

# CT Preschool through Twenty & Workforce Information Network (P20 WIN)

## QUERY MANAGEMENT REQUEST DOCUMENT

This form and all attachments are to be submitted to the P20 WIN Data Governing Board for consideration and approval before the execution of each query to the system.

Information provided here is required to fulfill the mandatory provisions for written agreements according to the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. §1232g and to comply with Unemployment Compensation (UC) considerations under state (CGS § 31-254) and federal (20 CFR 603) law. PERSONS WHO ARE NOT STATE GOVERNMENT EMPLOYEES OR OFFICIALS MAY NOT SUBMIT A QUERY TO P20 WIN.

### SECTION 1 – BASIC REQUEST INFORMATION

#### Application Submission Date:

TYPE OF SUBMISSION:  Initial Application  Continuation\*  Repeat\*\*  Modification\*\*\*

\*Initial applications are approved for a given duration. Select 'continuation' if this request is to extend that timeframe.

\*\* Select repeat if you need to have a data query that has already been approved be run again without changes.

\*\*\* If you are requesting a modification to a request that has already been approved and is underway, select 'Modification' and address only the sections of this form which are being adjusted from the prior request.

P20 WIN Query Number: **P20W\_1305\_1\_0001.n**

Query Title: P20WIN SDE – SFSF and America Competes Query

Agencies from which data is being requested (Check all that apply):

State Department of Education  Board of Regents  Department of Labor

Has this data request been discussed with program employees at the involved agencies?:  Yes  No

If yes please indicate with whom:

Agency: SDE

Name: Ajit Gopalakrishnan

Agency: BOR

Name: Ted Yungclas

Agency: DOL

Name: Andrew Condon

### SECTION 2 – REQUESTOR INFORMATION

Name (last, first) Gopalakrishnan, Ajit

\*note: For the P20 WIN pilot, only members of the P20 WIN Data Governance Board will be able to submit a request.

Title Chief, Bureau of Data Collection, Research and Evaluation

Organization CT State department of Education (CSDE)

Mailing Address 165 Capitol Ave

Email Address [ajit.gopalakrishnan@ct.gov](mailto:ajit.gopalakrishnan@ct.gov)

Phone Number 860-713-6888

Fax Number 860-713-6033

Provide Full name, institution, email address, and project role for ALL other persons working with data, derived data or data output for this project. Add additional space as necessary. Please print and attach a signed Confidentiality Agreement for each individual needing access to the resultant data set. (See Attachment C)

Ajit Gopalakrishnan, Chief, Bureau of Data collection, Research and Evaluation – [ajit.gopalakrishnan@ct.gov](mailto:ajit.gopalakrishnan@ct.gov)

Charles Martie, CSDE, Bureau of Data collection, Research and Evaluation – [Charles.martie@ct.gov](mailto:Charles.martie@ct.gov)

David Williamson, CSDE, IT – [david.williamson@ct.gov](mailto:david.williamson@ct.gov)

Jan Kiehne, BOR, Policy and Research - [kiehnej@ct.edu](mailto:kiehnej@ct.edu)

Andrew Condon, DOL, Director of Research and Information - [Andrew.Condon@ct.gov](mailto:Andrew.Condon@ct.gov)

Dana Placzek, DOL, Research Analyst – [Dana.Placzek@ct.gov](mailto:Dana.Placzek@ct.gov)



Liam McGucken, DOL, Research Analyst - [liam.mcgucken@ct.gov](mailto:liam.mcgucken@ct.gov)  
Laurel Buchanan, UCHC, Research Analyst - [lbuchanan@uchc.edu](mailto:lbuchanan@uchc.edu)  
April Panzer, UCHC, IT Manager - [apanzer@uchc.edu](mailto:apanzer@uchc.edu)

### SECTION 3 –ALIGNMENT OF PURPOSE& SCOPE

#### Provide a brief summary of the data request:

This request is seeking postsecondary enrollment, college remedial coursework placement, college credit attainment, and workplace information for students who were part of the graduating cohort of 2010. This information is sought to address the policy questions embedded in State Fiscal Stabilization Fund (SFSF) indicator (c)12 with respect to college course completion and answer the requirements of P-16 data systems per the America COMPETES Act. Employment rates and earnings are also sought for those graduates from the cohort of 2010 who enroll in postsecondary education to evaluate the effectiveness of high schools in preparing graduates who enroll in college for career readiness and success.

