

# 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 PERSONALLY IDENTIFIABLE INFORMATION (Pii) FOR DOL UC RECORDS.

### SECTION 1 – BASIC DATA REQUEST INFORMATION

**1.a Application Submission Date:** December 11, 2018

**1.B TYPE OF SUBMISSION:**  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\_1809\_0\_0020

**1.d Data Request Title:** Augmenting the Preschool Development Grant (PDG) Evaluation

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

OEC  SDE  CSCU  Department of Labor  Cicu-IRPS  UCONN

**1.f Has this Data Request been discussed with program employees at the involved agencies?:**  Yes  No

**If yes please indicate with whom:**

Agency: OEC

Name: Mel Camacho

Agency: SDE

Name: Chuck Martie

Agency:

Name:

### SECTION 2– REQUESTOR INFORMATION

**2.a Name (last, first):** Strambler, Michael J.

**2.b Title:** Assistant Professor

**2.c Organization:** Yale School of Medicine/Partnership for Early Education Research (PEER)

**2.d Mailing Address:** The Consultation Center at Yale University, 389 Whitney Avenue, New Haven, CT 06511

**2.e Email Address:** [michael.strambler@yale.edu](mailto:michael.strambler@yale.edu)

**2.f Phone Number:** (203)789-7645

**Fax Number:** (203)562-6355

**2.g Provide Full name, organization, email address, and project role for ALL other persons within the requestor's organization who need to work with raw data, derived data or data output for this project before the P20 WIN Data Governing Board Participating Agencies involved have approved the data as appropriately aggregated for public release. 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) Note: Persons who are not state government employees or officials may not have access to Pii for DOL UC records.**

Joanna Meyer, Yale School of Medicine, [joanna.meyer@yale.edu](mailto:joanna.meyer@yale.edu), Research Associate

Aliza Lipman, Yale School of Medicine, [aliza.lipman@yale.edu](mailto:aliza.lipman@yale.edu), Research Assistant

**2.h Provide full name, organization, email address and project role for all other persons from the Participating Agencies or Contributing Institutions who have been identified as having legitimate interests in the evaluation who need to access raw data, derived data or any data output for this project before the P20 WIN Data Governing Board Participating Agencies involved have approved the data as appropriately aggregated for public release. For these individuals, access to the unit record data is limited. For example, named individuals may a) need access to data to support the data matching process or b) function as a subject matter experts from the Participating Agencies to support the data matching process or authorized requestor's analysis, or c) they may only have access to their own organization's data linked to other non-education records. After each name, please include an explanation as to why these individuals need access to the unit record data. If not already signed, please print and attach a signed Confidentiality Agreement for each individual needing access to the resultant data set. (See Attachment C). Note: Persons who are not government employees or officials may not have access to Pii for DOL UC records.**

Jennifer Johnson, Office of Early Childhood (OEC), [Jenn.M.Johnson@ct.gov](mailto:Jenn.M.Johnson@ct.gov), advisor

Mel Camacho, Office of Early Childhood (OEC), [Melissa.Camacho@ct.gov](mailto:Melissa.Camacho@ct.gov), advisor

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David Alexandro, University of Connecticut/State Department of Education, [David.alexandro@ct.gov](mailto:David.alexandro@ct.gov), intern

### SECTION 3 –ALIGNMENT OF PURPOSE & SCOPE

**3.a Provide a brief summary of the Data Request.** Include a description of the categories of data, years or data and cohorts of students – if applicable. Provide enough detail so that the Participating Agencies can understand what they need to provide.

This data request supports a collaboration between PEER, OEC, SDE, and UCONN to enhance PDG evaluation efforts, in order to better understand the impact of PDG on child and family outcomes. PEER is a research-practice partnership based at Yale School of Medicine that involves early childhood stakeholders across three CT communities, along with the OEC and the SDE. In 2015, the OEC partnered with the Neag School of Education at UCONN to assess child-level outcomes within Preschool Development Grant programs. PEER will expand the scope of the current PDG evaluation by combining data from the SDE and OEC to examine the effects of PDG participation on child and family outcomes in grades K, 1, and 2. Specifically, PEER will examine the association of PDG enrollment with early elementary child outcomes including children's kindergarten entry skills (using data from the Connecticut Kindergarten Entrance Inventory (KEI)), disciplinary behavior, attendance, chronic absenteeism, on-time promotion, and the age at which children are identified for Special Education services. The evaluation team will use a quasi-experimental design to compare child outcomes for children who participated in PDG programs and similar children who did not participate in PDG programs. The project will include three cohorts of children, beginning with children who were four years old in 2015-2016 and in kindergarten in 2016-2017 and ending with children who were four years old in 2017-2018 and in kindergarten in 2018-2019. Specifically:

