Number (TIN) is provided by a student, employee, or vendor, it should always be used during the common matching process to make sure that no other entities have been created in the Banner system previously using the same SSN or TIN. If a match does not exist, the information entered on the **GOAMTCH** form will be entered as appropriate into the **SPAIDEN** form or the **FOAIDEN** form, automatically by Banner.

## **5.3 New River’s 9-Digit ID Number**

Banner forms will generate a unique 9-digit numerical ID number for an entity (when the **Data Specialist** clicks on the ‘Generate’ button). Although Banner will allow the Data Specialist to create this ID number, it is PREFERRED to have Banner automatically generate it. A person’s social security number should NOT be used as a Banner ID.

The Banner system allows for a history of IDs to be maintained. A person’s social security number will NOT be used as an alternate ID (in Banner terminology) or as a former ID.

The “New River ID number” generated by Banner is comprised of 9 numerical characters. The first character is always zero and the following 8 numerical characters come from an automatic one-up, system-generated number. This convention ensures the New River ID number is never confused with a social security number.

*ONLY after exhaustively searching for Name, ID number, and Alternate ID without finding a match, should a new record be manually created using the Generate ID button.*

#### **5.4 Minimum Data Required for New Records**

The absolute minimum data necessary to create a new entity in the Banner system is a name. However, to meet data quality standards and to ensure data integrity and accurate record keeping, Data Specialists are expected to **enter the following components as well:**

- Social Security number—this unique identifier (it distinguishes one record from all others) is the most critical piece of additional information to prevent duplicates and meet governmental reporting requirements.
- Date of birth.
- Address and phone number.
- Gender.

There may be times when creating new entity records (new employees, potential donors, potential students) that some of the data may NOT be available or its accuracy may be in question. If any of the information noted above is unavailable, **Data Specialists** should question whether it is appropriate to create the new record at that time. Obtaining the information above **prior** to creating the new record is the best course of action. If a record is created with only partial information, it may not be enough to ensure that a duplicate record doesn't exist and it should be promptly updated with complete information as it is obtained.

## **6. NAMES**

Names in Banner must match legal names of person or non-person users. But names can still have a customer-friendly appearance. The objective is to enter names in Title Case letters so when they are printed on correspondence, it looks contemporary and professional.

*The **legal name**, as it appears on the required documentation, is required in Banner for all students and employees.*

### **6.1 Personal Name Formatting**

Legal name data (last, first, and middle names) should be entered into Banner exactly as it appears on an official photo ID (without punctuation). The name, as it is entered into Banner, is used on mailings, correspondence, and is propagated to secondary data systems. Banner name data must match the **legal name**, as it appears on official documentation, for all employees and students.

If a **Data Specialist** is transcribing data into Banner and is given a full middle name, enter the full middle name. Do not modify or alter a name by changing it to an initial.



A person's legal name is as it appears on a Social Security card, a photo ID, a court order, a marriage license, or a passport. The legal name is used to identify employees, students, and vendors, in compliance with federal regulations.

- NEVER use ALL upper or lower case when entering a name. Enter the name as evidenced on a photo-ID provided while using **Title Case** characters.
- NEVER use a period in a person's name unless the period appears within the name on provided legal documentation.
- USE punctuation ONLY as it appears on the person's legal documentation.
- USE spaces ONLY as they appear on the person's legal documentation.
- Input prefixes and suffixes in their respectively named fields in Banner. NEVER enter a prefix or suffix in the name fields.
- Preferred names (e.g., Bob instead of Robert) should be entered into the Preferred Name field, not the legal name field in Banner.

## **CASE**

Typically, use normal **Title Case** letters for names, not **lowercase** or **UPPERCASE**. If person or non-person data has been entered into Banner using all UPPERCASE letters, **Specialists** or **Owners** should correct it by re-entering the data as normal **Title Case** characters. There are, however, some exceptions.

If a name starts with a lower-case letter, enter the first letter in lower case (e.g., duBois). Some names may have a space or double caps (e.g., Vander Vaart or Vandervaart, duBois or Dubois or DuBois.)