#### Clearly state the purpose of this request and describe how the purpose is an audit or evaluation of federal or state supported education program(s) (See Audit or Evaluation Exception 20 U.S.C. 1232g(b)(1)(C), (b)(3), and (b)(5) and §§99.31(a)(3) and 99.35)

The purpose of this request is to evaluate the high school program and the extent to which high school graduates are successfully pursuing postsecondary education opportunities and succeeding in the labor market. This request is driven by the required SFSF indicator (c)12 which states the following:

*Of the students who graduate from high school consistent with 34 CFR 200.19(b)(1)(i) who enroll in a public IHE (as defined in section 101(a) of the HEA) in the State within 16 months of receiving a regular high school diploma, the number and percentage (including numerator and denominator) who complete at least one year's worth of college credit (applicable to a degree) within two years of enrollment in the IHE.*

This request is also designed to answer certain required elements of a P-16 education data system, specifically, Items iii (I) & (II) under the America Competes Act.

- (I): information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework;*
- (II): other information determined necessary to address alignment and adequate preparation for success in postsecondary education.*

The extent to which high school graduates are being placed in remedial education and/or are completing a year's worth of collected credit within two years of enrollment is valuable information for inclusion in feedback reports to high schools on the success of their graduates.

Ascertaining the employment rates and earnings by North American Industry Classification System (NAICS) clusters for those high school graduates from the 2010 cohort who enroll in postsecondary education and are employed in Connecticut will help evaluate the extent to which high schools are preparing students for career readiness and success.

These data will also allow the CSDE to determine the validity of its high school feedback reports. If the results of this pilot are valid and meaningful, the results of subsequent queries will allow administrators to be better able to address issues in their preparing their graduates for college and the workforce.

Lastly, these data will enable the CSDE to test the capabilities of this federated data sharing approach.

In summary, this evaluation will support development and dissemination of feedback to high schools on the success of their programs to prepare their graduates for college and career readiness and success in both college and the workforce; it will also be a useful audit of the capabilities of the P20WIN project.



**Describe the benefit that this audit/evaluation will provide to the state or to a specific agency which is an education related member of the Board.**

This query will help the State Department of Education evaluate the effectiveness of high schools in preparing their students for college based on the percent of college enrollees who are placed in remedial English and/or Math. This query will be used for internal agency audit purposes to assess the viability of the federated model and system.

**Provide a brief description of the method for analysis.**

SFSF/America Competes Query: The SDE will submit 2010 cohort data including NSC results to be matched with data from the BOR and DOL in order to create a dataset of K12, post-secondary, and workforce attributes and outcomes. These data elements will be used to ascertain the enrollment, alignment, and preparation, and workforce attributes of high school graduates from the cohort of 2010. The majority of analyses are expected to be descriptive in nature.

**Provide a description of the documents or reports that will reference data from this query. For each report indicate the audience for the report and expected indicators or measures to be included in each.**

A report on the results of the viability of the matching algorithm will be produced for the review of the Data Governance Board of P20WIN (i.e., CSDE, BOR, and DOL).

High school feedback reports will be disseminated to all high schools. Metrics provided will include the college entry, remediation, and persistence rates for high school graduates. Employment rates and earnings will also be included to gauge career readiness and success for high school graduates who enroll in postsecondary institutions.

An overall statewide summary report based on the analyses of matched data will be produced and disseminated in late summer/early Fall. The primary indicators will respond to the SFSF and America Competes policy questions. Employment indicators will also be included to discuss the career readiness and success of high school graduates who enroll in postsecondary education.

**In addition to utilizing a minimum cell size as documented by the Data Governance Procedure, identify/describe the statistical methods that will be used to minimize the risk of re-identification of PII for data to be published. Some typical methods are listed below; however, this list is not comprehensive. Options should be used in combination for maximum security. See the [USED Technical Brief 3](#) as a resource.**

- **Suppression by:** cell, row, sampling (present data for a portion of students: e.g. 80%)
- **Blurring through:** aggregation of groups, rounding, use of ranges, use of top/bottom categories (e.g. 'less than 5%, greater than 95%),
- **Perturbation:** data swapping, adding noise, use of synthetic data

It is expected that suppression and blurring will be the primary approaches used to protect personally identifiable information (PII) and minimize the risk of re-identification.

#### **SECTION 4 – PROTECTION OF CONFIDENTIALITY**















**By what date will the resultant dataset and all paper or electronic copies will be destroyed by the requestor?**

*Policy requires that the resultant data set be destroyed within 12 months from the date the dataset was downloaded. Note, that the Data Governing Board may set a shorter or longer time frame for destruction of the dataset. This 12 month limitation may be extended with written approval from the Data Governing Board. Requestors need to submit the Query Management Document as a 'continuation' for approval of an extension.*

