

MEMORANDUM

To: External Researchers
Re: Applying to MI to use MCER data for research
Date: **February 20, 2013**

Objective: The objective of this memo is to outline the process by which researchers who are not affiliated with MCER can apply to use the state data for their own work. This process is applicable only to those who are *not* affiliated with MCER.

Resources: Documentation outlining the process to apply to use these data can be found on the Center for Education Performance and Information (CEPI) website:

<http://www.michigan.gov/cepi/>

Applicants must complete the “Appendix: Human Subject Review Application” form, a seven page document. This document is located in the “Application Materials” box at the top of this webpage.

Process: The process to apply to use these data is outlined in the “Appendix: Human Subject Review Application:”

- a. Applicant must submit a letter on personal, university or organization letterhead, stating the objectives of the proposed research project;
- b. Applicants must complete a Human Subject Review application. This portion of the document includes questions about the purpose, scope, and time-frame of the proposed study, as well as the plan to secure the data;
- c. If additional investigators (other than the applicant/principal investigator) will be using the data, a Request for Additional Investigators form must be completed. If this is not the case, the portion of the form may be left blank.
- d. The applicant can submit these application materials to Melissa Bisson at CEPI (bissonm@michigan.gov) or Trina Anderson at CEPI (andersont1@michigan.gov).



Confidential Data Request Application

SAMPLE ONLY

Questions may be submitted to:

The Research Collaborative Internal Review Board

c/o Thomas E. Howell
530 West Allegan Street, Seventh Floor
Lansing, MI 48913
Voice: (517) 241-2374
Fax: (517) 335-0488

E-mail: HowellT@michigan.gov

Confidential Data Request Application

Overview

Pursuant to the Michigan Education Information System (MEIS) Data Access and Management Policy (available at <http://www.michigan.gov/cepi>), researchers with a legitimate educational interest may submit this *Confidential Data Request Application* to request access to data at Level 3. At this level, only Personnel Identification Codes (PICs) and/or student Research Identification Codes (RICs) are available. In reviewing requests for data by researchers external to Michigan's Center for Educational Performance and Information (CEPI) and/or the Michigan Department of Education (MDE), consideration is given to access permitted by statute and federal law, privacy concerns, security procedures, the availability of staff to monitor the data release, and the perceived benefits of the research. In all cases, the benefits to the use of the individual record must outweigh potential risks of personal identification. Data requests apply to that MEIS data which is accessible under Level 3 of the MEIS Policy. No formal, written request is required for research on any publicly accessible data identified under levels 4 and 5.

Requirements for Access

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Entities seeking access to data in the MEIS Warehouse must first meet the overarching requirements of: 1) conducting research and 2) the research has legitimate educational interest. **Research** is defined as a formal investigation designed to develop or contribute to generalized knowledge. For these purposes, **legitimate educational interest** is defined as an endeavor meant to further the understanding of educational practices, methods, and/or theory that is expected to be analyzed through formal, accepted research practice and the results of which will be disseminated in such a manner as to benefit the educational community and/or public in general.

Once these requirements are met, entities seeking access to data in the MEIS Warehouse are required to submit their request on organization/personal letterhead stating the nature of the research. A completed *Confidential Data Request Application* must accompany the request. If this research requires Institutional Review Board (IRB) approval, this approval must be obtained, in writing, prior to submitting the *Confidential Data Request Application* and a copy of the approval letter must be attached.

Entities granted access to data are subject to a methodology review and required to submit preliminary results bi-annually. Additionally, all study results are required to be submitted to the Research Collaborative Internal Review Board at least 30 days prior to any public release. Formal presentations may be requested at the discretion of the Research Collaborative Internal Review Board, CEPI and/or MDE.

Requirements for Security, Privacy and Confidentiality

Data obtained under such a request are considered a loan and may not be sold or rented. Commercial use of data obtained under such a request is prohibited. Recipients **do not** attain ownership of the data. Such data may not be shared or distributed, and all copies must be destroyed when the researcher completes the analysis or report. You must submit a certificate of destruction to the Research Collaborative Internal Review Board via US mail on the date that your data loan expires, or submit a request to extend the data loan period to continue the study. Data, copies of data, and all reports must be maintained in a secure environment to prevent unauthorized access. A secure environment includes any electronic media, personal computer, server, or network on which the data reside as described in the National Institute of Standards and Technology (NIST) *Federal Information Technology Security Assessment Framework* (November 29, 2000). Compliance with these security requirements may be monitored by unannounced, unscheduled inspections of the data user's work site by State of Michigan staff or designated representatives.

