Exhibit 4
Agenda Item 3.a.

Delaware P-20 Council
Data Governance Handbook

Approved by
Delaware P-20 Council
January 10, 2011

Contents

1   Introduction

1.1   Purpose and Overview

The purpose of this document is to provide the Delaware P-20 Council with a framework for interagency data governance pursuant to the requirements of House Bill 213, which authorizes the P-20 Council to conduct studies for on behalf of the Delaware Department of Education (DDOE) when inter-agency data elements or data elements from external institutions or entities are required.

1.2   Mission of the Delaware P-20 Council

The Delaware P-20 Council was established in 2003 by Governor Ruth Ann Minner's Executive Order 47 and placed in statute in 2005.   The P-20 Council is an inclusive organization designed to align Delaware's education efforts across all grade levels. Its main goal is to establish a logical progression of learning from early childhood to post-secondary education while reducing the need for remediation (http://www.doe.k12.de.us/infosuites/ddoe/P20council/default.shtml).

14 Del. C. §107(a) charges the P-20 Council to "coordinate educational efforts of publicly-funded programs from early care through higher education and to foster partnerships among groups concerned with public education." Further, "the P-20 Council shall make recommendations designed to ensure a more integrated, seamless education system that enables children to enter school ready to learn, receive challenging instruction throughout their school careers, graduate from high school ready for college and careers and continue their education through postsecondary study in a way that makes them productive and successful citizens."

1.3   Table 1 - Important Terms

A number of terms will be used throughout this document that may be unfamiliar. Below is a list of terms and their definitions for your reference.

Term	Meaning
Database	A structure and mechanism for the storage, description and management of discrete data elements and bodies of information. Collections of specialized data elements also could be referred to as a "data mart" or "data cube,"
Data Dictionary	A system and/or document to keep track of the data elements within an organization and the metadata for all of the elements contained in a specific database.
Data Element	Name of a discrete piece of data.
Data Governance	A combination of policies, organizational roles and responsibilities, committees, workgroups, charters and job descriptions that collectively describe how decisions are made, monitored and enforced regarding the management of an organization's data.
Data Steward	The employee assigned responsibility for the data related to a specific program area. The Data Steward is accountable for and/or assists with the analysis, quality, and use of the data as well as documentation of appropriate metadata.

Term	Meaning
Metadata	Metadata is data about data, or data that describes or provides information about one or more aspects of data contained in a particular data collection or repository. Examples of metadata would be the how the data in a dataset was created, the purpose of the data, the time and date of the creation of the data, creator or author of the data, network location of the data and the standards that apply to the data and data elements.
Postsecondary	A term used to describe education beyond the secondary level.
Subject Matter Expert	An individual with significant experience, responsibility, and knowledge of agency- or institution-specific data relating to an agency or institutional subject or dataset.
Research Agenda	A roster of research questions that require shared data elements and subject to periodic review and revision. Research questions may reflect federal and state reporting requirements or may be discretionary.

2   Delaware P-20 Council Data Governance Model

2.1   Model

The Delaware P-20 Council's data governance structure reflects a two-tiered model that has as its objective the implementation of the P-20 Research Agenda. The implementation of the P-20 Research Agenda is carried out in a hierarchical manner. The P-20 Executive level sets the Research Agenda. At the P-20 Council Sub-Committee level, the Data Governance Coordinator coordinates agency and institutional staff identified by the P-20 Council for data collection and analysis in response to the research questions on the Research Agenda. Problem resolution including issues, questions, and recommendations move up the model while the implementation of the Research Agenda moves down.

2.2   Figure 1 - Delaware P-20 Data Governance Model
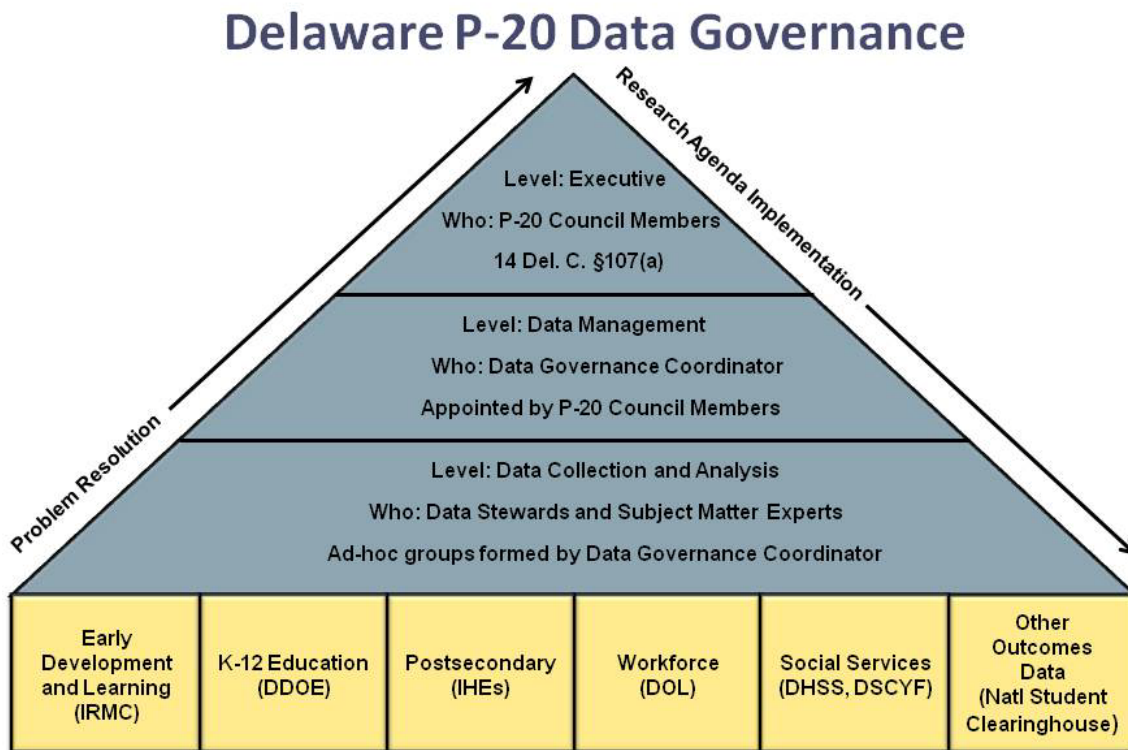
3   P-20 Council Role and Responsibilities

