SLDS Examples from Other States

State: Arkansas

Organization(s): Arkansas Dept of Higher Education (ADHE), Arkansas Dept of Workforce Education (ADWE), Arkansas Research Center (ARC)

Date of Snapshot: 2/1/2011

		Context
1.	Has the state implemented or is it developing a P-20 data system or warehouse?	Yes • Distributed data system – plans to build a P-20 data warehouse. • Arkansas Research Center (ARC) at University of Central Arkansas serves as clearinghouse for linked state agency educational data. (See SHEEO Profile: http://sharepoint.dis.wa.gov/ofm/projects/ERDC/SLDS%20Projects%20by%20State/Arkansas/Profile%20of%20AR%20SLDS.pdf)
2.	What are the main issues the P-20 system will enable the state to address?	↓ • Primary focus: "Deliver data to the teacher." • Promoting use of SLDS data and creating a culture of data driven decision making (DDDM) throughout all levels of state education system and related government areas (e.g. workforce services) o ADHE has two partnering regional education cooperatives (Assessment and Accountability Comprehensive Center and Mid-Continent Comprehensive Center) with common goal of "build capacity among administrators, teachers and staff of cooperatives in Arkansas to increase effective use of school-based data for improved student learning." – resulted in Hive data visualization system/portal. • Teacher-student data link and tools delivered to teachers and school administrators to improve outcomes at school and district level. • Support Arkansas Education to Employment Tracking and Trends Initiative (AEETT). (See: Arkansas SLDS grant proposal 2009 - http://nces.ed.gov/programs/slds/pdf/Arkansas2009-ARRA.pdf).
3.	Does the P-20 system have sufficient linked data available to address the issue(s) in 2.?	Yes Access to P-20 system data is being provided for a wide range of purposes and stakeholders through at least four portals designed for major audiences and purposes— • "Hive" – Open and password-protected access to different views and levels of data. (See: Webinar by Hive designer - http://hive.arkansas.gov/ • "QuickLooks" – interactive tool for viewing district, school and county-level information. http://quicklooks.adearc.com/ • Department of Education Data Center portal—http://adedata.arkansas.gov. • ARC website – under development – intended to become central resource for research requests, data use management http://www.adearc.com/arc/index.html
4.	Are the data being used to address the key issues?	Yes Arkansas P20 resources are being used extensively for reporting, quality improvement and research, with more outreach and tools development underway. • As one example (reporting), by 2008 Arkansas had all four SLDS elements in place required by federal policy by 2011 for calculating graduation rates. (See: www.all4ed.org/files/Arkansas_grp.pdf)
5.	Who is obtaining data from the P-20 system?	↓ • All education stakeholders, through portals and processes described in 3. • As example, see ADE data center portal for extensive list of types of information available depending on role of

		requestor and purpose. o Password-protected access and customized data views available for teachers, guidance counselors, principals and superintendents.
6. What kind of P-20 data are being used? - including degree to which personally identifiable, aggregate, linked, etc.	→	Aggregate and unit-record-level data accessible depending on identity, role and purpose of persons requesting access. • For example, ADE data center portal enables teachers and other school staff and administrators access to student-level data relevant for their responsibilities while preventing access to data beyond each individual's scope/purpose. • All portals provide interactive/customizable views of aggregated data to the extent allowed by state and federal privacy/confidentiality laws.
7. Who is qualified to request access to data?	→	All education stakeholders, with data available dependent upon identity, role and purpose of request.
8. Is there a formal policy or procedure for data sharing? Any governing legislation, policy, memorandum of understanding, etc.?		State has multiple formal policies and procedures within its distributed system – a few examples - • Multi-agency MOU between Dept of Higher Education, DOE and Department of Workforce Education – sets out process for data sharing, proposing and approving data use in research, general terms of use. (See: http://www.dataqualitycampaign.org/resources/details/710) • K-12 data security policy – sets out definitions and processes for handling "sensitive data," requires training for involved staff, requirements for secure transfer of data, etc. (See: http://arkedu.state.ar.us/commemos/attachments/ADE_K-12_IT_Security_Policy.pdf) • In 2009, Arkansas passed legislation creating a 13-member school leadership coordinating council and requiring it to devise a system for gathering education data and input on data use from a variety of stakeholders. (See: http://www.wallacefoundation.org/pages/main-report-strong-leaders-strong-schools.aspx#data-systems)

Details of Data Sharing Process for Research

1. What is the process for requesting P-20 data?		Data may be requested through more than one P20 partner, but state is working toward establishing ARC at U of Central Arkansas as central clearinghouse. • ARC portal has a link to "data request" that produced an online form – but process is not fully automated yet. (See: http://www.adearc.com/arc/datarequest.html)
2. How is the request reviewed and approved or denied? What criteria are applied?		• The online data request form indicates the ARC data team does an initial review of request to determine if requested data exist and whether they can be provided "within confines of state and federal laws."
3. What restrictions and requirements are placed on the use and reporting of data? How communicated and enforced?		Formal policy/process is currently being developed. • According to email contact with ARC (2/2011), details of formal process for P20 sharing through ARC "clearinghouse" are under development.
4. What protections are in place for protecting student confidentiality?		• Password protected, automated portals provide access to datasets, reports, customizable data views –aggregated or unit-level—depending upon identity, role and purpose of data requestor/user. • In the past, ADE policy was no unit-level record data shared with external researchers – currently, through ARC, requestor requests are being allowed but are being processed on case-by-case basis by research team.
5. How much time and cost		Depends upon details of request.

are involved in requesting and receiving data?	• As of 2/1/2011, no standard, written policy available – time and cost based on case-by-case analysis. • Standard policy and process is under development.

