



Requesting Personally Identifiable Information or Data from the Arizona Department of Education

Any person or organization, including doctoral and master's degree candidates, university faculty, independent researchers, and private and non-profit organization who wishes to use personally identifiable information of any type, must submit a data request packet (<http://www.azed.gov/data/data-requests-2/>). The data request packet must include 1) the cover sheet, 2) a project narrative and 3) all necessary /applicable supporting documentation. The project narrative should include the general purpose, a description of the study, the type of data requested, and contact information (e.g., e-mail address, phone number of the principal researcher).

All requests and supporting documents sent to the ADE become public records subject to existing privacy and other statutes. All requests reviewed and approved by the Data Request Review Board (Board) will have their cover sheet published on the ADE website. Any documents or sections of documents submitted to the ADE containing trade-secrets or confidential information (for example, if publically released will compromise the value and/or validity of the study) must be clearly indicated along with the reason why it is confidential.

The Board reviews all requests that are made to conduct research using personally identifiable data. Board meetings are closed to the public. If your initial request is denied by the Board, you can elect to revise your request and resubmit. For updated requests only, you may be requested to present at the next scheduled Board meeting to answer any questions the Board may have. You must notify ADE of your intention to do so two weeks prior to the scheduled Board date.

The ADE reserves the right to refuse a data request for student-level data and/or personally identifiable information for any reason, especially if, in ADE's view, it has the potential to negatively impact the state of Arizona, a particular school, a staff group, cohorts of students or established laws and rules. ADE will automatically refuse any data requests if personally identifiable information could be made public as part of the research study. Report authors are responsible for ensuring that the ADE's cell suppression policy (see section above on aggregate data) is applied appropriately to any reports created using data provided by ADE.

ADE recognizes and values the research work done by the education community and policy makers to improve education in Arizona. As with most organizations, ADE has limited resources to respond to data requests. Well written proposals that are aligned with the ADE Partnership Research Priorities (<http://www.azed.gov/research-evaluation/files/2011/06/ade-external-research-partnership-priorities.pdf>) will receive higher priority and preference.



Please read this section carefully. For approval to be granted, a complete request packet, including the elements detailed below, must be provided in electronic form. Faxed or hard copy materials are not acceptable. Failure to comply with all requirements may result in your request being significantly delayed and/or rejected. You can speed up the approval by checking to make sure that all necessary parts of the request are enclosed and that the materials to be reviewed are clear and legible. Board approval must be granted before the request will be processed.

Process

1. All requestors are expected to have reviewed all existing public data sets that have been published on the ADE website and confirm that the desired data is not available prior to submitting the request. A complete listing of publicly available data can be found here <http://www.azed.gov/data/published-public-data-sets/>
2. Review and complete the Personally Identifiable Information Data Request Packet, including the Cover Sheet, Project Narrative and all applicable supporting documents.
3. All Personally Identifiable Information Request Packets need to be submitted to DataRequestMailbox@azed.gov
4. Once a requestor has provided a complete packet of materials, the Data Request Review Board will begin its review. Incomplete packets will not be considered. Requestors should allow at least 45 days for the approval process to be completed. Be aware that ADE may legally deny, with any or no reason, requests for student-level data and/or personally identifiable information.
5. Notification of the Board's final determination will be sent to the requestor.
6. Individuals with an approved PII request will need to complete a data sharing agreement.
7. Requests that are approved are placed in a processing queue. ADE uses its discretion in prioritizing requests. Even though ADE will make every attempt to provide data by the requested date, there is no guarantee that the data will be delivered by the requested date.



Narrative GUIDELINES

All requests for personally identifiable information must include a detailed description of the requested data and of your proposed study. This description of your study question(s) should be clear and specific with regard to the 1) variables to be examined, 2) time period of interest, and 3) analytical methods. Requesters are also required to describe their projects and how results will be used. Below are suggestions to help guide requestors in composing a clear, complete description of their study or question.