If a name legally begins with a lowercase first initial (e.g., dellaToria) and the name is entered as lowercase, then the user needs to remember that when searching for these types of names since these data will appear alphabetically **after** data that begin with capital letters (e.g., dellaToria would be after Zwick). Externally obtained data feeds will be converted to comply with format.

## **INITIALS**

Do NOT use a period after initials, whether a first name initial or a middle name initial. Do NOT use an initial as a first name, unless evidenced this way on legal documentation.

## **SPACES**

Maintain correct spaces in names (one space maximum). See the following examples that might be presented on legal documentation:

Van Buren

Van der Vaart

Vander Vaart

## PUNCTUATION

Use hyphens or apostrophes exactly as they appear on accompanying legal documentation. Do NOT add punctuation where there is none. In the following examples, the correct use of punctuation can only be determined by reviewing legal documentation:

O'Donnell, Odonnell, or O Donnell?

Dell'Acqua, DellAcqua, or Dellacqua?

Jones-Smith or Jones Smith?

Al-Hassan, AlHassan, al-Hassan, alHassan, or al Hassan?

St.Denis, St Denis, StDenis, St-Denis SaintDenis, Saint-Denis, or Saint Denis?

Enter prefixes and suffixes in the respectively named fields on the Banner identification forms (form names ending in **%IDEN**). Do NOT enter prefixes and suffixes (such as Mr., Ms., Lt., or Rev. and Jr., IV, or Esq.) in the name fields of the current identification block on the Banner **%IDEN** forms.

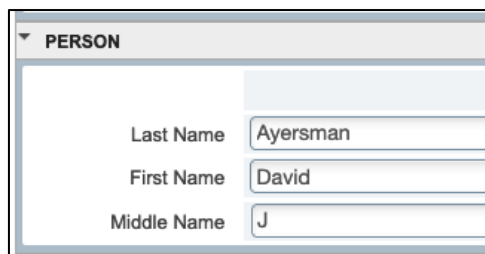
*Note: If professional prefix is used, do NOT use professional suffix.*

Standard prefixes and suffixes should be collected and maintained as part of the person record. For samples of standard prefixes and suffixes see Abbreviation Section of Webster's Dictionary.

## LEGAL NAME

Several offices require that the **legal name** be entered into Banner: **Payroll**, for all employee records; **Financial Aid**, for all students receiving assistance; and **Accounts Payable**, for vendors. In addition, SEVIS (Student and Exchange Visitor Information System) regulations require that the full legal name from the passport be entered for all international students and visiting scholars.

The format for the legal name requires entry into **three** data fields (Last Name, First Name, and Middle Name) using no punctuation. For example, *David J. Ayersman*, would be entered as it appears below:



The image shows a screenshot of a Banner identification form. The form is titled "PERSON" and has a dropdown arrow next to it. Below the title, there are three input fields for name information:

|             |          |
|-------------|----------|
| Last Name   | Ayersman |
| First Name  | David    |
| Middle Name | J        |

Documentation is required for all requests for name changes. Before making a name change, the **GUASYST** form must be reviewed, and if any **Employee** or **Vendor** information

is checked in the **Finance** section of this form, the name change should be forwarded to **Human Resources** so the individual may be contacted, and appropriate verifying documents obtained. If any **student information** is checked on **GUASYST**, the name change should be made and a name type of “unverified” should be attached to the current name. Upon receipt of verifying documents, the **Registrar’s Office** will remove the unverified name type from the current name record.

## **PREFERRED FIRST NAME**

If requested, Data Specialists may use the **Preferred First Name** field to display a preferred name or nickname (e.g., Bob instead of Robert) for use in the campus directory, [People Search](#).

## **6.2 Non-Person Names (Vendors)**

Vendors can be companies, organizations, or entities doing business with the College in a professional capacity. Vendors include suppliers, granting agencies, banks, institutions, government entities, and individuals. Vendors and non-student, non-employee, individuals should be entered into the non-person’s name information field through the **FOAIDEN** form.