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SLDS Examples from Other States

State: Florida
Organization(s): Florida Department of Education (FDE)
Date of Snapshot: 1/13/2011

		Context
1.	Has the state implemented or is it developing a P-20 data system or warehouse?	Yes	The Florida K-20 Education Data Warehouse (EDW): • Integrates existing, transformed data extracted from multiple sources that are available at the state level. • Provides a single repository of data concerning students served in the K-20 public education system as well as educational facilities, curriculum and staff involved in instructional activities. (See EDW Factsheet, http://edwapp.doe.state.fl.us/EDW_Facts.htm.)
2.	What is the main reason for the state to invest in P-20 resources?	→	To answer the following questions: 1. What is the public receiving in return for funds it invests in education? 2. How effectively is Florida's K-20 education system educating its students? 3. How effectively are the major delivery sectors promoting student achievement? 4. How are individual schools and postsecondary education institutions performing their responsibility to educate their students as measured by how students are performing and how much they are learning? (See 2010 Florida Statute 1008.31, http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&Search_String=&URL=1000-1099/1008/Sections/1008.31.html.)
3.	Does the P-20 system have sufficient linked data available to address the issue(s) in 2?	Yes	Linked or linkable data resources, going back as far as 1995 • Public pre-K through graduate school • Student-level data for public schools, community colleges, career and technical education, adult education, and state university system • Staff, facilities, finance, financial aid • Post-school employment and non-education system program data • As of 10/2010, FL announced it is further developing its early learning data system with plans to link into P20 SLDS. (See SREB/DQC Sellers Presentation, 2008, http://www.dataqualitycampaign.org/files/Sellers_Presentation_Nov_19_2008.pdf)
4.	Are the data being used to address the key issues?	Yes	Being used for research, evaluation, assessment and improvement in many issue areas, including: • Teacher preparation and development best practices, compensation, results of retention policies • CHOICE Option evaluations • Return on investment • Evaluating key transitions for all students • Acceleration mechanisms • SAT, ACT, testing anomalies • Results of retention policies (See "Using State Longitudinal Education Data to Drive System Performance," Pfeiffer presentation, 2010, http://www.nga.org/Files/pdf/1004EDUINSTITUTEPFEIFFER.PDF.)

#	Question	Answer
5.	Who is obtaining data from the P-20 system? →	• Local and state education administrators, evaluators, practitioners • Education consumers and other public stakeholders • State and national researchers, centers and networks including CALDER, Community College Research Center, etc. (See Pfeiffer presentation.)
6.	What kind of P-20 data are being used? - including degree to which personally identifiable, aggregate, linked etc data included. →	• Wide range of K-12, Pre-K and postsecondary student, staff, curriculum and institution data • Workforce and other social services and health data relevant to outcomes of education • Unit-record-level and aggregated data available as appropriate to role of researcher and type of project (See map of all data types being linked - Pfeiffer presentation)
7.	Who is qualified to request data (criteria)? →	• "Including, but not limited to, administrators, educators, parents, students, state leadership, and professional organizations" • Criteria for accessing data depend on who the requestor is, what data are requested, and intended use.
8.	Is there a formal policy or procedure for data sharing? Describe any governing legislation, policy, memorandum of understanding, etc.	Yes • 2010 Florida statute regarding P-20 system and data: 1008.31 • Data sharing through Memoranda of Understanding (MOUs) between state agencies including workforce, corrections, children and family services, and federal organizations including defense and National Student Clearinghouse. (See Sellers presentation.)

Details of Data Sharing Process for Research

#	Question	Answer
1.	What is the process for requesting P-20 data?	For requesting use of unit record data: • Complete and submit unit record request packet (project information, description, timeline, statement of benefit, data element crosswalk) (See http://www.fldoehub.org/Research/Documents/Unit%20Record%20Data%20Request%20Packet%20Instructions.doc.)
2.	How is the request reviewed and approved or denied? What criteria are applied?	• Request forms are logged into tracking system • Reviewed by staff, possibly reviewed by committee, depending on details of request. • General priorities for request processing are: legislative and gubernatorial requests completed first, internal requests second, and external requests third.
3.	What restrictions and requirements are placed on the use and reporting of data? How communicated and enforced?	• If request for data is approved, researcher signs a Security and Access Agreement that sets out conditions of data use for particular project. • Agreement can be revoked for non-compliance with any terms. • Full description of formal policy and procedures, and forms for applying for and using data, are available through data hub: http://www.fldoehub.org/Research/Pages/default.aspx
4.	What protections are in place for protecting student confidentiality?	• In general, Florida education data sources have embedded SSNs that are matched within secure data environment and replaced in released datasets by a unique identifier. • Florida policy, data access portal, processes and training refer to privacy and confidentiality regulations, and determine what level of data are available to various stakeholders. • Confidentiality and data security requirements are included in Security and Access Agreement signed by researchers, included in the unit record data request packet — attached.

| 5. How much time and cost are involved in requesting and receiving data? | • Minimum of 3-4 weeks for approval decision, and up to 5-6 months to receive data requested.
 • Time and cost "vary greatly by individual proposal depending upon data permissions required, datasets requested [whether standard or requiring customization], and the number of proposals currently approved." |

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SLDS Examples from Other States

State: Kansas

Organization(s): Kansas Board of Regents-KBOR (post-secondary), Kansas Dept of Education-KDE (K-12), Kansas Education Data Users Consortium-KEDUC (includes KBOR, KDE, University of Kansas-KU and Kansas State University-KSU)

