Utah State Office of Education

EDUCATIONAL RESEARCH PROPOSAL

EDUCATIONAL RESEARCH OPPORTUNITY ANNOUNCEMENT

PURPOSE: This research initiative is intended to establish an ongoing state-sponsored program of statistical analysis utilizing Utah's statewide longitudinal data system (SLDS) to support the identification, development and evaluation of feasible interventions — policies, practices, processes, products, and programs — to improve academic outcomes for K-12 students.

REQUEST FOR PROPOSALS: The Utah State Office of Education (USOE) is interested in receiving proposals to conduct research using its SLDS data on topics related to its policy, administrative, and technical responsibilities as a state education agency, especially as these concern the development or validation of predictive measurements, evaluation of programs of assistance to students, or the improvement of instruction.

PROPOSAL RECEIPT DEADLINE: Proposals may be submitted at anytime and are reviewed as they are received.

ELIGIBLE APPLICANTS: In general, proposals will only be accepted from research organizations that maintain a local Institutional Review Board (IRB) registered with the Office for Human Research Protections at the U.S. Department of Health and Human Services. Exceptions to the IRB requirement may be made in cases where unaffiliated but otherwise qualified researchers are engaged to conduct evaluation studies.

MECHANISM OF SUPPORT: Grant in kind of temporary access to SLDS data sets. Depending on the proposed project, the data set may be de-identified and/or the research team may be obligated to implement specific security arrangements to ensure confidentiality.

FUNDING AVAILABLE: Neither this announcement nor approval of an application commits the USOE to pay any costs related to a study, including preparation of a proposal or negotiation of an agreement. Depending on the proposed project, the applicant may be required to pay a negotiated fee for preparation and delivery of the data.

PROPOSAL CONTENT REQUIREMENTS: Proposals will not be formally reviewed until the USOE receives a complete proposal, consisting of four documents: (1) A research plan that addresses each of the elements listed on the "Application to USOE for Extensive Research Data" form; (2) The curriculum vitae of the principal investigator (PI) designated on the *Application*; (3) A "Research Confidentiality and Use Agreement" signed by both the PI and, as applicable, an authorized organizational representative (AOR) of the applicant organization; and (4) the IRB letter of approval, also where applicable.

PROPOSAL PROCESSING: Proposals are reviewed in monthly meetings of the USOE Data Governance and Policy Board and will be approved as is, preliminarily approved pending requested changes, held for further information, or denied by consensus of the Board.

DELIVERABLES: The PI must agree to provide the USOE with a copy of each substantive presentation or article based on the data set, preferably prior to its public release. In some cases, the USOE may also request a more extensive technical report to be provided within six months of the conclusion of the project. In such cases, the *Standards for Reporting on Empirical Social Science Research* published by the American Educational Research Association should be consulted as guidance in preparing the technical report (http://www.aera.net/uploadedFiles/Publications/Journals/Educational_Researcher/3506/12ERv35n6_Standard4Report%20.pdf).

SUBMISSIONS AND INQUIRIES:

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Application to the USOE FOR EXTENSIVE RESEARCH DATA

(For student- or teacher-level data, extensive lists of variables, or multiple years of data)

Name of primary researcher(s), title, organization, address, phone, e-mail, website:
Brief description of organization and any additional partnering organization(s):
brief description of organization and any additional partnering organization(s):
Project title and description:
Purpose of proposed research project(s):
Research questions:
Potential benefits to Utah Education:
Totalida benefits to e an Education.
Other benefits:
Person at the USOE to whom you will provide a report (hardcopy, or electronic .pdf file,
etc.) of your research results:
Is there someone at the USOE who is already sponsoring your data request?
If so, please attach evidence such as a signed agreement or signed MOU (memorandum of
understanding).

Research Plan and Desired Data Description				
List the variables of interest or data elements you are requesting:				
Your selection criteria and/or filtered by what variables:				
Tour selection effected and/or intered by what variables.				
Desired electronic file type (Excel 2003, Excel 2007, text, .csv, Access, etc.):				
Please describe or attach a sample of the desired layout with sample column headings and a description of what each row should represent (a student, a school, a month, a teacher, etc.):				
Other data you plan to join/merge and from what source:				
Proposed analysis methodology:				
1 Toposed analysis methodology.				
W				
Your approximate timeline for this study:				

Other professionals or support staff at your organization who will conduct the research and analysis (provide VITAs, resumes, or website links demonstrating their qualifications):
How will you ensure that they agree not to disclose students' identification?
How the research data will be kept secure, including physical handling and storage of data, and how will you control access to it:
Federally recognized Institutional Research Board (IRB) that approves project methodology for your research organization:
List supporting documentation, if any, that you will attach:

[Insert curriculum vitae here]

Researcher Confidentiality and Use Agreement

This Agreement i	s made between the Utah Star	te Office of Educatio	n (USOE) and
			, recipient of private or
protected data pro	ovided by the USOE, hereafte	r known as "Researc	her."

