

eMPowerED | P20W SLDS Research Portal User Guide

Prepared for
Commonwealth of the Northern Mariana Islands

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1 Overview

The PreK to Workforce State Longitudinal Data System (P20W SLDS) Research Portal, known as eMPowerED Research Portal, is a web application to provide researchers with measurable data over time for different data groups. The underlying data model provides the ability to connect data longitudinally in a deidentified manner. The model supports multiple use cases to include research, evaluation of inputs and outcomes, and policy impact determination to support data driven decisions. For example, a research project purpose may use the data model to determine connections between the K-12 school system and higher education records to examine a continuing education trend. The model’s purpose is to give researchers, policy makers and others a basis to evaluate the State population for specific purposes.

The objective of the eMPowerED Research Portal is to facilitate virtual communications between researchers and participating agencies to access and analyze data sets. The Research Portal guides users through the research process to gain approval of the project purpose, restricted use data access, and the final product created from the analysis of the datasets.

2 Secure Application Access and Roles

The web application authenticates and authorizes users to access the system with a user account email and password. The initial login to the system is provided through a unique link that is generated once the agency sponsor creates the user permissions in the system. Users are required to create a password and security question for the initial login to eMPowerED. The system will prompt users to reset their password every 90 days upon the login attempt.

ID	Access Requirement Description
D1	eMPowerED is accessible through the secure webpage URL, https://cnmi-myresearch.dbdriven.solutions
D2	eMPowerED enforces user access and permissions as set in the CRM/Agency Portal
D3	Users may access using hardware such as a desktop or laptop computer
D4	Users may access using the latest versions of common web browsers such as Google Chrome, MS Edge, and Safari

Table 1: System Access Requirements

The user access, permissions, and roles are defined within the Microsoft Dynamics CRM. Users may only complete actions in the Research Portal in accordance with their role assignment.

After the initial login, users may access eMPowerED at <https://cnmi-myresearch.dbdriven.solutions> through a common web browser. At the login page the user enters the account credentials.

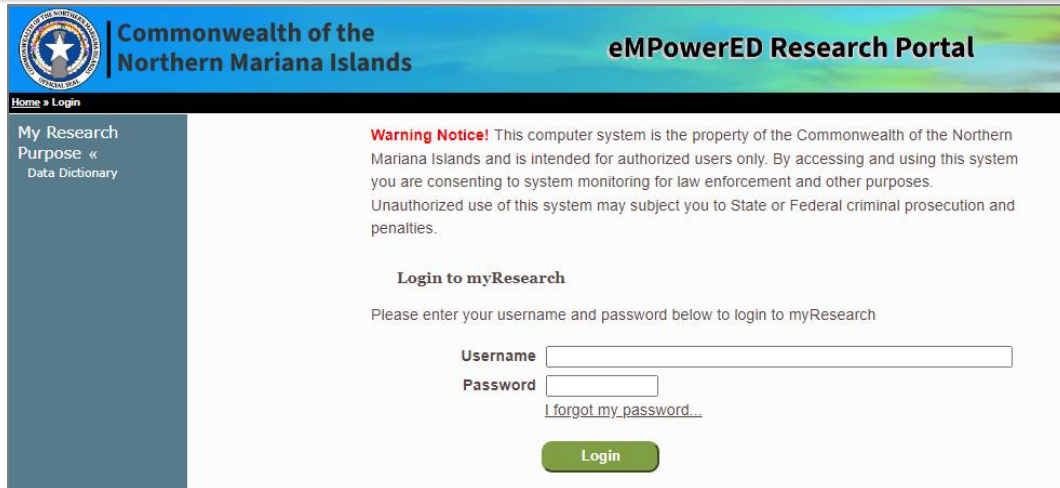


Figure 1: eMPowerED Research Portal Login Page

2.1 Roles

Two roles are defined within eMPowerED and collectively called team members:

1. Principal Project Officer (PPO)
 - a. One per research project
2. Member
 - a. 0 or more per research project

2.1.1 PPO Role

PPOs have full rights and access to eMPowerED components to view, action, and submit for all approvals.

2.1.2 Member Role

Members have access to eMPowerED components to view and action but may not submit for approvals, except in the case of the data package submission.