3.1   Role

The P-20 Council's role in interagency data governance is primarily to:
1. Provide leadership and approve policy for interagency data governance.
2. Establish a Research Agenda.

3. Develop a roster of agency and institutional staff available to assist as needed in carrying out the Research Agenda.

Data governance policies will be recorded in the Data Governance Handbook, which should be reviewed periodically. The policies reflected in the Data Governance Handbook should both secure data and facilitate the P-20 Council's use of data to evaluate federal, state or local education programs, enforce or comply with federal or state legal requirements relating to those programs, or to conduct studies for or on behalf of the Delaware Department of Education.

3.2 Figure 2 - Role-Based Model for Delaware P-20 Data Governance
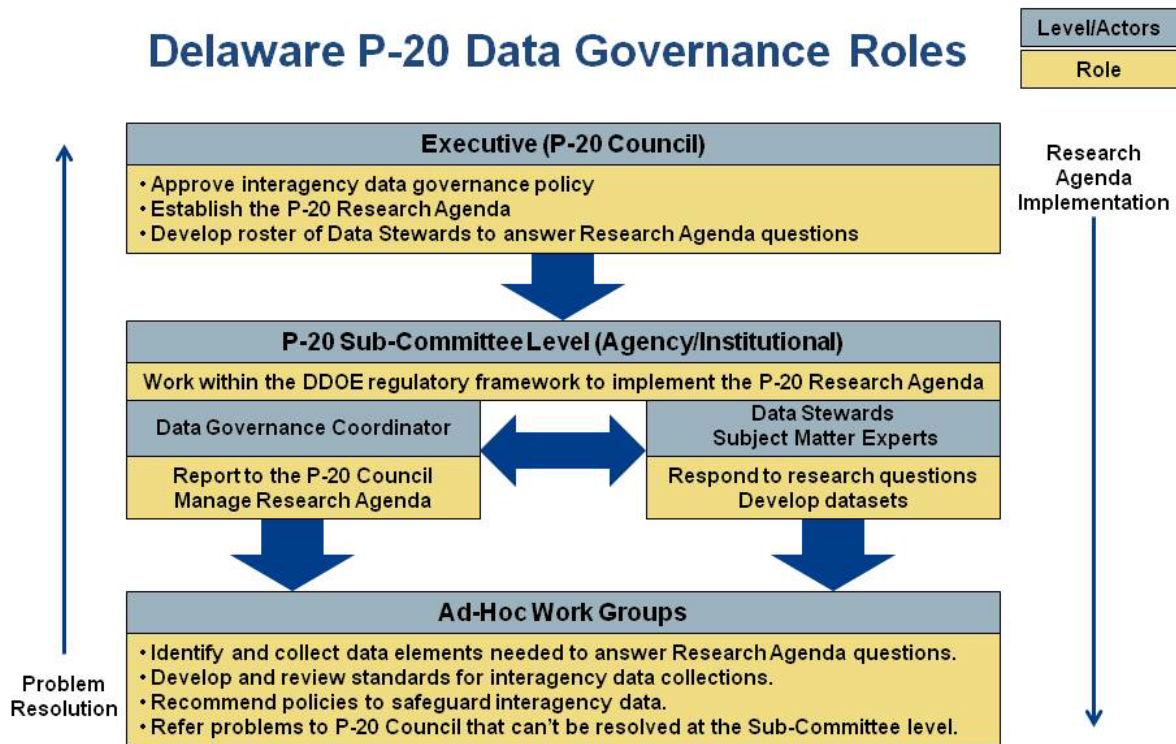
3.3 Scope and Responsibility

The scope of data governance responsibilities for the P-20 Council applies to member-agency data collected and stored to answer questions identified by the P-20 Council's Research Agenda. Responsibilities include:

- Preparing and maintaining the Research Agenda.
- Appointing a Data Governance Coordinator.
- Establishing a pool of Data Stewards and Subject Matter Experts from which the Data Governance Coordinator may draw to serve on ad-hoc committees consistent with the Research Agenda. Ad-hoc committees will be convened to address specific research question(s) from the Research Agenda or to address issues of overall data quality and administration related to the use of interagency data elements in a statewide longitudinal data system.
- Approving policy and collaborating on regulations for the proper use and management of data elements collected to answer Research Agenda questions.