Date of Snapshot: 1/13/2011

		Context
1.	Has the state implemented or is it developing a P-20 data system or warehouse?	Yes	In the process of building—immediate goals: • Expand K-12 and post-secondary systems to link across the P-20 education pipeline and across state agencies. • Ensure education data can be accessed, analyzed and used by stakeholders to promote continuous improvement. • Build capacity of educators to use longitudinal data for effective practice, to inform instructional decisions and evaluate effects on student learning. (See NCES SLDS grant summary, http://nces.ed.gov/Programs/SLDS/state.asp?stateabbr=KS)
2.	What are the main issues the P-20 system will enable the state to address?	→	• Better student outcomes (behavior, achievement, persistence in education) from PreK through postsecondary, especially for challenged groups (disabilities, limited English proficiency) and schools (low-performing). • Improve educator competency and professional satisfaction. • Evaluate and increase effective use of education data systems by teachers and principals for improvement. (See NCES SLDS grant summary)
3.	Does the P-20 system have sufficient linked data available to address the issue(s) in 2.?	No	K-12 and post-secondary data have not yet been linked; as of Jan 2011, reorganization of governance and data sharing structure is taking place. (See P-20 Committee's report, Dec 2010: http://www.ksde.org/LinkClick.aspx?fileticket=zmSQS0DUgC0%3d&tabid=2880&mid=10681)
4.	Are the data being used to address the key issues?	No	Not yet—still in planning and early implementation stages as reported in P-20 Committee's report: • "KSDE and KBOR have signed a Memorandum of Understanding allowing mutual access to student data that, with proper security controls, makes it possible to track the progress of students as they move through the educational system." • Integration with Departments of Labor and Commerce data will follow the linking of K-12 and post-secondary data and creation of data warehouse.
5.	Who is obtaining data from the P-20 system?	→	No one; P-20 warehouse not completed. Some research going on using K-12 data. • In Jan 2011, KBOR and KEDUC reported researchers continue to go directly to K-12 and university data sources instead of through KEDUC, in spite of incentives to steer them to centralized resource—probably due to lack of awareness of potential P-20 data uses combined with very limited P-20 data available so far. • P-20 steering committee is reorganizing to realign outreach activities with current, early stage of data warehouse, and implementing a one-on-one outreach strategy with P-20 partner organizations' researchers only.
6.	What kind of P-20 data are being used? - including degree to which personally identifiable, aggregate, linked, etc., are included.	→	None yet—as of Dec 2010, P-20 warehouse still being developed. • K-12 "restricted-use data" have been shared for some time by KDE on case-by-case basis and linked by researchers, and more recently made available through KEDUC formalized process, for evaluation, reporting and accountability. o KS definition of "restricted-use data" is "all data containing personally-identifiable information collected by or on behalf of KSDE and/or KBOR that are provided to the Researcher and all information derived from those data, and all data resulting from merges, matches, or other uses of the data provided by KSDE/KBOR

with other data."

7. Who is qualified to request access to data? →	• Details of KDE K-12 data and sharing processes can be seen through KDE portal, separate from KEDUC (See http://www.ksde.org/Default.aspx?tabid=83) • Once P-20 data become available, according to KEDUC website: A principal investigator (PI) who wants to use state education data to conduct research related to stakeholder-identified research priorities. • In Jan 2011, KBOR indicated data sharing access and support will be scaled back to only researchers from P-20 partners—not other state agencies, smaller education institutions, external researchers etc.
8. Is there a formal policy or procedure for data sharing? Any governing legislation, policy, memorandum of understanding, etc.?	**Yes** • In June 2009, in response to urging from KBOR and KSDE, Governor signed Executive Order 09-03 allowing the two agencies to cross-evaluate programs and share student data. (See http://www.ksde.org/LinkClick.aspx?fileticket=zmSQS0DUgC0%3d&tabid=2880&mid=1068) and http://kasa-ks.org/council/Council%20meeting%20materials%2010-21/MOU.pdf) • Formal policy and process have been developed and is implemented through KEDUC website, but as of Dec 2010 have not yet been used. (See http://www.keduc.info/proposal/background)

Details of Data Sharing Process for Research

1. What is the process for requesting P-20 data?	Currently in use for available data (K-12) and will also be used for P-20 data when data warehouse is ready: • Through KEDUC website, researchers initiate a request, reviewed by KEDUC staff. • "Principal investigator advocate" (PIA) determines type of data needed, where it can be obtained and, if restricted-use data are required for the proposed project, assists the PI in completing more detailed research proposal forms and data requests as needed, then assists with submitting to Review Committee.
2. How is the request reviewed and approved or denied? What criteria are applied?	• Website provides password-protected access for Review Committee members to collaboratively review/approve request. • KEDUC Research Committee reviews and makes approval decision based on pre-established criteria and rating system. (See attached, or at http://www.keduc.info/images/keduc-criteria-chart-large.jpg) • After approval, PIA assists PI in finalizing research agreement forms, any further necessary data requests or agreements, and tracking of agreement performance.
3. What restrictions and requirements are placed on the use and reporting of data? How communicated and enforced?	• Restrictions are communicated through a Research Project Confidentiality Agreement. Agreement may be revoked if any conditions are violated. For details see attached, or http://www.keduc.info/proposal/sign • PIs with approved proposals must provide KEDUC with research results, including an abstract, when the research is completed, and PIs may be asked to present results at a state education workshop/conference
4. What protections are in place for protecting student confidentiality?	• Kansas has developed and is using unique personal identifiers instead of SSN, in preparation for P-20 linking. • Other specific protections for student confidentiality and data security are detailed in the Research Project Confidentiality Data Use Agreement; for full details, see attached, or on KEDUC website, http://www.keduc.info/proposal/sign
5. How much time and cost are involved in requesting and receiving data?	• To provide incentive for researchers to use KEDUC, KDE's and KBOR's $60/hour fee for preparing datasets is waived if researcher applies through KEDUC. • Time estimate for reviewing proposals and delivering data varies depending on project priority, amount of data preparation required, and staff workload.

KEDUC CRITERIA FOR ACCEPTING RESEARCH TO SUPPORT

Factor	Poor (1)	Fair (2)	Good (3)	Excellent (4)	Score (Rating * factor weight)
Research productivity of principal investigator Weight: 5					
Principal investigator who is an employee of a Kansas accredited education agency Weight: 10	NA	NA	NA	NA	Score: Yes=10 No=0
Alignment of research questions to stakeholder-identified research priorities Weight: 10					
Clarity of research objectives Weight: 10					
Alignment of research objectives with research design Weight: 10					
Opportunity of research to add to knowledge base/impact education practice or policy Weight: 10					
Appropriate use of state longitudinal data Weight: 10					
Likelihood of successful completion within the stated timeline Weight: 5					

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WHEREAS, the Kansas State Department of Education (KSDE) and/or the Kansas Board of Regents (KBOR) have collected certain data that contain confidential personally-identifiable information, and KSDE and KBOR require this confidentiality to be protected; and

WHEREAS, the Kansas State Department of Education and Kansas Board of Regents are willing to make these data available for research and analysis purposes to improve instruction in public elementary and secondary schools and postsecondary schools, but only if the data are used and protected in accordance with the terms and conditions stated in this Agreement.