- OEC will provide data for three cohorts of preschoolers: those children in ECIS who were enrolled in pre-kindergarten (PK3 or PK4) in 2015-2016, 2016-2017, or 2017-2018.
- SDE will provide data for three cohorts of kindergarteners: those children in PSIS who were enrolled in kindergarten in 2016-17, 2017-18 or 2018-19. For each child, data will be provided starting from that child's entry into PSIS (including enrollment in PK3 or PK4) and ending in the spring of his/her (final) kindergarten year.
- Participating agencies aim to execute all P20-WIN agreements by end of January 2018 so that the match process can begin.
- For matching, SDE will use the PSIS October collection of the kindergarten year for each cohort (i.e., October 2016, October 2017, and October 2018.)
- All three SDE data sets and all three OEC data sets will be ready to send to DOL for matching by mid-February 2018. This will allow DOL to do the match once for all cohorts.
- OEC will send complete unit-level data for cohorts 1, 2 and 3 to Yale by the end of March 2018.

- SDE will send complete unit-level data for cohorts 1 and 2 and preliminary unit-level data for cohort 3 to Yale by the end of March 2018 (preliminary data to include data elements from rows 13-32 of spreadsheet, Child'sDateofBirth through ResidentTownNumber).
- SDE will send complete unit-level data for cohort 3 to Yale by early October 2018.
- SDE can retain the relationship between fake ID and SASID until data for all three cohorts has been provided to Yale.

**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 purpose of this data request is to support the evaluation of federally-funded education programs in Connecticut that are supported by Preschool Development Grant program. As such, this project falls within the Audit or Evaluation Exception of the Family Educational Rights and Privacy Act (FERPA) and parental consent is not required for the OEC, SDE, and UCONN to release the requested student data.

**3.c Describe the benefit that this audit/evaluation will provide to a local or State Education Authority or Agency (34 C.F.R. 99.1) and the state of Connecticut.** Note requests that only provide audit or evaluation of non-state Participating Agencies will not be approved.

This evaluation will benefit the Connecticut Office of Early Childhood (OEC) and the Connecticut State Department of Education (State Education Agencies) by helping these agencies to understand the benefits provided by Preschool Development Grant (PDG) programs. Federal PDG funding is based on the premise that high-quality preschool programs can increase school readiness and other education outcomes for participating children. These state agencies will benefit from learning whether the state's PDG classrooms were successful in improving child outcomes in measurable ways over the first years of the program. Specifically, the results of the evaluation will hopefully inform future decisions about state funding for early childhood education programs.

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

PEER researchers will employ a quasi-experimental design to compare child outcomes for children who participated in PDG programs to outcomes for similar children who did not participate in PDG programs. Specifically, we will use multi-level modeling to examine the association of PDG status with kindergarten entry skills (measured by the Kindergarten Entrance Inventory), attendance, chronic absenteeism, disciplinary behavior, on-time promotion, and age at which children are identified for Special Education services. We will correct for demographic factors such as gender, race, ethnicity, English learner status, and free/reduced price lunch status. Data for all Connecticut children enrolled in public kindergarten or publicly-funded pre-K in the study years will be used to identify a non-PDG comparison group.

**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.**

PEER will produce an internal report for the Office of Early Childhood, State Department of Education, and PDG Evaluation Team at UConn. Specific indicators will be kindergarten entry skills (measured by the Kindergarten Entrance Inventory), attendance, chronic absenteeism, disciplinary behavior, on-time promotion, and age at which children are identified for Special Education services, relative to participation in PDG classrooms or other publicly-funded pre-K classrooms. Once analyses are complete, PEER will also discuss with these entities the possibility of a public report.

**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 [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

The primary goal of this project is to understand program effectiveness at the state-level. PDG programs are located in only thirteen communities, four of which house PDG seats at a single site. Given this configuration, deidentified data is vulnerable to re-identification if presented at the site- or community-level.

Beyond presenting results only at the state level, the risk of re-identification will be minimized by suppressing data for any cells with fewer than 10 students and suppressing data for any cells that could be used to calculate values for cells with fewer than 10 students. If necessary, we will also combine/collapse outcome categories to increase subgroup sizes and/or report whole-number percentages only for subgroups, rather than reporting subgroup counts.

## **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.*

PEER will destroy the datasets for this project (including all paper or electronic copies) by December 31, 2023.

### **4.b With the addition of your signature at the bottom of this section, indicate that you agree to each of the following statements:**

- 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 adhere to 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.

I, **Michael J. Strambler, PhD**, agree with each of the statements in section 4.b.

## SECTION 5—ADDITIONAL INFORMATION

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

More information about PEER is posted at <http://peer.yale.edu>. *Assessing Kindergarten Entry Skills in Connecticut: The Kindergarten Entrance Inventory, 2010-2013*, a report based on a 2014-2018 collaboration with the SDE, is available at <https://peer.yale.edu/publications/>.

## 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 1/2/2019