- Serving as the ultimate authority for problem resolution including issues, questions and recommendations from the Data Governance Coordinator.

3.4 Membership

Membership on the Delaware P-20 Council is specified in 14 Del. C. §107(b):
- Secretary of Education, Co-Chair
- President of the State Board of Education, Co-Chair
- Presidents, public institutions of higher education
- Presidents, institutions of higher education offering degree programs in education
- Chair of the Delaware Early Care and Education Council
- Chairs of the House and Senate Education Committees
- Representative of the Governor's Office
- Chair of the Business Roundtable Education Committee
- Executive Director of the Delaware State Chamber of Commerce
- Secretary of the Department of Labor
- Secretary of the Department of Services for Children, Youth and their Families
- Secretary of the Department of Health and Social Services
- Chief of the Delaware Chief School Officers Association
- President of the Delaware State Education Association
- President of the Charter School Network

The Co-Chairs may also establish sub-committees as needed and determine sub-committee membership (14 Del. C. §107(c)).

Delaware P-20 Council members (or their designees) meet quarterly.

3.5 Data Governance Guiding Principles

In order to discharge data governance responsibilities P-20 Council members are accountable for:
- Ensuring that a true statewide focus is maintained rather than an individual agency view.
- Advocating for processes and regulations that both secure data and promote its use in order to answer critical policy questions.
- Developing a Research Agenda with clearly stated research questions and deliverables linked to those questions.

3.6 Goals and Objectives

The goals of the P-20 Council with respect to data governance include:
- Ensuring the availability of interagency data to evaluate publicly-funded education programs.
- Ensuring compliance with federal and state privacy laws.
- Safeguard interagency data including any used to populate an education statewide longitudinal data system.
- Reviewing the Data Governance Model periodically to ensure effectiveness
- Holding the Data Governance Coordinator accountable for progress on Research Agenda data collections or projects.

3.7 Data Governance Policy Decision Making Process

- Each member will have one vote
- A majority vote of those in attendance constitutes approval of an action (Article IV, P-20 Council Bylaws).
- The Council members or designees present constitute a quorum for the approval of action or adoption of policy regarding data governance (Article IV, P-20 Council Bylaws).

4   Data Governance Coordinator

4.1   Role

The P-20 Data Governance Coordinator assumes primary responsibility for the implementation of the P-20 Council's Research Agenda and reports to the P-20 Council on the status of research questions and any related deliverables.

4.2   Goals and Objectives

The goals and objectives of the Data Governance Coordinator are:
- To ensure the P-20 Research Agenda is implemented with fidelity.
- To coordinate agency and institutional Data Stewards and Subject Matter Experts as needed to respond to research questions and/or to develop and review standards for data collections.
- To keep the P-20 Council informed as to the status of Research Agenda items.

4.3   Data Governance Coordinator Guiding Principles

In order to ensure P-20 Council data projects are completed, the Data Governance Coordinator should:
- Ensure that a true statewide focus is maintained rather than an individual agency view.
- Recommend policies, processes and/or regulations that both secure data and promote its use in order to answer critical policy questions.
- Ensure compliance with federal and state privacy laws and that all regulatory requirements are followed.

4.4   Data Governance Coordinator Scope and Responsibility

- Communicate to the P-20 Council the progress and status of Research Agenda questions.
- Develop ad-hoc groups from a P-20 Council-provided roster of agency and institutional Data Stewards and Subject Matter Experts to respond to Research Agenda questions or groups of questions or to develop and review standards for data elements collected to populate any state education longitudinal data system.
- Develop in conjunction with data stewards processes to ensure the accuracy and security of shared data.
- Document appropriate metadata and develop a data dictionary in collaboration with agency and institutional Data Stewards.
- Participate in national data conferences and member associations to stay abreast of best practices.
- Serve as the main point of contact for interagency data topics.
- Identify, track and resolve critical shared-data issues and escalate problems to the P-20 Council when necessary.

4.4.1   Ad-hoc Work Groups

The Data Governance Coordinator will have the ability to create ad-hoc work groups of agency and institutional Data Stewards and Subject Matter Experts from any of the participating organizations as needed to respond to Research Agenda questions. Agency or institutional Data Stewards and Subject Matter Experts are designated by P-20 Council members on the Data Steward and Subject Matter Expert Roster.

4.5   Decision Making Process

The P-20 Council is the final authority on issues escalated to them from the Data Governance Coordinator.

5   Appendix 1 – Agency/Institutional Data Administration and Governance Models

This section includes examples of agency- and institution-specific data governance. These models are offered as information to aid and inform the P-20 Council and agency and institutional Data Stewards of the scope and content of other data governance policies as they seek to develop policies appropriate for an interagency data-sharing environment.