NOW, THEREFORE, it is hereby agreed between

(Typed name and address of Research Organization), hereinafter referred to as the "Researcher," and KSDE and/or KBOR that:

I. INFORMATION SUBJECT TO THIS AGREEMENT

A. All data containing personally-identifiable information collected by or on behalf of KSDE and/or KBOR that are provided to the Researcher and all information derived from those data, and all data resulting from merges, matches, or other uses of the data provided by KSDE/KBOR with other data, are subject to this Agreement and are referred to herein as "restricted-use data." The restricted-use data under this Agreement may be provided in various forms included but not limited to written or printed documents, computer tapes, diskettes, CD-ROMs, hard copy, or encrypted files.

The Researcher may use the restricted-use data only for the purposes stated in the Research Proposal Application, which is attached hereto and made a part of this Agreement (marked as Attachment 1), and is subject to the limitations imposed under the provisions of this Agreement.

II. INDIVIDUALS WHO MAY HAVE ACCESS TO RESTRICTED-USE DATA

Researcher agrees to limit and restrict access to the restricted-use data to the following three categories of individuals:

The Project Leaders in charge of the day-to-day operations of the research and who are the research liaisons with the Principal Investigator Advocate (PIA).

The Professional/Technical staff in charge of the research under this Agreement.

Support staff including secretaries, typists, computer technicians, etc., but these individuals shall be allowed access to the restricted-use data only to the extent necessary to support the research.

III. LIMITATIONS ON DISCLOSURE

A. Researcher shall not use or disclose the restricted-use data for any purpose not expressly stated in the Research Proposal Application approved by KEDUC, unless the Researcher has obtained advance written approval from the PIA.

B. Researcher may publish the results, analysis, or other information developed as a result of any research based on the restricted-use data made available under this Agreement only in summary or aggregate form, ensuring that the identities of individuals included in the restricted-use data are not revealed.

IV. ADMINISTRATIVE REQUIREMENTS

A. The research conducted under this Agreement shall be limited to, and consistent with, the purposes stated in the Research Proposal Application.

B. Notice and training on confidentiality and nondisclosure.

1. Researcher shall notify and train each of its employees who will have access to the restricted-use data of the strict confidentiality of such data, and shall require each of those employees to execute an Acknowledgement of Confidentiality Requirements.

2. Researcher shall maintain each executed Acknowledgement of Confidentiality Requirements at its facility and shall allow inspection of the same by the PIA upon request.

3. Researcher shall promptly notify the PIA in writing when the access to the restricted-use data by any individual is terminated, giving the date of the termination.

C. Publications made available to KEDUC.

1. Copies of each proposed publication or document containing or based upon the restricted-use data shall be provided to the PIA before the publication or document is finalized. The PIA will share the proposed publication with the appropriate agency or agencies (KSDE and/or KBOR) so that a restricted-use data security review can be performed. The PIA shall advise the Researcher when publication is authorized.

2. Researcher shall provide KEDUC a copy of each publication based on the restricted-use data made available with KEDUC assistance.

D. Researcher shall notify the PIA immediately in writing upon receipt of any request or demand for disclosure of restricted-use data.

E. Researcher shall notify the PIA immediately in writing upon discovering any breach, or suspected breach, of security, or of any disclosure of restricted-use data to an unauthorized party or agency.

V. SECURITY REQUIREMENTS

A. Maintenance of, and access to, the restricted-use data.

1. Researcher shall retain the original version of the restricted-use data at a single location and shall not make a copy or extract of the restricted-use data available to anyone except individuals specified in paragraph II.

2. Researcher shall maintain the restricted-use data (whether maintained on a mainframe facility, central server, personal computer, or in print or other medium materials) in an area that has access limited to authorized personnel only. Researcher shall not permit removal of any restricted-use data from the limited access area.

3. Researcher shall ensure that access to the restricted-use data maintained in computer files or databases is controlled by password protection. Researcher shall maintain all printouts, diskettes, or other physical products containing restricted-use data in locked cabinets, file drawers, or other secure locations when not in use.

4. Researcher shall ensure that all printouts, tabulations, and reports are edited for any possible disclosure of restricted-use data.

5. Researcher shall establish procedures to ensure that the restricted-use data cannot be extracted from a computer file or database by unauthorized individuals.

B. Retention of restricted-use data.

1. Researcher shall destroy the restricted-use data, including all copies, when the research that is the subject of this Agreement has been completed or this Agreement terminates, whichever occurs first.

VI. TERMINATION OF THIS AGREEMENT

This Agreement shall terminate twelve months from the date it is signed by the researcher and PIA. The Agreement, however, may be extended by written agreement of the parties.

Any violation of the terms and conditions of this Agreement may result in the immediate revocation of this Agreement. The PIA may initiate revocation of this Agreement by written notice to Researcher indicating the factual basis and grounds of revocation. Upon receipt of the written notice of revocation, the Researcher shall immediately cease all research activity related to the Agreement until the issue is resolved. The Researcher will have 3 business days to submit a written Response to the PIA indicating why this Agreement should not be revoked. The appropriate agency's review board (KSDE's or KBOR's) shall decide whether to revoke this Agreement based on all the information available to it. The PIA shall provide written notice of the agency's decision to the Researcher within 10 business days after receipt of the Response. These timeframes may extend for good cause.