Only one record and one identifier should exist for each non-Person or Vendor. To ensure the entity or individual does not already exist in Banner, it is important to thoroughly search for the non-Person name information before creating a new non-Person record in Banner.

When using Finance forms such as **FTMVEND**, remember to search the entire database by putting an “A” (for all) in the V (vendor) column. Otherwise, searches are restricted to only those records that have had finance transactions.

The pound sign (**#**), percent sign (**%**), underscore (**\_**) and asterisk (**\***) should NOT be used because they may cause database errors.

Non-person names should always be entered in the non-person’s name field as it would appear on the W-9. Spaces are permitted between multiple names.

If an “article” (a, an, or the) is used as an adjective within the full legal name on a non-person entry, it should be included when entering the name in Banner. If a non-person name begins with the word “The,” it should be included when entering the name.

In the case of a “doing business as (d/b/a)” scenario, the owner ID must first be created for the individual or company name appearing on the W-9. Then create the record for the d/b/a, or vendor sharing a tax ID and link it to the owner ID.

Example: *John Doe dba John’s Construction*

Create John Doe as a person record and define as a vendor.

Create John's Construction as a non-person record, define as a vendor, and link to John Doe as the owner ID.

#### Vendor Creation Notes:

- Enter all information using **Title Case** and standard capitalization. Never use all UPPERCASE or all lowercase letters, except for acronyms.
- Names should be entered with spaces between the words.
- Do not add punctuation where there is none—do not use periods (.).
- Apostrophes may be used, but do NOT use spaces before or after the apostrophe.
- Commas should NOT be used between names.
- Acronyms and universally accepted abbreviations should be entered with no spaces and no periods between the letters.
- Connective words such as **and**, **in**, or **for** are to be entered in all **lowercase** unless they are the first word of the organization, and their use should reflect the preference of the company.
- Hyphens or slashes may be used to separate names, but do NOT use spaces before or after them. Spaces are permitted between multiple names, based on the preference of the vendor.
- If a numeral is part of the official corporate name, enter the numeral rather than spelling out the number.
- In general, company names should not be abbreviated. However, when space limitation requires the use of abbreviations, common abbreviations may be used. If additional space is still required, abbreviate the last word at the end of the line. Punctuation should not be used (i.e., no periods).
- Government agencies should be created with separate Banner records and linked using the Owner ID function.

### 6.3 Name Type

The “current” name in Banner does not require a Name Type to be identified. In other words, if there is only one name, it is current, and the Name Type can be left blank. If there is more than one name, the Name Type must be identified. Name Types can be found on the validation table **GTVENTYP**.

## 7 ADDRESSES AND DEMOGRAPHIC INFORMATION

Conventions are critical for shared data such as addresses and demographic information, given the many purposes for which the data are entered. For example, units with **marketing** responsibility (such as **Admissions**) must have the individualized correspondence conforming to formal addressing rules. **Financial Aid** and **Accounts Payable** must be able to correspond using these mailing addresses and personal email addresses. Data submitted on behalf of New River to external agencies must be **accurate** regarding this demographic information.

These standards must balance four considerations:

1. Banner system requirements.
2. Accepted standards for formal communications.
3. United States Postal Service (USPS) guidelines.
4. International address requirements.

All addresses must meet USPS addressing requirements. According to the USPS Addressing Standards, “A standardized address is one that is fully spelled out, abbreviated by using the Postal Service standard abbreviations ... and uses the proper format for the address style...” (§211). The guidelines expressed herein are designed to convey the minimum standard requirements to enhance the processing and delivery of mail and reduce instances of “**undeliverable**” mail. While data may be conditioned (or reformatted) on output (e.g., date format), it is New River’s intention that addresses be entered exactly as they will print on correspondence, reports, and data extracts.