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Researchers/investigators requesting data from the MEIS Warehouse are subject to all applicable statutes and federal regulations. All individuals who shall have access to the private or confidential data are required to sign a statement of data confidentiality and security. This form is included in the *Confidential Data Request Application*. Each investigator is to sign his or her own form, which is to be included with the submitted *Confidential Data Request Application*. Any investigators added to the research project at any time during the duration of the data loan period who will have access to the restricted data must sign the *Data Confidentiality and Security Agreement Form – Request for Additional Investigators* and mail it to the Research Collaborative Internal Review Board. *Violations of the agreement will result in loss of access to the data to the researcher and the sponsor institution (if applicable) for five years and will be reported to appropriate state or federal authorities for action under appropriate regulations or statutes as required.*

Processing Request

Completed requests will be reviewed in the order it was received. In the event a request is rejected, specific reasons shall be given and if appropriate, may include information concerning possible remediation. Requests may be rejected if information on the application form is incomplete.

Data loaned under this agreement may require processing prior to release to the researcher in order to achieve compliance with state or federal law to protect privacy or confidentiality. Under Section 552(4)(A)(ii) Part 23 of the FOIA, such processing may require compensation from the requester for staff time to complete data review and to meet the requester's data processing requirements. Any special requirements in regard to fees or time required for processing prior to release shall be documented in the letter of acceptance from the Research Collaborative Internal Review Board. At no time shall such fees exceed actual costs. In general, data release will occur within 90

business days from the time of the approved *Confidential Data Request Application* unless otherwise negotiated by the Research Collaborative Internal Review Board and the researcher.

Submission Checklist

- All investigators read and understand the MEIS *Data Access and Management Policy*
- Request summarized on institution/personal letterhead
- Completed *Confidential Data Request Application*
- All investigators signed the *Data Confidentiality and Security Agreement* form
- IRB approval attached (if applicable)
- Completed Assessment and Accountability Data Request Form (if applicable)

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Confidential Data Request Application

Researchers requesting the loan of Michigan Department of Education (MDE) or the Center for Educational Performance and Information (CEPI) confidential data who have legitimate educational interests to conduct research must submit a written request on organization letterhead, accompanied by this form with all sections completed. Additional pages may be attached.

Name of Principal Investigator:

Title:

Department/Institution:

Address:

City/State/Zip:

Phone:

Fax:

E-Mail:

Title of Research Project:

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Funding Source (if any):

Name of Secondary Investigator(s) and affiliated institution:

Data Loan Period: Estimated data loan period to use the data set and when it will be destroyed.

Record Format and Fee: Indicate the requested file format and the agreed upon processing fee (as stated in the *Data Access and Management Policy*).

Project Description: Describe, in 1000 words or less, the research project for which the confidential data are needed. This should take the form of a standard research prospectus, including:

- a) Purpose
- b) Research questions/hypothesis
- c) Analysis
- d) Expected processes for disseminating findings
- e) Why such data are needed instead of public data

Data Requested: List, preferably in table format, the specific data elements you are requesting including the entities, school years and grade levels. Explain how these variables will be used in the analysis. To aid in requesting assessment and accountability data, please fill out the form in Appendix A.

Is this a longitudinal study (you seek to request the same data again once next year's data is available)?

- No
- Yes If yes, please justify the need for the continuation of data. It is the responsibility of the principal investigator to submit the Longitudinal Data Renewal Request Form each time the approved confidential data is requested.

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Data Security and Access Plan: Describe the procedure for protecting privacy and confidentiality of any individual, including encryption, handling, transmitting and/or storing of the data, including reported results (these must adhere to FERPA regulations).

Institutional Review Board Approval: Has the proposed research been reviewed by a Human Subject Review committee at your school district/institution?

- No
- Yes (If yes, approval letter must be attached.)

In submitting this application, the individual(s) and district/institution agree to comply with all requirements of the MEIS Data Access and Management Policy and the legal requirements for and conditions of data access, security, privacy and confidentiality documented within that policy and this application. I acknowledge that I am duly authorized to execute this application on behalf of the individuals and district/institution making this application and that this application is binding on those parties. It is understood and agreed that the data provided under this request are a loan and that the license for use is restricted to only those designated in this application for the specific purposes stated above.

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Name of Principal Investigator, printed

Title

Signature

Date

District/Institution

E-mail and Phone Number (area code and extension)

Name of Immediate Supervisor, printed

Title

Signature

Date

District/Institution

E-mail and Phone Number (area code and extension)

**Confidential Data Request Application
Data Confidentiality and Security Agreement Form**

All principal and secondary investigators who will have access to the confidential data requested in the *Confidential Data Request Application* must sign this form and submit it with the Application.