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SLDS Examples from Other States

State: North Carolina

Organization(s): NC Dept of Public Instruction (NCDPI), University of NC system (UNC), NC Early Childhood Data Group (NCECDG), NC Community College System (NCCCS), NC Independent Colleges and Universities (NCICU), NC Employment Security Commission (NCESC)
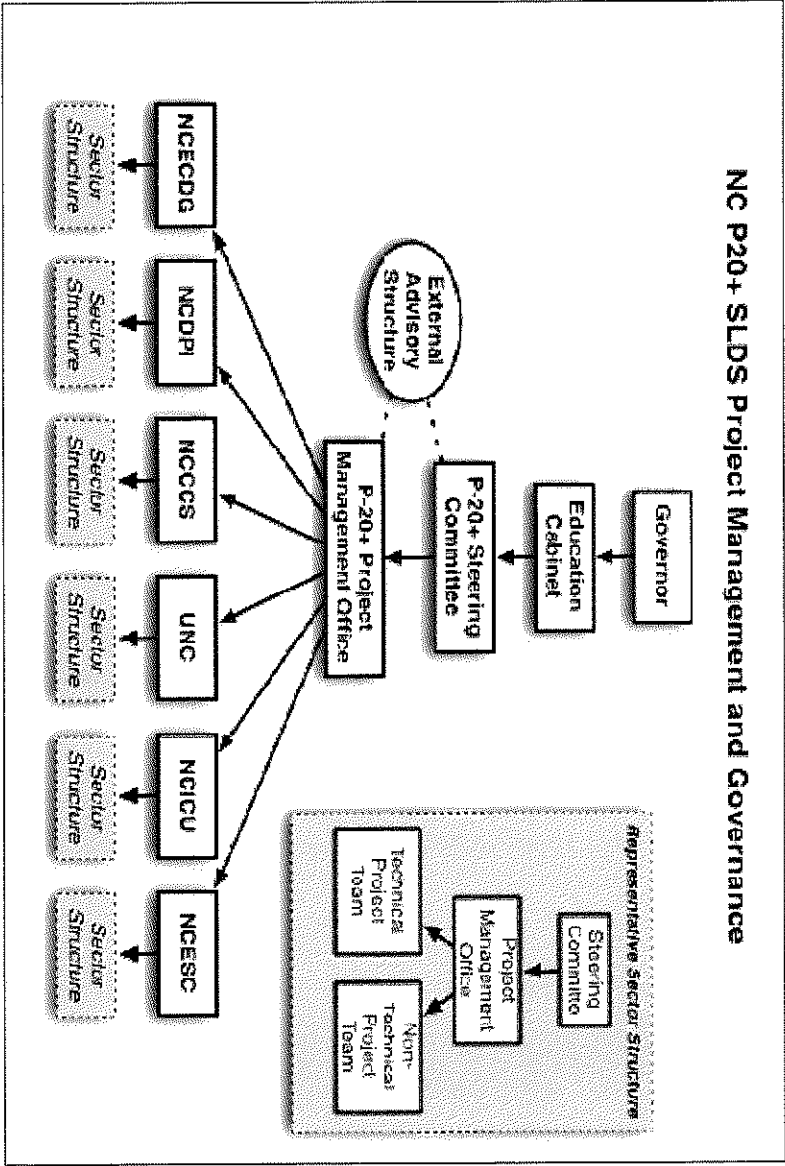
Date of Snapshot: 1/13/2011

		Context
1. Has the state implemented or is it developing a P-20 data system or warehouse?	Yes	In the process of building and implementing a P-20+ distributed data system by linking existing source data systems from numerous partners (see above), plus P-20 governance structure including numerous stakeholders including at least one education research data center (North Carolina Education Research Data Center, or NCERDC, at Duke University)
2. What are the main issues the P-20 system will enable the state to address?	→	Enable "NC leaders at all points along the NC education-workforce continuum access to a broader view of the State's educational needs…as NC strives to find the right formula(s) for ensuring that our State's spectrum of education services can facilitate every student's achievement of college- and/or career-readiness." (See 2009 SLDS grant application: http://nces.ed.gov/programs/slds/pdf/NorthCarolina2009-ARRA.pdf)
3. Does the P-20 system have sufficient linked data available to address the issue(s) in 2.?	Yes and No	YES: Among separate state partners, there are considerable education data resources that already being linked and used for evaluation and research—but NO: Not yet through centralized P-20 system. • As of Dec 2010, most of these resources and longitudinal data sharing and linking activity still take place outside the planned, coordinated P-20 data warehouse and governance structure. • NC's P-20+ project is primarily focused on need to establish centralized governance and data integration to streamline, improve efficiency, and realize full potential of the state's collective data resources.
4. Are P-20 data being used to address the key issues?	Yes	For years, North Carolina has provided in-state and out-of-state researchers with linked, longitudinal data resources, including through a partnership between NCDPI and NCERDC. • P-20+ will incorporate, coordinate and leverage existing productive partnerships and data repositories, to enable more data-driven decision making.

5. Who is obtaining data from the P-20 system?	→	• New centralized P-20+ system: None; implementation of P-20+ governance system and warehouse not yet complete.
		• From various, uncentralized partners of what will be the P-20+ system: An array of public, state and national agency, and local, regional and national research stakeholders. For example -
		  ○ From NC WISE, K-12 system that completed rollout to all 115 NC LEAs and 98 charter schools in 2009 – providing linked, longitudinal information to individual schools, school districts, universities and colleges, and NCDPI.
		  ○ From CEDARS, NC DPI's new PreK-13 SLDS – has a student and staff identification system that will be used for full P-20+ linking, centralized data repository, reporting and analysis tools providing access to state, local and federal policymakers and service providers, and information sharing among DPI staff, school principals, LEA administrators, and the public.
		  ○ From NCERDC linked data warehouse—state researchers from North Carolina and other states, national-level research centers and networks (see more details below).

6. What kind of P-20 data are being used? - including degree to which	→	• Limited amount of linking and sharing of P-20+ partner/sector data already taking place through NCDPI and NCERDC. • When P-20+ project completes linking of significant data sources of partners, it will encompass a full array of unit-

personally identifiable, aggregate, linked, etc., are included.	record-level, aggregated and linked data covering PreK through postsecondary and beyond to workforce. • P-20 project status identifies a few remaining data gaps mostly related to interconnectability and quality issues.
7. Who is qualified to request access to data?	→ • Full array of education stakeholders, who currently go through several different channels to request and access data and information. Refer to description of existing data portals in 5 above.
8. Is there a formal policy or procedure for data sharing? Any governing legislation, policy, memorandum of understanding, etc.?	Yes and No • YES: For the most part, the major partners' centralized data resources have formal policies and procedures for accessing education data and information. • NO: P-20+ governance and sharing processes are still under development—expected to incorporate and expand on work already developed by major partners, including NCDPI and NCERDC.