- 1. Researcher agrees to preserve the confidentiality of private and protected data about students, educators, or individuals, hereafter referred to as "Subject Data." Researcher agrees to not report or publish Subject Data in any manner that discloses students' identities in accordance with the Family Educational Rights and Privacy Act (FERPA), 34 CFR 99-31 (a) (6), such as publishing performance data for subgroups of students with a count, also known as n-size, less than 10. Researcher agrees not to make any effort to discover the identity of a subject.
- 2. Researcher agrees that any research projects requiring personally identifiable information need to have been commissioned by the Board of Education. In some cases, as approved by the Board, personally identifiable data may be provided to the researcher, but only in a secure manner. Those not commissioned but desiring data shall use the publically available data on the USOE websites or request the research data set provided by the USOE Computer Services Section. This standard, de-identified data set shall be developed each year and be made available upon request.
- 3. Researcher agrees to obtain formal Institutional Review Board (IRB) approval.
- 4. Researcher agrees not to use USOE data for any purpose other than research for the project identified in the "Application to the USOE for Extensive Data."
- - 5.1. Study does not require questions that lead to intrusion in private family life, business, or interest, except as allowed with positive parental permission.
 - 5.2. Study does not take time away from instruction in schools.
 - 5.3. Study requires no significant additional work from USOE employees or public school employees.
 - 5.4. Study will benefit the USOE in its mission and work, or at least has a direct connection to its mission and work.
- 6. Researcher agrees that all data files, including derivative files and all data files resulting from merges, matches, or other uses of the subject data provided by USOE with data from other sources, are subject to this Agreement.

- 7. Researcher agrees to limit and restrict access to the subject data to the following persons:
 - 7.1. Leaders in charge of the day-to-day operations of the research and who communicate with the contact person within the USOE.
 - 7.2. Professional/technical staff in charge of the research.
 - 7.3. Support staff, including analysts, computer technicians, assistants, and secretaries, on a need-to-know basis.
- 8. Researcher agrees to notify and train each employee who will have access to subject data of the strict confidentially of such data, and shall require each of those employees to sign a non-disclosure agreement.
 - 8.1. Researcher shall maintain each non-disclosure agreement signed by its employees at its facility and shall allow inspection of the same by the USOE upon request.
 - 8.2. Researcher shall promptly notify the USOE in writing within one work day when a leader or professional/technical staff person has terminated, or access by specific staff members to subject data has been terminated, and give the date thereof.
 - 8.3. Researcher agrees to notify the USOE immediately in writing within one work day upon receipt of any request or demand by others for disclosure of the subject data.
 - 8.4. Researcher agrees to notify the USOE in writing immediately upon discovering any breach, or suspected breach, of security or any disclosure of subject data to an unauthorized party or agency.
- 9. Researcher agrees to retain the original version of the subject data at a single location and shall not make a copy or extract of the subject data available to anyone except individuals specified in paragraph 5.
 - 9.1. Researcher agrees to ensure access to the subject data is maintained in computer files or databases in a secure physical location. The data are controlled by password protection and procedures so that subject data cannot be accessed by unauthorized individuals.
 - 9.2. Researcher agrees to shred or destroy subject data, and all media used to transfer it from the USOE to the researcher, including all copies and derivative or merged files, when the research is completed or this Agreement terminates.
- 10. This Agreement shall terminate _____ (months) from the date it is signed. However, it may be extended by written agreement of the parties.
- 11. Any violation of the terms and conditions of this Agreement may result in the immediate revocation of this Agreement by the USOE.
 - 11.1. The USOE may initiate revocation of this Agreement by written notice to researcher indicating the factual basis and grounds of revocation.
 - 11.2. 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 USOE indicating why this Agreement should not be revoked.
- 12. The USOE Data Governance Policy Board shall decide whether to revoke the Agreement based on all the information available to it. The USOE shall provide written notice of its

	decision to the Researcher within 10 business days after receipt of the response. These			
	timeframes may be adjusted for good cause.			
13. Researcher understands that a violation of the above agreements will result in a r				
	breach of contract and may subject the researcher and the organization for which he/she			
	works to prosecution under applicable laws.			
14.	(OPTIONAL) Researcher agrees to pay fees in the amount of \$ for the preparation			
	or delivery of the Research Data (this payment may be required in advance). Payment shall			
	be made to:			

SIGNATURE PAGE

By signing below, the official of the Research Organization certifies that he or she has the authority to bind the Research Organization to the terms of this Agreement and that the Research Organization has the capability to undertake the commitments in this Agreement.

Location at which the subject data will be maintained and analyzed:				
Signature of the Official of the Research Organization:	Date:			
Type/Print Name of Official:	E-mail:			
Title:	Telephone:			
Mailing Address:				
Signature of the Principal Research Analyst:	Date:			
Type/Print Name of Principal Research Analyst:	E-mail:			
Title:	Telephone:			
Mailing Address:				
Signature of Utah State Board of Education/USOE Contact:	Date:			
Type/Print Name of USOE Contact:	E-mail:			
Title:	Telephone:			

[insert IRB letter of approval]