CT Preschool through Twenty & Workforce Information Network (P20 WIN)
DATA 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 Data Request.

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 HAVE ACCESS TO UNIT LEVEL WAGE DATA.

SECTION 1 – BASIC DATA REQUEST INFORMATION

1.a Application Submission Date:

1.B TYPE OF SUBMISSION: [X] Initial Application [ ] Continuation* [ ] Modification**

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

1.c P20 WIN Data Request Number: P20W_1407_2_0004

1.d Data Request Title: CT Program Review & Investigations (PRI) – Certificate Study

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

[ ] State Department of Education   [X] Board of Regents   [X] Department of Labor

1.f Has this Data Request been discussed with program employees at the involved agencies?: [X] Yes [ ] No
If yes please indicate with whom:

Agency: DOL	**Name:** Dana Placzek
Agency: DOL	**Name:** Dr. Andy Condon
Agency: BOR	**Name:** Bill Gammell, Corby Coperthwaite

SECTION 2– REQUESTOR INFORMATION

2.a Name (last, first)
*note: *For the P20 WIN pilot, only members of the P20 WIN Data Governance Board will be able to submit a request*
　　　　　　Dr. Andrew Condon

2.b Title 　　Director Research & Information

2.c Organization 　　Connecticut Department of Labor

2.d Mailing Address 200 Folly Brook Boulevard

2.e Email Address 　　Andrew.Condon@ct.gov

2.f Phone Number 　860-263-6255 　　　　　　　　**Fax Number**

2.g 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)

Andrew Condon, Director of Research and Information, Department of Labor; Andrew.condon@ct.gov
Dana Placzek, Research Analyst, Department of Labor; Dana.placzek@ct.gov
Liam McGucken, Research Analyst, Department of Labor, liam.mcgucken@ct.edu
Bill Gammell, BOR representative to P20 WIN Data Governance Board; gammellw@ct.edu
Corby Coperthwaite, Director of Planning & Research, ccoperthwaite@commnet.edu
Benjamin Klimczak, BOR Analyst, BKlimczak@ct.edu
Jan Kiehne, BOR Analyst, kiehnej@ct.edu

SECTION 3 – ALIGNMENT OF PURPOSE& SCOPE

3.a Provide a brief summary of the Data Request:

This data request will enable the audit and evaluation of Connecticut State College and University (CSCU) education programs that produce students with sub-baccalaureate certificates. The analysis will examine employment and wage outcomes of students completing certificates by institution and academic program from 2008 through 2014 as data is available through the system. This analysis will also seek to understand whether certificate programs were successful in moving individuals into employment in CT. If feasible, the analysis will identify whether individuals obtaining a certificate are working in an industry related to the certificate post completion.

BOR will submit student level data to DOL for matching to employment, wage and industry data. DOL will aggregate the data based upon agreed upon metrics and provide the aggregate data to PRI analysts for their study.

3.b 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 Board of Regents education programs receive both federal and state support. Through this data request, staff will be able to evaluate the effectiveness of public postsecondary programs that offer certificates for college credit in preparing students for employment in Connecticut. The evaluation data will be used by the Connecticut Legislative Program Review and Investigations Committee (PRI) to develop a report about postsecondary certificate programs. The PRI has requested information about a) placement, b) employment relevancy to area of study, c) earnings before and after certificate completion, and d) average salary based on program preparation.

PRI Study Scope approved 5/15/14;
http://www.cga.ct.gov/pri/docs/2014/PRI%20Scope%20Certificate%20Programs%20Approved%205-15-14.pdf)

3.c 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 data request supports the audit and evaluation of Connecticut State College and University education programs. In order for PRI to make recommendations about how CSCU can improve its education programs to better serve students seeking employment after completing their credentials, PRI and CSCU need information about the employment and wage outcomes of students completing credentials from these education programs.

3.d Provide a brief description of the method for analysis.

BOR will provide cohort data for individuals completing credentials from the 2008-2009 through 2012-2013 academic years. Data from 2013-14 may also be included if available from BOR. This data will be matched with data from DOL in order to create a data set with education and employment outcomes. Descriptive statistics will be used to determine employment and income variance prior to and post credential completion. Data may be disaggregated by: institution, education program (using CIP code), credential, gender and race/ethnicity.

DOL will develop metrics at the 6 digit CIP codes level using a 6 person cell size as the limit for suppression. Through discussion with PRI analysts about the proportion of values that must be suppressed at the 6-digit CIP code level, a determination will be made as to whether to proceed with the 6-digit CIP or to roll the values up to the 4 or 2-digit CIP code level as appropriate

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

The indicators and measures listed below have been agreed upon by BOR, DOL and PRI. Final aggregations may differ slightly if the data suggest that another measure will provide more meaningful information to PRI. DOL will develop the data aggregated data summaries as follows. Once approved for release by DOL and BOR, the aggregate data will be given to PRI to conduct further analysis and report development.