*Accurate and consistent address data entry is essential.*

Given these considerations, the following address data entry standards are established:

- Symbols should NEVER be used in the first position of an address field.
- The ampersand ‘&’ should NEVER be used in place of ‘**and**’ except as explicitly stated elsewhere in this document.
- The percent symbol “%” should NEVER be used, except as a *wildcard* character when searching.
- The designation for “**in care of**” should be abbreviated as ‘**c/o**’ and should be entered on the first street address line.
- The underscore character ‘\_’ should NEVER be used.
- NEVER use a pound sign ‘#’ within an address because it causes a problem with the Banner letter generation function.
- The asterisk ‘\*’ should NEVER be used.
- Street names are composed of a number, the street name and a possible unit designator.
- Punctuation in the street number and name is normally limited to slashes and hyphens and should be avoided if possible. With the exception of the hyphen in the ZIP+4 configuration, punctuation in the address does not conform to postal standards.
- If a street address contains a secondary unit designator, such as apartment, suite, or building, it should go at the end of the street address. PO Box is NOT considered a secondary address unit designator.
- If the primary address uses all available characters on the address line, the secondary unit designator should be on the first address line preceding the primary address. The unit designator should never be on the line following the primary address.

- Compass directional words should be abbreviated at the beginning or end of the street name. The only time a directional word should be spelled out is when it is the street name.
- Banner address formats allow three lines of street address information. If an address contains BOTH a street address and a post office box, the USPS will deliver mail to the first address line listed above the city/state/zip line. In this situation, it is preferred that the post office box be the last part of the address entered before the city/state/zip.
- Do not enter data into the second address line until data has been entered into the first address line. Also, data should not be entered in the third address line until data has been entered into the second line.
- Street designators should follow the standard USPS standards. Refer to the USPS Address Standards publication for abbreviations of designators.
- There are style manuals that deal with formal addressing style. Several USPS publications deal with addressing standards. The most comprehensive and accessible publication is Postal Addressing Standards, Publication 28.
- Banner is configured to automatically enter the city name when a zip code is entered. This is the preferred method of entering the city name. If the preferred name which defaults is not correct, it is acceptable to change the city to the actual city name. (*e.g., when entering the zip code 63103, the city will default to Saint Louis, but it could also be the city of Brentwood. If requested, manually change the city to Brentwood following the standards below.*) All information is typed in Title Case format – i.e., not ALLCAPS or all lowercase. Spell out city names in their entirety. If it is necessary to abbreviate city names to fit within the 20 characters allowed by Banner, use abbreviation standards described in this manual or in the USPS Postal Addressing Standards.
- Banner is configured to automatically enter the state name when a ZIP code is entered. This is the preferred method of entering the state name. State codes must be entered for all U.S. and Canadian addresses. The appropriate code may be selected using Banner software. For additional information, refer to the Postal Service Address Standards publication.
- Banner is configured to automatically enter the county name when a zip code is entered. This is the preferred method of entering the county name. The county code is a five-character code consisting of the 2-character state code plus the 3-digit FIPS (Federal Information Processing Standards) county code (PUB 6-4, May 2002)<sup>1</sup>. If no county defaults when entering the zip, enter the county code from the list of values in the validation form.
- ZIP or postal codes MUST be entered for all U.S. addresses.
- A hyphen must be entered when the entire nine-digit (ZIP+4) ZIP code is available. If the last four digits are unavailable, enter the first five digits in the first five positions of the field without the hyphen.

- Banner is configured to automatically enter the country name when a ZIP code is entered. In Banner, the default country designation is “US” or “200.”
- Overseas military addresses must contain the APO (Army Post Office) or FPO (Fleet Post Office) designation along with a two-character “state” abbreviation of AA, AE, or AP and the ZIP code.
- The purpose of the Address Type standard is to maintain a standardized list of address types based on purpose of the address, rather than separate address types for each College department. Thus, an individual may appear in accounts payable, an employee, and a current student in the College of Business and have only a single address.