5.1   Delaware Department of Education
     Technology Resources and Subgroup Charter and Proposed Subgroup Organization Chart
     Technology Resources and Data Development

Technology Resources and Data Development Workgroup
Data Administration Sub Group Charter

5.1.1   Purpose

The Data Administration sub group is responsible for planning, oversight, management and execution of the intra-agency governance practices within the Delaware Department of Education. Data Administration provides control over the business practices used to collect, validate, store and disseminate data important to the DDOE mission.

5.1.2   Critical Success Factors

There are six significant factors critical to the success of the DOE Data Administration function. Each factor is measured and tracked as part of an annual information management planning process.

- Accurate and timely data is available to support decision-making and reporting throughout the DOE organization. The right data must be available to the right people, when it is needed.
- Data standards exist for critical management and reporting subject areas (core subject areas).
- Data standards are documented in a data dictionary, and are well understood by stakeholders and data users.
- Fragmentation and redundancy of data are minimized. There is a single source for core subject area data and theses sources are used in all new and existing systems.
- Automated and manual processes exist to identify, track and correct data quality conditions. Data quality status is frequently communicated to system users.
- Data is only shared when both parties understand who will be using the data, how the data will be used, and how privacy will be protected.

5.1.3   Organization

The data administration organization is shown in Figure 1. The Data Administrator reports to the Director of Technology Resources and Data Development, and manages the Data Administration Sub-group. This group is responsible for day-to-day data administration activities, and is supported by a working group comprised of data stewards within TRDD.

The Education Insight Data Management Group, comprised of program managers who are the owners of the department's data assets, provides program policy and direction for the data administration function. The Director of TRDD chairs this group. There is a close working relationship between the data owners and the data steward for each core data subject area.

5.1.4   Background

Historically, data administration within the TRDD has been the job of each individual having data stewardship responsibilities. Technical staff are required to be aware of applicable policies and procedures and to apply them correctly in their day-to-day activities, while oversight of the policies is

just one of many responsibilities of the TRDD director. To meet expected future demands introduced by the development of the Insight Data Warehouse, a more formal data administration structure is needed, along with operational management of the data administration function.

The successful implementation of the warehouse will require extensive collaboration between The Technology Resources and Data Development workgroup and program managers throughout the department, as data from eSchool and twenty-three longitudinal databases are brought together into a single, integrated system.

As data is prepared for integration, each element will need to be examined for completeness, validity, and accuracy. More importantly, the database as a whole will need to be evaluated to ensure that current and future program needs for reporting and policy analysis are being addressed. Along the way, decisions will need to be made about the inclusion of specific data sets in the warehouse and everyone will need to work quickly to resolve data quality issues as they are identified.

5.1.5   Scope and Process

Data administration processes are controlled thorough the information management plan, which is updated annually as part of the DDOE budget process. The planning process involves an analysis of exiting systems and progress against the critical success factors; identification of legislative, administrative and management priorities; identification of goals and objectives for the upcoming year; and the development of action plans to address the goals and objectives.

Operationally, the Data Administration sub group is responsible to:

- Evaluate requests for the development of new systems or changes to existing ones to ensure that data administration standards are being addressed.
- Collaborate with data owners around issues of reporting, data management and regulations that constrain data management practices.
- Review data sharing requests and the development and execution of memoranda of understanding that establish the terms and conditions of the sharing.
- Maintain an inventory of existing systems and the data owners and stewards responsible for these systems.
- Oversee and track data quality assurance processes to ensure that issues are being resolved in a timely manner.

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- Review data sharing requests and the development and execution of memoranda of understanding that establish the terms and conditions of the sharing.
- Maintain an inventory of existing systems and the data owners and stewards responsible for these systems.
- Oversee and track data quality assurance processes to ensure that issues are being resolved in a timely manner.
- Champion data administration policies and practices

5.1.6 Figure 3 - Proposed Data Administration Organizational Chart, Delaware Department of Education Technology Resources and Data Development Work Group