Specific Project Aims

State the long-term objectives and specific aims of the proposal. This should include specific research questions and your hypotheses for the results. If your study addresses more than one research question, please describe and address each clearly and explain how the questions relate to one another. State why this research is being conducted, for example if it is the basis for a thesis or dissertation, peer reviewed publication, a policy report, or other research purpose. If applicable, indicate the source and amount of funds that support the study.

Significance, background, and preliminary studies

Provide context and relevance of the study proposal to education, the science of teaching or learning, or education policy. This might include a brief statement of the theoretical basis for your study from prior published research (include references in APA format as relevant- see below), and what contribution your work is expected to make in that context. If the research proposal is aligned to ADE's Partnership Research Priorities (<http://www.azed.gov/research-evaluation/files/2011/06/ade-external-research-partnership-priorities.pdf>), please specify the area to which it supports. If the proposed study furthers or continues a line of academic inquiry, please describe any relevant preliminary or precursory studies and how the current research expands upon your foundational work.

Experimental/Research design, methods, analytic plan

In all analytical proposals, the purpose and specific methodologies that will be used must be described in enough detail so that the reviewers can determine their relevance to the requested data. Describe the methods that you will use and why they are appropriate for your research questions and your requested sample. The methodologies and statistical or analytical plan must be appropriate and match the scales of measurement of the variables requested and must relate specifically to the data elements and time periods requested. Also describe your anticipated analysis plan (essential), including specifics regarding your treatment of the data, statistical or otherwise.

Exploratory study questions must meet the same standard. For these types of projects, specific hypotheses would not be necessary but should be described in sufficient detail so that the reviewers can understand and follow your line of inquiry.



Data Requested

Please list all variables requested. For example,

1. Standard student demographics include gender, race/ethnicity, limited English proficiency indicator, special needs indicator, economic disadvantage indicator.
2. Specify counties/districts/schools, if statewide data not required.
3. When requesting state assessment data, include relevant school years, grades tested, subjects tested, measures of interest (e.g., scale scores, performance categories), test period restrictions, where appropriate.

Supporting Documents

Along with the cover sheet and project narrative, any request for student-level data and/or personally identifiable information must be accompanied by the following attachments, as applicable. If a request packet does not include the necessary attachments, the request will be considered incomplete.

1. Evidence that the requestor is capable of handling the data. (For example a current résumé or curriculum vitae from the requestor and/or the research team.)
2. In the case of graduate students who are proposing to conduct research, ADE requires written approval by the person who is the advisor to the person making the request.
3. In the case of independent researchers who are proposing to conduct research, ADE requires written evidence of the knowledge, ability, and/or capacity to conduct the proposed research.
4. If research is being conducted, ADE requires written proof that the institution or organization under whose auspices the requestor is working has granted written permission for the study through its own IRB or other signatory authority.
5. If the researcher(s) requests data for selected schools and/or school districts, the researcher(s) must also provide documentation granting permission from the target school(s) or school district(s).

Data Sharing Agreement

The ADE is charged with and takes very seriously the collection, management, and stewardship of education data records. As such, the ADE enforces policies concerning the use and sharing of data that preserves the privacy and rights of our students, educators, and system. To that end, an approved data request will require a data sharing agreement, which will include the following written assurances, before any data are shared.



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1. Because the ADE closely scrutinizes the risks associated with research involving human subjects, I assure that the proposed study will not hinder learning, interfere with safety, or negatively impact the teaching/learning process.
2. Pursuant to the Federal Educational Rights and Privacy Act, I assure that confidentiality of student- and staff-level data will be maintained for all research involving any human subjects.
3. I assure that the identities of students, staff, schools, districts, the ADE and/or the state of Arizona will be masked when the researcher disseminates findings.
4. I assure that a summary of preliminary research findings and/or a technical report will be provided for ADE's review at least 30 days prior to any publication of any studies conducted using student-level data or personally identifiable data from ADE.
5. I assure that a full copy of the published study and results will be provided to ADE.
6. I acknowledge that all the researchers involved in the research study must sign a confidentiality agreement and/or a memorandum of understanding that outlines the parameters (such as data security) of the project upon approval of this data request.
7. I assure that no personally identifiable information will be released as part of the study.