For all indicators with a Pre and Post snapshot

- Prior to completion = one quarter prior to the quarter of the student's enrollment date. For example, if an individual entered a certificate program in October 2011 (3rd Q), information about the individuals employment and wages would be taken from the 2nd quarter of 2011.
- Post completion =
    - o 2 quarters after the quarter in which a student completed a certificate **and**
    - o 1 year after the quarter in which a student completed a certificate

Measures provided by CIP code

1. Number *"unemployed"** prior to completion and *"unemployed"* after completion
    - NOTE: DOL can access the Unemployment Insurance Claims records to provide a flag as to whether an individual has applied for or received unemployment insurance claims within a period of time. However, this information will not be a definitive count of those who were unemployed because an individual may have been unemployed in this state or another and may simply not be in the CT Unemployment Insurance claim system.
2. Number "unemployed"* prior to completion and employed after completion
3. Number of those in #2 employed in by industry (This information will assist PRI in assessing relationship to certificate/CIP.)
    - DOL will produce a chart like the Program/Industry Matrix in the 'Higher Education Report' for the 'Post' time period only.
4. Number employed prior to completion and still employed with same employer after completion
5. Number employed prior to completion who changed employer after completion
6. Number employed prior to completion and who changed industry after completion
7. Number of those in #6 employed by industry (will assist PRI in assessing relationship to certificate/CIP)
    - DOL will produce a chart like the Program/Industry Matrix in the 'Higher Education Report' for the 'Prior' and 'Post' time periods
8. Number "unknown": Number of records with SSN's from BOR that <u>did not</u> match to any DOL records. BOR will provide the number of individuals with certificates and the number of individuals with certificates who have SSN's on file, so that PRI can calculate the number of individuals whose outcome is 'unknown'. By definition, 'unknown' records are those that simply don't match to DOL UI data. The individual could be self-employed, in the military, employed out of state of in a number of other alternate statuses.
9. Average wages before and Average wages post for all prior measures.
    a. Average wages by 2-digit CIP
    b. 25th and 75th percentile by 2-digit CIP

* The following will be used to determine which records are considered 'Employed', 'Unemployed' or 'Unknown'.

Status	Wage Record Data	Unemployment Claim Data
Employed	Matching record	No matching record
Employed	Matching record	Matching record
Unemployed	No matching Record	Matching Record
Unknown	No matching record	No matching record

3.f 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 <u>USED Technical Brief 3</u> 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, aggregation of groups and rounding will be the primary approaches used to protect personally identifiable information (PII) and minimize the risk of re-identification.

SECTION 4 – PROTECTION OF CONFIDENTIALITY

4.a By what date will the datasets and all paper or electronic copies will be destroyed by the requestor?
After the Approved Requestor has received data files and the matrix of generic unique identifiers, the Approved Requestor has 12 months to complete analysis and destroy the data files. Note, that the Data Governing Board may set a shorter or longer time frame before the data files must be destroyed, and 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.

07/31/2015

4.b 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 Data Request to meet the purpose as described. The approval given to receive data through this Data Request does not confer approval to use it for another purpose.
- I will not re-disclose the data received through this Data Request 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 the datasets to re-identify individuals.
- I agree that approval to receive data does not convey ownership of the data.
- I agree that prior to the public release of any documents or reports generated from this Data Request 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 resultant data, in print or electronic form, in a locked receptacle that can be accessed by authorized persons only.
- I agree to store all resultant data on secure desktop computers and in secure files to which access is restricted to authorized persons only.
- I agree that no resultant 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 Request Management Procedure.

SECTION 5—ADDITIONAL INFORMATION

5.a Provide any additional comments that would be useful to the Data Governing Board in considering this request.

This data is required to satisfy a request from the CT Legislative Program Investigations Committee; however, PRI will not receive any unit record data. DOL will aggregate the results and seek approval from BOR before releasing the aggregated data to PRI for further analysis.

SECTION 6 – SIGNATURE OF REQUESTOR AND DATE

6.a Signature of 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 Data Request 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_____ Date___8/14/2014___

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

DATA GOVERNING BOARD REVIEW DOCUMENT - DATA 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

1. **Application Submission Date:** 8/14/14

2. **TYPE OF SUBMISSION:** ☑Initial Application ☐Continuation ☐Modification

3. **P20 WIN Data Request Number:** P20W_1407_2_0004

4. **Data Request Title:** CT Program Review + Investigations (PRI) - Certificate Study

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

   ☐SDE ☑BOR ☑DOL

6. 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.

Agency	Name	Approved	Denied	Comment	Date
BOR	W. GAMMELL	✓			8/13/14
CTDOL	Andrew Condon	✓			8/14/14

Is each agency in agreement? ☑Yes ☐No

Next steps:
- **If the participating agencies whose data would be included in this specific data request each approve the Data Request, then representatives from each of the included agencies must sign a Memorandum of Agreement for a P20 WIN Data Request.**
- Data Governing Board Review Document is shared with the requestor
- Data request process is aborted or continues based upon the decision made.