Details of Data Sharing Process for Research

	Focusing on process of North Carolina Education Research Data Center (NCERDC):
1. What is the process for requesting P-20 data?	• Researcher goes to NCERDC web portal to obtain information about data available, criteria for using data, process for requesting data, and forms to apply for data access. (for details, see http://www.childandfamilypolicy.duke.edu/project_detail.php?id=35)

2. How is the request reviewed and approved or denied? What criteria are applied?	• Data can be released to an institution of higher education, a non-profit research institution, or a government agency with established protocols for an Institutional Review Board (IRB), Human Subjects Review Committee, or equivalent body.
	• Researcher must have primary affiliation with an eligible institution or be a currently enrolled doctoral student. NCERDC's list of eligible institutions and researchers continues to grow, and now includes national-level research centers and networks as well as in-state.
	• Prioritization of requests:
	  o First priority goes to State Board of Education-related research.
	  o Second priority to proposals that fit NCERDC's goals of supporting research useful for education policy (detailed description on their website).
	  o Other priority considerations include North Carolina-based, likelihood of benefits to NCERDC, and amount of staff time required by project.
	• Once request reviewed by NCERDC review committee and approved, process for obtaining and using data includes—
	  o Complete and sign a data use agreement (http://www.childandfamilypolicy.duke.edu/pdfs/projects/NCERDC_DataUseApplication.doc)
	  o Sign Investigator confidentiality agreement and ensure all research assistants sign and abide by conditions of agreement.
	  o Obtain their institution's IRB approval of project (expedited or full review).
	  o Complete Data Request Form (included online Data Use Application packet)

3. What restrictions and requirements are placed on the use and reporting of data? How	• Follow plan approved by NCERDC and the researcher's IRB. • Provide NCERDC with any resulting "paper"—including conference presentations, accepted publications, press releases. • Communicated and enforced through signed data use agreement, which may be revoked for failure to comply with terms.

communicated and enforced?	
4. What protections are in place for protecting student confidentiality?	• Approval of project and delivery of requested data is contingent upon NCERDC's and researcher's ability to construct adequate datasets while complying with FERPA and all other relevant privacy and confidentiality regulations. • Processes for protecting access to data are detailed in data use agreement specific to the approved project. • IRB must review and approve plan for data use and confidentiality protection, as well as NCERDC.
5. How much time and cost are involved in requesting and receiving data?	• No time estimate for processing request or delivering data is provided; instead, NCERDC publicizes its prioritization rules on website. • NCERDC charges a standard fee of $1,800, "equivalent to two days of NCERDC services." Fee covers limited telephone and email consultation with investigator or research staff about origins, structure and general content of data files sent. Fee may be waived for doctoral candidates and may be negotiable for some faculty projects. Additional fees may be charged for customized datasets, and NCERDC will provide researcher with estimate of time and associated fees.

NC P20+ SLDS Project Management and Governance

SLDS Examples from Other States

State: Pennsylvania

Organization(s): Pennsylvania Department of Education (PDE); Pennsylvania Office of Childhood Development and Early Learning (OCDEL)

Date of Snapshot: 1/28/2011

		Context
1.	Has the state implemented or is it developing a P-20 data system or warehouse?	**YES** Pennsylvania Information Management System (PIMS) is PDE's data collection and enterprise-wide longitudinal data warehouse and reporting system. • System currently has longitudinal student and teacher IDs with student/teacher match; test, enrollment, participation and program data; data on students not taking tests; high school dropout and graduation data; K12 and postsecondary data links; data audit system. • In a separate system (Early Learning Network or ELN), state has a nationally recognized integrated database for PreK that is linkable by state's unique student ID. • Plans for 2010-2013: Expansion of PreK and K12 data collection; reporting for principals (Cognos cubes); expand postsecondary implementation; link early learning data network (ELN) to PIMS; link PIMS to National Student Clearinghouse data; begin implementation of PDE data access and use policy; retire legacy data systems. (See: PIMS portal - http://www.portal.state.pa.us/portal/server.pt/community/pims_-_postsecondary/8960; and ELN portal - http://www.portal.state.pa.us/portal/server.pt/community/early_childhood/8705/early_childhood_care_and_education_r esearch/522247; and PA SLDS grant proposal, http://nces.ed.gov/programs/slds/pdf/Pennsylvania2009-ARRA.pdf)
2.	What are the main issues the P-20 system will enable the state to address?	→ • Meeting current state and federal reporting requirements • Improving education decision-making through the use of high quality data and decision support tools • Providing longitudinal tracking of particular individual and subgroup education progress over time and across LEAs • Reporting timely and accurate education data through standardized and ad hoc reporting capabilities. (See PIMS portal)

3.	Does the P-20 system have sufficient linked data available to begin addressing the issue(s) in 2.?	**YES**
		
		 • As of Dec 2009, PIMS had expanded its K12 system to link data from all 14 Pennsylvania public higher education institutions.
		   o PDE functions as custodian and policy administrator of all data resources in the linked system.
		 • PA's Early Learning Network (ELN) has received several citations, including NGA Best Practices, as example for integrated early childhood data system—it is being used for reporting and decision-making for some EL issues.
		   o PA currently is working on resolving data access issues across the early childhood and K12 data systems, including privacy issues, to enable secure P20 linking and data sharing.
		
		 (See PIMS portal, and Building Ready States: Governor's Guide to Early Childhood State Systems http://www.nga.org/portal/site/nga/menuitem.9123e83a1f6786440ddcbeeb50101Oa0/?vgnextoid=9d00bc9a03cdb21OV gnVCM1000005e00100aRCRD)

4.	Are the data being used to address the key issues?	**YES** PDE is using linked data for research on key policy, quality and compliance issues, by state agency researchers and those third-party researchers who have been authorized to conduct research on behalf of the state agencies.
5.	Who is obtaining data	→ State agency and authorized third-party researchers who are using data for the limited purposes set out in 2 above.