I _____, as a principal or secondary investigator, agree to receive confidential data from the Michigan Department of Education (MDE) and/or the Center for Educational Performance and Information (CEPI), and to observe the following security provisions in transferring, storing, analyzing and reporting of the data.

1. Policy for data storage
 - a. The location of **all copies** of the data must be carefully tracked
 - b. The data must be stored where **only** the Confidential Data Request Application designed principal and secondary investigator(s) may access the data
 - c. Data files **must** remain secure throughout the duration of data storage
2. Policy for data usage
 - a. Data may be accessed **only** by the Confidential Data Request Application designed principal and secondary investigator(s)
 - b. Data **may not** be shared with any other individuals outside those designed as the principal and secondary investigator(s) in the Confidential Data Request Application
 - c. Data may be used **only** for analyses that respect privacy and confidentiality of all concerned parties including students, teachers, classrooms, schools, districts, intermediate school districts and the State of Michigan
 - d. Data may **only** be used for the purposes of answering the research questions and/or hypotheses presented in the Confidential Data Request Application
 - e. Publically available discussions, presentations and reports based upon the confidential data **may not** include information that would make it possible to identify a student, teacher, classroom, school, district, intermediate school district or the State of Michigan unless specific permission has been granted in writing to do so
 - f. Internal discussions and reports should protect the privacy, anonymity and confidentiality of all concerned parties if there is any reasonable possibility that the internal document may become publically available
 - g. Internal documents that contain any identifying information must clearly be marked "confidential—for internal use only"
 - h. Data will, at all times, adhere to the Family Educational Rights and Privacy Act (FERPA)
3. Policy for data disposal and reporting of results
 - a. The data **must** be destroyed in accordance with the date designated for destruction in the signed Confidential Data Request Application
 - b. If an extension on the data destruction deadline is needed, the Research Collaborative Internal Review Board **must** be contacted, in writing, to approve an extension
 - c. A certificate of destruction will be sent via US mail to the Research Collaborative Internal Review Board on the date of the data loan expiration
 - d. The preliminary or final study results will be submitted at least 30 days prior to any public release

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Signature of Investigator

E-mail and Phone Number

Date

Appendix A

Assessment and Accountability Data Request Form

Data Level:

Item Level
Student
School
District
ISD
State

Data Type:

Assessment Data = Reflects where the student *took the test* and includes detailed information about the student score (Please fill out the Assessment Data File Request below)

Accountability Data = Reflects full-academic-year and feeder codes for who was held accountable for the student (Please fill out the Accountability Data File Request)

Assessment Data File Request

Assessment(s):

MEAP
MME
ACT only
MI-Access (fall; elementary/middle school)

- Functional independence
- Supported independence
- Participation

MI-Access (spring; high school)

- Functional independence
- Supported independence
- Participation

MEAP-Access
ELPA

Subjects:

All subjects
Math
Reading
Writing
Science
Social studies
ELA (MI-Access)

SAMPLE ONLY

Historical Assessments:

ACT (prior to 2007)
High school MEAP
Historical MEAP (prior to 2002)
ACT Pilot Year Data

Year(s):

Spring 2012
Fall 2011
Spring 2011
Fall 2010
Spring 2010
Fall 2009
Spring 2009
Fall 2008
Spring 2008
Fall 2007
Spring 2007
Fall 2006
Spring 2006
Fall 2005
Data prior to 2005 (must be negotiated and defined)

Students:

Students enrolled in the school, expected to test
Students who took the test
Students with valid tests (Most common)

School/district-level Aggregates:

All students Racial/ethnic groups
Students with disabilities Economically disadvantaged Limited English Proficient Gender
Multiple subgroups (example: gender by race): Please define: _____
Tested school
Feeder school

Variables:

RIC
Student demographics

- gender
- racial/ethnic
- students with disabilities
- economically disadvantaged
- limited English proficient

Scale score
Conditional Standard Error of Measurement (Scale Score metric)
Performance level
Performance level change
Theta
Conditional Standard Error of Measurement (Theta metric)
Accommodations information (will require joins with the Michigan Student Data System)
Cycle

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Output Format:

Excel file

.csv

.txt

Other (please specify): _____

Accountability Data File Request

Data Level:

Student

School

District

ISD

State

File Type:

Tested Proficient Student Details (student level file)

Aggregate Accountability File

Year(s):

2012

2011

2010

2009

2008

2007

SAMPLE ONLY

Variables:

RIC

Student demographics

- o gender
- o racial/ethnic
- o students with disabilities
- o economically disadvantaged
- o limited English proficient

Enrollment information

Tested School Information

PEPE information

FAY

Feeder information

Scale scores Z-scores Performance levels

Output Format:

Excel file

.csv

.txt

Other (please specify): _____