DDOE TECHNOLOGY RESOURCES AND DESIGN PROPOSED SUBGROUP DATA ADMINISTRATION (ROLE-BASED)
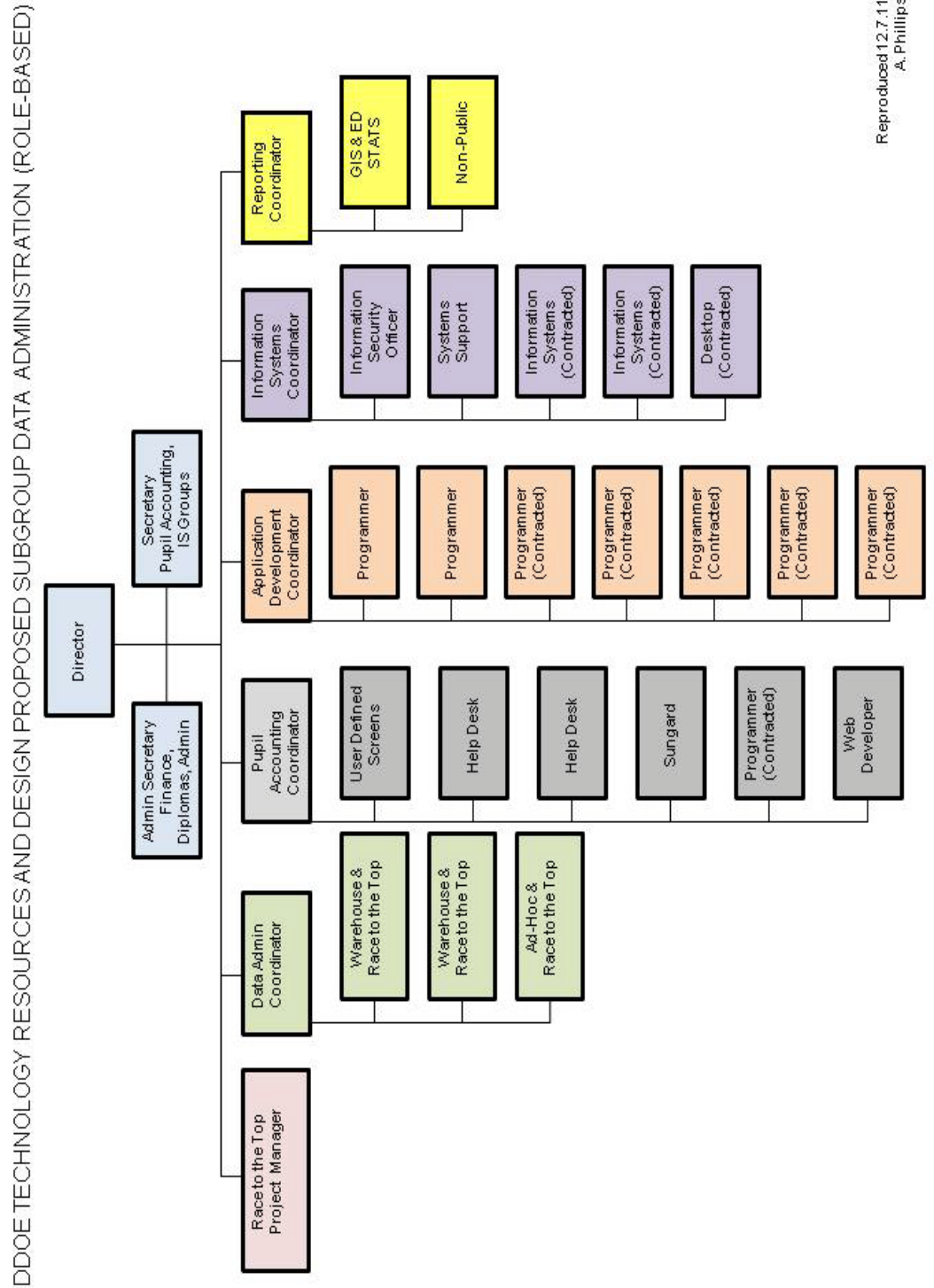
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A. Phillips

6   Appendix 2 – Sample Research Agenda Questions

6.1   Jeff Sellers, Consultant, SLDS Support Team, U.S. Department of Education

Questions that lend themselves to P-20+ data:
- PK:
    - How ready are students as they enter Kindergarten (based on PreK assessment)
    - Of those who participate in PreK programs, are they better equipped for elementary school (based on performance on 3rd grade assessments)
- K-12:
    - How ready are students when they graduate from high school and continue into postsecondary (based on college readiness assessments)
    - How many students continue on into postsecondary
        - How long of a break do they take between high school and higher education
    - What other outcomes (where else do students go when they leave high school), employment, public assistance, incarceration, military
    - What high school course taking schedules best prepare student for higher education
    - What grade is the best to take Algebra I
    - Teacher evaluation based on student performance
    - Evaluation on teacher preparation programs and certification pathways
    - When teachers leave the profession, where do they go
    - How do teacher salaries compare to their peers
    - What makes an effective teacher
    - How aligned is the high school curriculum to postsecondary
- Postsecondary:
    - Upper division feedback reports (how many community college (AA recipients) students progress into the upper division in a university
    - The impact of accelerated learning mechanisms (AP, IB, dual enrollment) of facilitating students attaining a BA degree quicker
    - Time to degree
    - The impact of employment on persistence in higher education
- Employment:
    - Earnings based on highest attainment
    - Other outcomes (public assistance, incarceration, military) based on highest attainment
    - Employment in field of study

6.2   Alaska

The following is a list of questions *Alaska* put together to help drive the requirements for a P-20 data warehouse:
- How many and which students are progressing through an education program/system to achieve college, workforce, and life readiness?
- What are the migration rates and patterns for Alaskans accessing postsecondary programs outside of Alaska and subsequently returning to Alaska?
- Of those Alaskans who receive education services from Alaska secondary and postsecondary institutions, how many remain in the state and contribute to the economy?
- Of those Alaskans who participated in and exited Alaska secondary or postsecondary institutions without credentials, how many are within three or fewer semesters to completion and what are their employment status and income?
- What is the impact of financial aid on college access and success?

- How effective are specific interventions and strategies to increase the rate at which students/citizens, particularly those from low income families, progress through an education program/system to achieve college, workforce, and life ready?
- How do Alaska's postsecondary institutions' educational program productivity and capacity align with Alaska's current and anticipated workforce needs?
- What is the private/public return on private/public investment in education?