#	Question	Details
6.	from the P-20 system? What kind of P-20 data are being used? - including degree to which personally identifiable, aggregate, linked, etc., are included.	→ • Full array of student, teacher, school data are available for state education agency use, through PIMS and ELN. • Unit-level data and records are available to PA education system stakeholders depending on the identity and role of the requestor logging in to the ID-secured portal (PASecureID), or requesting data on case-by-case basis through PDE administration. • Early childhood data network (ELN) enables "access to data and reports based on a person's level of oversight of children and operations" – see description in <u>NCSL case study on PA early childhood data system.</u>
7.	Who is qualified to request access to data?	→ All state education staff, students and parents, other stakeholders including public—if complying with defined and approved reasons for accessing and using data. • Type of data and whether unit-level or aggregated depends on identity, role and purpose for accessing data. • PDE's general policy for access by outside researchers is "the Department may not redisclose personally identifiable information to a third party researcher unless the researcher is acting as an 'authorized representative' of the Department, acting under the control of the Department as an employee, appointed official or contractor who is providing services that the Department would otherwise provide for itself." o PDE must have authorized the study and it must be conducted for or on behalf of the Department. o "That fact that an outside entity, on its own initiative, conducts a study which may benefit an educational agency or institution does not transform the study into one done 'for or on behalf of' the Department." (See PDE Student Data Access and Use Policy – <u>http://www.google.com/url?sa=t&source=web&cd=1&ved=0CBsQFjAA&url=http%3A%2F%2Fwww.dgs.state.pa.us%2Fportal%2Fserver.pt%2Fgateway%2FPTARGS_0_2_637118_0_0_18%2FPIMS_Data_Access_Policy.pdf&ei=0mJDTc2XO4a-sAOGo1nzCg&usg=AFQjCNGUNgZkyVuF9jBORDH8SUE6yM3QjQ)</u>
8.	Is there a formal policy or procedure for data sharing? Any governing legislation, policy, memorandum of understanding, etc.?	YES • Access to aggregated and individual-level data for many types of data users through secure-access portals. • Inter-agency agreements are used to set out and enforce terms of data sharing among state agencies for the purposes shown in 2 above. (See: PDE Student Data Access and Use Policy)

Details of Data Sharing Process for Research

#	Question	Details
1.	What is the process for requesting P-20 data (beyond what is available through portals)?	Contact PDE or early childhood department staff and submit request per instructions. • PDE indicates in their data access and use policy, "The Department will work with researchers with the goal that they receive the most meaningful data possible without the disclosure of information that would make any student's identity easily traceable." (See: PDE Student Data Access and Use Policy)
2.	How is the request reviewed and approved or denied? What criteria are applied?	• Requests are considered on a case-by-case basis by PDE administrator and staff to determine whether they are in compliance with state and federal laws and regulations.
3.	What restrictions and	• Any release of student data to researchers outside PDE is considered a loan of data, i.e., the recipients do not have

requirements are placed on the use and reporting of data? How communicated and enforced?	ownership of the data. • Researchers are required to supply a copy of any analysis or reports created with the data. • Researchers are required to destroy the data once the research is completed.
4. What protections are in place for protecting student confidentiality?	• Assignment of a unique identifier (PASecureID) – 10-digit number maintained for every Pennsylvania student such that only one student is ever assigned a particular number; the number is always associated with that student throughout the educational career or until leaving the state; a student is only ever assigned one number, preventing duplication. • Data security – Technical measures put in place by the State to make sure records "are not lost, stolen, vandalized, illegally accessed or otherwise rendered useless" including secure firewalls, secure socket layers, audit trails and physical security such as restricted room access; regular state and federal auditing. • Restricted access to student-level data, according to identity, role and purpose for data access (see details in Student Data Use and Access Policy). • Statistical security – As a general policy, individual student data will be aggregated to comply with required state and federal reporting. "When there is a risk of statistical disclosure such as in the case of narrowly defined or small populations, the Secretary of Education will enforce statistical cutoff procedures using a minimum confidentiality n of 10" or otherwise as necessary to maintain confidentiality. (See PDE Student Data Access and Use Policy)
5. How much time and cost are involved in requesting and receiving data?	• Time to approval and delivery of data depends on alignment with PDE research and policy priorities, and staff workload. • PDE "reserves the right" to charge "a reasonable fee" for the use of data by researchers to help offset the state's costs of collecting and storing the data. (See PDE Student Data Access and Use Policy)

Note: In October 2010, Pennsylvania received nationwide publicity for a major data breach of state public welfare and medical records. Even though the breach did not occur in any state education data system, a state legislator reacted to try to halt development of the education systems.

See:

Medical data breach said to be major
http://www.philly.com/inquirer/business/20101021_Medical-data_breach_said_to_be_major

Pa. suspend risky system that collects student data (editorial by Jeffrey Piccola, Republican, 15th senate district)
http://www.philly.com/inquirer/opinion/20101114_Pa__suspend_risky_system_that_collects_student_data.html

3

SLDS Examples from Other States

State: Texas

Organization(s): Texas Education Agency (TEA), Texas Higher Education Coordinating Board (THECB), Texas Education Research Centers (ERC)

Date of Snapshot: 2/14/2011

			Context
1.	Has the state implemented or is it developing a P-20 data system or warehouse?	Yes	Texas was one of the first states to develop centralized education data system for compliance and reporting. • By 2008, TX's original education data system needed to be upgraded—supported by a grant from Dell Foundation, Texas contracted with IBM Global Business Services for an extensive, stakeholder-based needs assessment, followed by a multi-year implementation that is ongoing. (See: http://ritter.tea.state.tx.us/tea/IBM_TDCARSI_Recommendation.pdf
2.	What are the main issues the P-20 system will enable the state to address?	→	• Use key data to better understand students' preparedness to contribute to the 21st century workforce. • Alleviate data collection burden on districts and improve data quality. • Build performance management culture that uses data to continuously improve performance.