May 1, 2014

**With the addition of your initials by each item, indicate that you agree to the following:**

-  • I will only utilize the data received through this query to meet the purpose as described. The approval given to receive data through this query does not confer approval to use it for another purpose.
-  • I will not re-disclose the data received through this query approval process to any public official who has not been authorized by the Data Governing Board to receive it, and who has not also signed a Personal Statement of Confidentiality and Non-Disclosure.
-  • I will take the necessary and appropriate precautions to safeguard personal information and will comply with all state and federal laws concerning the safeguarding and disclosure of such information.
-  • I will not use this dataset to re-identify individuals.
-  • I agree that approval to receive data through this query does not convey ownership of the data.
-  • I agree that prior to the public release of any documents or reports generated from this query I will supply all reports or documents to the Data Governing Board for review and verification that the intended purpose has been adhered to.
-  • I agree to store all query data, in print or electronic form, in a locked receptacle that can be accessed by authorized persons only.
-  • I agree to store all query data on secure desktop computers and in secure files to which access is restricted to authorized persons only.
-  • I agree that no query data may be transmitted via email or placed or stored on a mobile computing or storage device. For purposes of this agreement, a definition of "mobile computing device" includes, but is not limited to, notebooks, palmtops, PDAs, iPods®, Blackberry ® devices, and cell phones with internet browsing capability. A "mobile storage device" includes but is not limited to, mobile computing devices, diskettes, magnetic tapes, external/removable hard drives, flash cards (e.g., SD, Compact Flash), thumb drives (USB keys), jump drives, compact disks, digital video disks, etc.
-  • I agree to destroy all confidential information obtained through this agreement as soon as such information is no longer needed.
-  • I agree that the Data Governing Board will be allowed access to monitor all authorized users to ensure such users observe the confidentiality requirements of the information obtained under this Agreement.
-  • I agree to comply with all provisions of the P20 Win Data Query Management Procedure.

**SECTION 5—ADDITIONAL INFORMATION**

**Provide any additional comments that would be useful to the Data Governing Board in considering this request.**  
See attached Excel file with specific data field requirements.

**SECTION 6 — SIGNATURE OF REQUESTOR AND DATE**

**12.1 Signature of Principal Requestor**

I understand that the entities that are providing data to P20 WIN (hereinafter Participating Agencies) have made reasonable efforts to ensure that the data available through P20 WIN are up-to-date, accurate, complete and comprehensive at the time of disclosure. These records reflect data as reported to the Participating Agencies by



their data-submitting organizations for the reporting period indicated. Changes or updates to the data may occur after the time of disclosure and may impact data that have previously been made available. The Participating Agencies are not responsible for data that are misinterpreted or altered in any way. Derived conclusions and analyses generated from this data are not to be considered attributable to the Participating Agencies or the participating organization(s) from which the data originated.

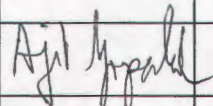
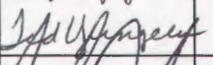
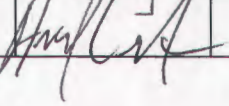
I certify that the information supplied in this form, with attachments, is complete, accurate. The analysis will be conducted according to the protocol approved by the Data Governing Board, applicable federal, state and local laws regarding the protection of education records and unemployment insurance records. I will ensure that all protocol changes will be prospectively reviewed by the Data Governing Board. I will request approval from the Data Governing Board for changes to the study and will not implement proposed changes until I receive Data Governing Board approval. I will promptly report to the Data Governing Board any related complaints, problems, and/or breaches of confidentiality.

Signature Aji Appalabandi Date 3/13/14

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## DATA GOVERNING BOARD REVIEW DOCUMENT - QUERY REQUEST

This form and all attachments are completed by the P20 WIN Data Governing Board in response to a query request.

SECTION 1 – BASIC REQUEST INFORMATION					
<b>Application Submission Date: 06/20/2013 – Modification as of February 2014</b>					
TYPE OF SUBMISSION: <input type="checkbox"/> Initial Application <input type="checkbox"/> Continuation <input type="checkbox"/> Repeat <input checked="" type="checkbox"/> Modification					
<b>Modification to adjust the individuals who are approved to work with the output as a part of the analysis team.</b>					
<b>P20 WIN Query Number: P20W_1305_1_0001.n</b>					
<b>Query Title: P20WIN SDE – SFSF and America Competes Query</b>					
<b>Agencies from which data is being requested (Check all that apply):</b>					
<input checked="" type="checkbox"/> SDE <input checked="" type="checkbox"/> BOR <input checked="" type="checkbox"/> DOL					
<b>The Policy Lead from Each Participating Agency Completes indicates their approval or denial of the query to enable an audit/evaluation of education programs according to FERPA.</b>					
Agency	Name	Approved	Denied	Comment	Date
SDE	Ajit Gopalakrishnan				3/13/14
BOR	Ted Yungclas				03/04/14
DOL	Andrew Condon				03/6/2014
Is each agency in agreement? <input type="checkbox"/> Yes <input type="checkbox"/> No					
<b>Next steps:</b> <ul style="list-style-type: none"> <li>If the participating agencies whose data would be included in this specific data request each approve the query, then representatives from each of the included agencies must sign a Memorandum of Agreement for a P20 WIN Data Request.</li> <li>Data Governing Board Review Document is shared with the requestor</li> <li>Data query process is aborted or continues based upon the decision made.</li> </ul>					