6.3 New Mexico

The following is a list of questions _New Mexico_ put together to help drive the requirements for a P-20 data warehouse:

- Connect student records from prekindergarten through postgraduate education;
- Connect public school educator data to student data
- Match individual public school students' test records from year to year to measure academic growth, including student-level college and career readiness test scores
- Report the number and percentage of untested public school students by school district and by school and by major ethnic group, special education status, poverty status and gender
- Report high school longitudinal graduation and dropout data, including information that distinguishes between dropouts or students whose whereabouts are unknown and students who have transferred to other schools, including private schools or home schools, other school districts or other states
- Provide postsecondary remediation data, including assessment scores on exams used to determine the need for remediation
- Provide postsecondary remedial course enrollment history, including the number and type of credit and noncredit remedial courses being taken
- Report postsecondary retention data that indicate whether students are returning the second fall term after being enrolled as full-time first-time degree-seeking students
- Report the New Mexico public high schools on their students who enroll in a public postsecondary educational institution within three years of graduating or leaving the high school regarding freshman-year outcomes
- Provide postsecondary student completion status, including information that indicates if students are making annual progress toward their degrees
- Include data regarding students who have earned a general educational development certificate in reporting postsecondary outcomes
- Report data collected for the educator accountability reporting system
- Report prekindergarten through postgraduate student-level enrollment data, demographic information and program participation information
- Report prekindergarten through postgraduate student-level transcript information, including information on courses completed, grades earned and cumulative grade point average
- Connect performance with financial information
- Establish and maintain a state data audit system to assess the quality, validity and reliability of data
- Provide any other student-level and educator data necessary to assess the performance if the prekindergarten through postgraduate system

6.4 Wyoming

Wyoming Statewide Data System Task Force – Examples of Questions That Could Be Answered by a Comprehensive SLDS
- *Why are we doing this?*
- *Are there gatekeeper competencies/courses that predict success in post-secondary study*
- *Remediation rates*

- o *What factors contribute to need for remediation?*
- o *What happens after they take these classes?*
- *Preschool experience that impact success in K-12 system?*
- *Study individuals through the transitions (from preschool to K-12; from K-12 to post-secondary/employment)*
- *Ties to work force*
  - o *How many stay in Wyoming?*
  - o *Do they make higher salaries?*
- *Accountability*
  - o *$ investment and success*
- *Teacher effectiveness tying it to post-secondary preparation*
  - o *Data vs. intangibles*
- *State's investment in Hathaway scholarship*
  - o *Where did these students end up/are they successful*
- *Are we producing or bringing in the professional workforce in Wyoming?*
- *Where are our graduates working (nursing)?*
  - o *Are they working in fields related to their area of study?*
- *Looking at variables from different perspectives*
- *Making more research data available*
- *Identify movement of students (unduplicated counts)*
- *Provide forecasting information (changes in student levels and how it affects higher ED or workforce)*
- *Potential for linkages to a wide range of state and federal systems*
- *Students taking concurrent enrollment courses – are these students as prepared?*
- *Could some helpful information be provided by the SLDS as to whether the success curriculum currently in legislation is the best possible program? How do students taking the curriculum compare to those who are not.*
- *Student course-taking patterns*
- *Are there gains in Hathaway scholarship access for students of lower socio-economic groups or first-generation students?*
- *How many students are working while attending school? Full-time or part-time?*
- *Life-long learning habits – do they have to go out of state to get training?*
- *Preparedness for K-12 through pre-K programs*
- *Does educator education/training/certification level impact student success?*

6.5   Maryland

Maryland's "Killer Questions" include:

- Are Maryland students academically prepared when they enter high school?
- Are Maryland students academically prepared to graduate high school and enter college?
- Are Maryland-trained teachers effective in the classroom?
- Is the school leadership in Maryland schools effective in improving student and teacher performance?
- Are Maryland college students academically prepared to complete their college programs and to do so in a timely manner?
- Are graduates of Maryland colleges prepared for employment and in what type of jobs?
- What elements of a teacher's education lead to greatest success?
- Are Maryland's schools and colleges preparing the workforce for the jobs of the future?

6.6   Ohio

The following is a list of questions _Ohio_ included in their SLDS Strategic Plan:

EARLY CHILDHOOD EDUCATION

1. What information about a child's early learning experiences is a good predictor of success in kindergarten and beyond?
2. What student information in later years can be used to measure the effectiveness of early childhood education providers?

EDUCATOR QUALITY AND EFFECTIVENESS
3. What information can illustrate the effectiveness of a classroom teacher?
4. What are the implications for students that are in classrooms of highly effective teachers or highly ineffective teachers for multiple years?
5. What information can illustrate the effectiveness of a building principal?
6. We information can be used to ascertain the effectiveness of educator preparation program at Ohio colleges or universities? What information can be used to support improvement work at these institutions?

EFFECTIVE BUILDINGS
7. What are the long term implications for students who are educated in highly effective buildings, or ineffective buildings?
8. What factors contribute to a building being considered highly effective or ineffective (school climate, sense of team among staff, engagement with community, etc.)?

STUDENT ACHIEVEMENT AND PROGRESSION
9. What early indicators illustrate a child's readiness to transition from elementary school to middle school?
10. What early indicators illustrate a child's readiness to transition from middle school to high school?