3.	Does the P-20 system have sufficient linked data available to address the issue(s) in 2.?	Yes	• The longitudinal data system website and portal points of the education research centers show currently linked data resources: http://www.texaseducationinfo.org/tpeir/ , http://utaustinerc.org/?sid=5&pid=51#s5
			 • The system is continuing to develop and release data resources, with plans to release in the near future:
			  ○ student-to-teacher tracking information for PK-12
			  ○ SAT and ACT student performance data
			  ○ Education Research Center at Texas A&M - http://erc.cehd.tamu.edu/edprep.html
			  ○ National Student Clearinghouse information

4.	Are the data being used to address the key issues?	Yes	• Examples of longitudinal data being used to answer policy and performance questions can be seen at:
			  ○ Division of Accountability Research, TEA - http://www.tea.state.tx.us/acctres/dropcomp_index.html
			  ○ Education Research Center at University of Texas – Dallas: http://www.utdallas.edu/research/tsp-erc/
			  ○ Education Research Center at University of Texas – Austin: http://www.utaustinerc.org/?sid=4&pid=41
			  ○ Education Research Center at Texas A&M - http://erc.cehd.tamu.edu/edprep.html

5.	Who is obtaining data from the P-20 system?	→	• The TPEIR portal can be used by legislators, educators, parents and researchers to obtain data and reports. http://www.texaseducationinfo.org/tpeir/
6.	What kind of P-20 data are being used? - including degree to which personally identifiable, aggregate, linked, etc., are included.	→	• Data are available at all levels from the system at levels from unit-level to aggregate as appropriate for to data requestor and purpose. • An online inventory of available data systems and data elements is available from Texas Education Research Center system: http://www.utaustinerc.org/inventory.php
7.	Who is qualified to request access to data?	→	• A full array of education stakeholders are welcome to obtain information from the data system to address a wide variety of policy, performance and research questions. • Texas education research center (ERC) data may be used only for research projects specifically approved by the ERC Joint Advisory Board, and for investigative and analysis tasks upon direction of one or both JAB commissioners. (See: http://www.utaustinerc.org/files/Texas_ERC_Terms_and_Procedures.pdf)
8.	Is there a formal policy or procedure for data	Yes	• In 2008, state legislature directed Texas Education Agency and Texas Higher Education Coordinating Board to establish three state education research centers (ERCs), and added rules for ERC operation to state administrative

sharing? Any governing legislation, policy, memorandum of understanding, etc.?	code. (See: http://www.capitol.state.tx.us/tlodocs/793/billtext/html/HB00001F.htm) • Each ERC executes a three-party interagency cooperative contract with TEA and THECB embodying legal framework and administrative requirements for data sharing and security. • THECB is lead agency for maintaining data stores for each ERC, depositing data from TEA and other state education agencies, and preparing data for use by variety of stakeholders. (See: Texas FERPA Story, http://www.urban.org/uploadedpdf/1001267_texasferpastory.pdf)

Details of Data Sharing Process for Research

1. What is the process for requesting P-20 data?	• Researchers can request data through several portal points provided by the three Texas education research centers. • Researchers submit written requests for data review and approval, either through email or printed letter.
2. How is the request reviewed and approved or denied? What criteria are applied?	According to process publicized on the Education Research Center portal: • All requests for review and release of data are logged in ERC system. • All research results and products must be reviewed by the Director or Associate Director of the Texas ERC before release. (See: http://www.utaustinerc.org/?sid=5&pid=53)
3. What restrictions and requirements are placed on the use and reporting of data? How communicated and enforced?	• To obtain data online through ERC, researchers must apply for and obtain a University of Texas electronic identity (UT EID). • The restrictions and requirements are communicated through the ERC website and through written agreements specific to projects. • The terms are enforceable through documented agreements.
4. What protections are in place for protecting student confidentiality?	• Researchers must access the ERC data warehouse through approved, secure client workstations, either through use of a pre-obtained UT EID or through an ERC staff member. • Identifying data elements such as student names or ID numbers are re-mapped or removed to de-identify students within the ERC data warehouse. • Further requirements for preventing identification of individuals are set out in written confidentiality agreements signed by researchers—including a general guideline that any data cell with a composite size of less than five must be suppressed in any data released from the ERC. • Data users are required to go through training on protecting confidentiality and privacy.
5. How much time and cost are involved in requesting and receiving data?	• According to ERC website, under normal circumstances, review of requests will be completed in three to seven working days, with an expedited review possible upon special request. • Access to data through ERC client workstations must be scheduled on a first come, first served basis. • No cost for on-site access by researchers is set out.

2

The University of Texas at Austin Education Research Center

Confidentiality Agreement

between

The University of Texas at Austin Education Research Center and

_____

Researcher Name

for

_____

Research Project

As an associate of the Texas ERC, you have access to confidential data from the Texas Education Agency and Texas Higher Education Coordinating Board. By your initials and signature below, you acknowledge and agree:

_____ 1) that you have received a copy of both the Primary Contract (Interagency Cooperation Contract between The University of Texas at Austin, the Texas Education Agency, and the Texas Higher Education Coordinating Board) and The University of Texas at Austin Education Research Center Terms and Conditions for Using the Texas ERC,

_____ 2) to abide by the terms of the Primary Contract and the Terms and Conditions for Using the Texas ERC and its subordinate processes and procedures,

_____ 3) to access and use the Texas ERC data for only authorized research,

_____ 4) not to attempt to identify individuals or publicly release confidential data,

_____ 5) to ensure that all research conducted and all generated research products (papers, abstracts, PowerPoint presentations, etc.) using Texas ERC data are compliant with the Family Educational Rights and Privacy Act (FERPA),

_____ 6) never to remove unapproved confidential information from the physical or electronic workspace of the Texas ERC,

_____ 7) to request Texas ERC review and approval of all research products generated using confidential Texas ERC data, prior to any public release of those products,

_____ 8) to report, as soon as possible, any known or suspected breach of confidentiality, including the removal or inappropriate sharing of data, to the Director or Associate Director of the Texas ERC,

_____ 9) that access to the Texas ERC can be suspended based on any violation of this contract or risk of unauthorized disclosure of confidential information,

_____ 10) and grant permission for the manual and electronic collection and retention of security-related information, including photographic or videotape images, of your attempts to access the facility.

Signature: _____ Date: _____

Researcher

Signature: _____ Date: _____

Principal Investigator

Signature: _____ Date: _____

Dr. Pedro Reyes, Texas ERC Director

Signature: _____ Date: _____

Dr. Celeste Alexander, Texas ERC Associate Director

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