### 7.1 Address Changes Guidelines

When updating an address of the same type, the prior address should be end-dated, and the new address added:

1. Change the “TO” date on the existing address of same type to the current date or the inactivation date
2. Click “Inactivate Address” - Save changes
3. Select “Insert”
4. Enter address information
5. Save changes

*NEVER change or delete a prior address, just **inactivate** the address, and create a new record.*

### 7.2 Telephone Numbers

An entity (person or non-person) may have multiple phone numbers in Banner. Phone numbers should be accurate and reflect the most recent data received. The **Telephone Type** and **Seq No** fields are used to link the telephone number to a specific address. International phone numbers are entered in a special “international” field. Supplemental information for international phone numbers may be added in the international access code field. Banner forms used to maintain telephone numbers are **APATELE, FOATELE, PPATELE, RPATELE** and **SPATELE**. All regional and local telephone numbers, including on-campus phone numbers, are entered using the 10-digit format.

Do not enter hyphens in the phone number and do not use the extension field. The **Area Code** field should contain 3 numerical digits. The **Phone Number** Field should contain 7 numerical digits.

Although there are 36 **Telephone Types** identified on SPATELE, New River primarily uses only these: AP (Accounts Payable), MA (Mailing), and RE (Residency).

*Users are permitted to update phone numbers using Banner Self-Service, although employees should also inform HR of any changes.*

### 7.3 Email

An entity (person or non-person) may have multiple email addresses in Banner. There are only two **E-mail Types** in Banner and only one of these may be marked as **Preferred**. The **NR** E-mail Type represents the primary New River email address and will be used for all official correspondence. This address should be marked **Preferred** on **SPAIDEN**. The **PERS** E-mail Type should be used for personal email addresses and should reflect the most recent data received.

*Users are permitted to update PERS email addresses using Banner Self-Service.*

### 7.4 Dates

Dates are entered on a variety of forms for various purposes. Dates will always be entered in Banner in the format MMDDYYYY or **12251999**. Banner will redisplay the date in the 25-Dec-1999 format. Dates can be extracted from Banner in any format.

### 7.5 Gender

The U.S. Department of Education requires New River to report gender information.

All employees and students must be classified as a male or female. Banner has fields for **Gender Designation** and **Personal Pronoun**, indicating that nonbinary gender options are expected in the future.

### 7.6 Social Security Number

The Social Security Number field in Banner is labeled: SSN/SINITFN

A U.S. Social Security Number is required for all employees, students, and independent contractors.

Enter the 9-digit numerical Social Security Number without hyphens or spaces (e.g., 123-45-6789 would be entered as **123456789**).

A person must present an original social security card in order to have a Social Security Number changed within Banner. Professional judgment should be used when making corrections to Social Security Numbers based on error at initial entry.

If a person is a faculty or staff member, **HR** will make the change.

Students who are not employees will direct Social Security Number change requests to the **Registrar**.

### 7.7 Date of Birth

The Date of Birth is required for all employees and students. The Date of Birth must be entered as month, day, and year (e.g., **12251999**).



## 7.8 Race and Ethnicity Code

Ethnicity is tracked for purposes of federal and state reporting requirements. Banner provides multiple fields in which to track both race and ethnicity. The table **GORRACE** stores the valid codes for race and is referenced in each module where person-data is maintained. A student or employee may choose more than one option on this table.

The **STVETHN** table stores the valid codes for “old” ethnicity and is referenced in each module where person-data is maintained. The table allows for an enterable code, a description, and a related IPEDS code for federal reporting. The data in this field is historical data that can be looked at if a student or employee has not re-identified by the most current federal standards on race and ethnicity.

The federally mandated changes to ethnicity are stored in two different locations. New River collects race and ethnicity information from each person and stores it where the person-data is maintained.

## 7.9 Deceased Information

When any office receives notification of the death of a current or former student who is not currently employed by New River, the notification will be immediately forwarded to the **Registrar**, who will be solely responsible for setting the deceased code. When any office receives notification of the death of a current faculty or staff member, the notification will be immediately forwarded to **HR**, who will be solely responsible for setting the deceased code. HR updates the deceased employee’s name in Banner to the Estate of Deceased based on IRS guidelines and then reverses the change once the final paycheck has been processed.

## 7.10 Citizenship

Citizenship is required information for students and employees. Additional information, such as country of citizenship and visa status, is required for any person who is not a citizen of the United States. A person’s citizenship is entered and maintained on the **SPAPERS** form in General Person.