COLLEGE READINESS AND PARTICIPATION
11. What indicators illustrate a high school student's readiness for college?
12. How does information about a student's performance in college connect back to the student's preparation in high school? That is, what high school courses/conditions support a student's likelihood to succeed in college?
13. What other post-secondary education data (apprenticeship programs, career-technical education programs) can also help identify early indicators of post-secondary success in high school?
14. What percentage of students go on to pursue a post-secondary educational experience?
15. What are the implications of a lag between high school graduation and post-secondary enrollment?
16. For students that come unprepared for post-secondary level courses, what remediation strategies work best to prepare students for success?

COLLEGE SUCCESS AND COMPLETION
17. What early indicators exist that can be used to predict the likelihood that student will complete their post-secondary education?
18. What strategies and intervention have the greatest success in helping at-risk students get to credential completion?

WORKFORCE SUCCESS
19. What are the workforce outcomes for students that succeed in various post-secondary educational programs (apprenticeship, certificates, associate's degree, bachelor's degree, etc.)?
20. What are the workforce outcomes for students that do not achieve a post-secondary credential?
21. What are the workforce outcomes for students that drop out from high school?

7   Appendix 3 – Data Sharing Agreement Examples

7.1   Data Sharing Agreement Template

STATE DEPARTMENT OF EDUCATION
DATA SHARING AGREEMENT
BETWEEN
THE STATE DEPARTMENT OF EDUCATION AND
NAME OF REQUESTOR/PRINCIPAL INVESTIGATOR OR
REQUESTING ORGANIZATION

Control Number: Assigned by the agency, same number as assigned to the Requestor's application

Note: This template is intended to be the basis of a legally-binding agreement. It is suggested that the agreement, to the degree possible, be written in plain language so that the intent and requirements are unquestionably clear. However, the agreement will need approval of the agency's legal counsel and there may be administrative or state requirements in addition to or other than what is suggested below. Organization of the agreement may have to conform to agency requirements as well.

A. INTRODUCTION

An introductory section provides background considerations that established the basis for any process, including a research proposal whereby student-level data are provided- effectively loaned - to a requestor. Considerations include:

- Addressing requirements of pertinent federal or state legislation
- Responding to an executive, legislative, or state board research agenda/issue
- Responding to an agency request for applications, proposals, or demonstration of capabilities
- Proposing research that is of interest to the state's system of education
- Developing a methodological process for calculations, report design
- Testing technical issues such as business rules associated with linking data across agencies and time

The parties to the agreement should be introduced as organizations which have entered into this agreement to address a consideration such as those referenced above. The requestor/requesting information should match that originally provided in Section II of the approved research application.

The accepted project proposal and any modifications pertaining to it should be included as reference attachments to the agreement and by reference should be considered as a part of the agreement. An abstract or summary of the proposed agreement may be included in the introductory section as it appeared in the accepted research proposal section III.a.

B. PURPOSE

The purpose section provides a basis for limiting the use of data provided by the SEA through the agreement. The section outlines all intended and agreed upon objectives that are to be addressed through the agreement. The verbiage for this section should match what is included in Section III.b of

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the approved research application and should include all of the anticipated objectives of the research including direct services to the Department and state educators.

With the objectives stated, this section should close with language that directs the recipient of the data to limit its use to support of the objectives of this agreement. It should also direct the recipient to inform and seek approval from the agency for any substantive changes in the objectives which expand the agreed upon purposes which could affect uses of the data or duration of the project.

C. JUSTIFICATION

This section includes the rationale for conducting this research using confidential student data as stated in the agreed upon research proposal, Section III.c. It may also reference legal authority from state or federal law. Additional statements should be included that describe the benefits to be gained by the participating parties to the agreement from Section III.d and III.e of the proposal.

D. IMPLEMENTATION

This section outlines the action steps that will be taken to implement the agreement. It provides details as to the timing and sequence of steps. Details should be provided as to the secure transfer of data files from the agency to the requestor.

In some cases, an agreement may be contemplated as being implemented through a system of approved work orders. Such agreements are common with the College Board and ACT. In such cases, an attachment to this agreement should include the template for work orders. This section should outline any basic requirements for the work order process..

E. TERMS AND CONDITIONS (aka. Security and Access, or Student Records; Security, Privacy Protection, and Public Access)

This section spells out all conditions and expected practices that will be observed in handling student level data provided by the SEA. It may include specific statements required in state or federal law. This type of section requires particular attention by agency legal counsel. The section should include provisions that limit who can view and handle data, assurance that those involved are fully briefed and sign off on confidentiality provisions, and other security measures. This section may include references to security practices outlined in Section V of the research proposal. The following statements are often included typical in SEA agreements, though specific language and the order of their appearance may vary.

2. These data are provided for the sole purposes of this agreement. This agreement does not constitute a release of student-level data for the requestor's discretionary use, but may be accessed only to carry out the responsibilities throughout the duration of the project specified herein. Any additional ad hoc analyses or other uses of the data, or maintenance of data files beyond the terms specified in the agreement is not permitted without the expressed written approval of the SEA.
3. Student-level data provided through this agreement will neither be publicly disclosed nor used to affect the rights, privileges, or benefits of individual students. The requestor shall abide by applicable state and federal laws and guidelines such as those referenced in the Institute for

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Education Sciences State Longitudinal Data System Technical Brief 3, "Statistical Methods for Protecting Personally Identifiable Information in Aggregate Reporting" (NCES 2011-603) when displaying data in public reports. Publicly reported aggregations of data will contain no groupings of data fewer than <XX> students.

4. When the data files provided pursuant to this agreement are no longer needed to support the purposes of this agreement, all information which is at the student-level shall be destroyed and the agency shall be informed of its destruction using the Certificate of Data Destruction Template included as an attachment to this agreement.

5. Electronic files provided by the SEA to (requestor) contains information as to "pupils" or "students" as defined in Section XXXX.XX of State statutes and in the federal Family Education Rights and Privacy Act (FERPA – reference 20 U.S.C. 1232g). Therefore the following provisions will be observed:

   a. The Requestor will limit access to data files provided pursuant to this agreement to employees or contractors referred to in Section II.e of the accepted proposal and will provide any changes – additional staff or reassigned and terminated staff – as amendments to this agreement to the agency.

   b. The Requestor will assure that employees and contractors accessing data files provided pursuant to this agreement receive and sign-off on written instructions per the Personal Access Acknowledgement Template attached to this agreement.

   c. If the processing requirements for the purposes for which the data file was sent does not require personnel to print, display, or otherwise personally view the contents of the file, they shall refrain from doing so.

   d. If in meeting the purposes for which the data file was sent requires personnel to print, display, or otherwise personally view the contents of the file, the personnel will do so in a manner that prevents the disclosure of the contents of the file by personnel not involved in the process.

6. Each data file provided by the agency to the requestor containing student-level data and each printed copy of such information shall be stored in a secure location such as locked desk or file cabinet except when in use for the purposes for which it was provided. Each automated file shall be stored in secure computer facilities with strict data processing controls.

7. Under no circumstances shall either party provide data developed pursuant to this agreement to any third party not specifically named in this agreement or to any entity or person ineligible to receive student level data or prohibited from receiving such data by virtue of a finding under 34
CFR S.99.31 (a)(6)(iii).

8. If the requestor detects a breach or possible breach in the security processes adopted in support of this proposal, the requestor shall give the agency within one business day of discovering the breach and the actions being taken to ameliorate the cause of the breach.

9. The requestor agrees to provide the agency with any proposed publications or presentations which are intended to make public any findings, data, and results developed pursuant to this agreement for the agency's review at least XX days prior to the anticipated publication or scheduled presentation. Public release will not occur until the release if agreed to by the agency.

F. DURATION (or the Term of the Agreement)

In no case should an agreement be of indefinite duration. The beginning and end dates should be specified with at least two stipulations:

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DRAFT – NOT FOR DISTRIBUTION OR CITATION – DRAFT

1. The agreement may be terminated by either party prior to the end date upon the written notice of either party. Thirty days notice is common.
2. Modifications can occur which change the duration if both parties agree. In some cases, there are provisions that allow a specific extension- such as one year, upon satisfactory performance. Occasionally such extensions can be automatic as long as they are agreed to by the parties.

G. REIMBURSEMENT OF COSTS

If there are costs to be recovered through the provisions of the agreement, they should be specified. If a specific amount cannot be calculated, the means for their calculation and any outside limits should be stipulated. If there are requirements for billing at specified project points, they should be specified as well.

H. CONTACT POINTS

Key personnel who have detailed knowledge about aspects of the agreement from both parties should be identified. The electronic and postal service mailing addresses should be included as well as telephone numbers and e-mail addresses.

I. APPROVALS

Legally responsible officials representing all key parties to the agreement should sign the agreement. In some cases this may include the agency head, the Chief Information Officer, the Chief Security Officer, and/or the Chief Financial or Administrative Officer.

ATTACHMENTS

A. Approved research Proposal
B. Proposal Modifications
C. Work Order Formats if required
D. Personal Acknowledgement for Authorized Personnel
E. Data Destruction Template
F. Modification Template

8 Appendix 4 – Revision History

8.1 General

Name	Date	Reason For Changes	Version

8.2 Related Documentation

Name	Date	Document Title	Comments

8.3   Important Terms (Additions)

Term	Definition

8.4 Delaware P-20 Council Data Governance Participants

P-20 Council	Data Stewards	Data Owners/SME

9   References

Sources for some of the concepts used in this document originated from:

Data Governance Program Handbook (Jeff Sellers, August, 2011)

Delaware Department of Education Insight Data Administration and Governance Brainstorming Session (February 1, 2011)

Delaware Department of Education Technology Resources and Data Development Workgroup, Data Administration Sub Group Charter (n.d.)

Delaware Department of Education Data Governance Program (Bruce Dacey, August 4, 2010)

Kansas State Department of Education Data Governance Program Handbook Version 3.0 (n.d.)

Tennessee State Department of Education Data Manager Manual Version 1.0 (n.d.)

Role Descriptions and Responsibilities in the Realm of Data Governance: Managing Information Assets, Rick Rozzelle, Center for Educational Leadership and Technology (CELT) on Behalf of the Tennessee Department of Education (February 25, 2008)