3 High Level Research Process

The Research Process begins with a PPO contacting the respective Agency Sponsor of which maintains and shares the main dataset to be utilized for the research project. The Agency Sponsor sponsors the research project and approves account creation for the PPO in the system. The PPO may assign and submit for approval a member to assist with the research project steps and tasks in eMPowerED. The member must be approved by the Agency Sponsor for account creation in the system. Only one member may be added by the PPO for approval before the Research Purpose is approved.

The following table outlines the Step actions at a high level and who is authorized to execute each step in the research process.

Step	Action	Who can Action
1	Contact and Employer Info	Account holder (e.g., PPO, Member)
2	Add Team Member	PPO
3	Research Purpose and Agency Data Requested	PPO/Member
4	Submit Research Purpose for Approval	PPO
5	RUDA Info	PPO/Member
6	Submit RUDA for Approval or Amendment	PPO
7	Data Request, Create Query	PPO/Member
8	Submit Data Package for Approval	PPO/Member
9	Receive Data Access Approval	PPO/Member
10	Download and View Data Results	PPO/Member with NDA on file
11	Upload Project Product(s)	PPO/Member
12	Certify Destruction of Data and Close Project	PPO

Table 2: High Level Research Process

4 eMPowerED Features

The eMPowerED Research Portal presents a dashboard with a sequence of Steps and Tasks to electronically share information about the research project for approval by the agency(ies). Quick menu options are available to view or edit information and status of communications based on actions taken for each step in the research process. If more than one research project is active for a user, the Research Purpose title may be selected from the drop down menu to switch between projects.

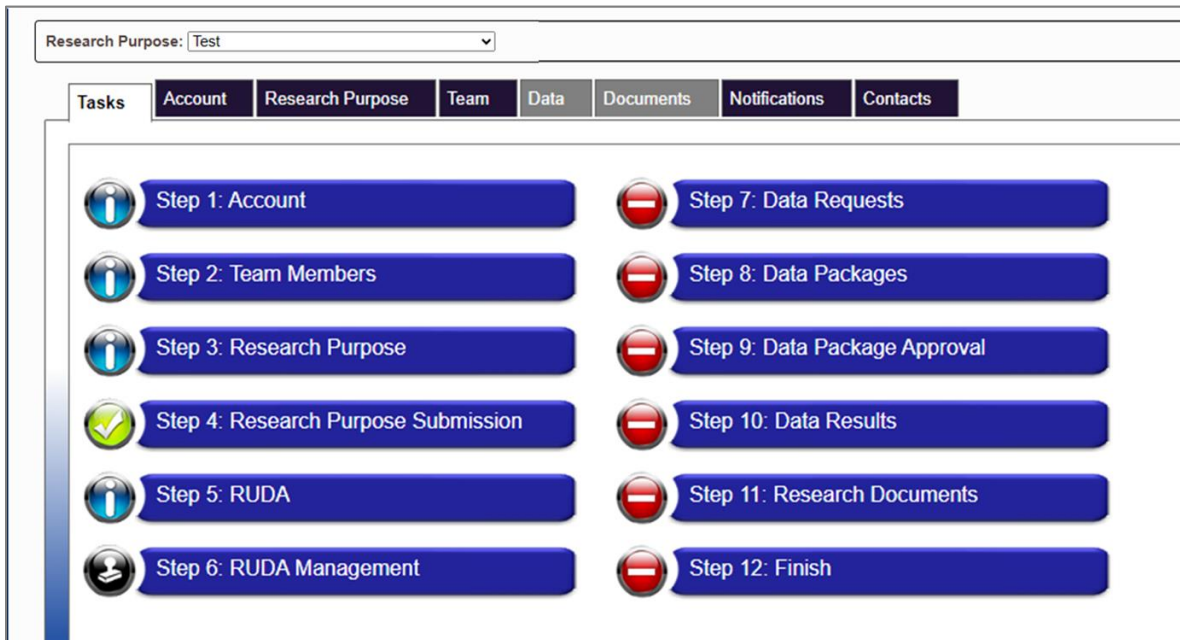


Figure 2: eMPowerED Dashboard

The Steps are organized in a manner to assist users with submitting the information needed for approval to move to the next step, although, there are some tasks which may be completed at the user's discretion. Icons guide the user to understand the status of each step as noted in Figure 3.

The shading of tasks (light or dark green) guides the user to understand active and inactive tasks depending on where the user is in the process.





Icon	Meaning
	Information you can access at this time
	Information you may not access at this time
	Step currently approved and complete
	Step awaiting approval

Figure 3: Dashboard Icons and Meaning

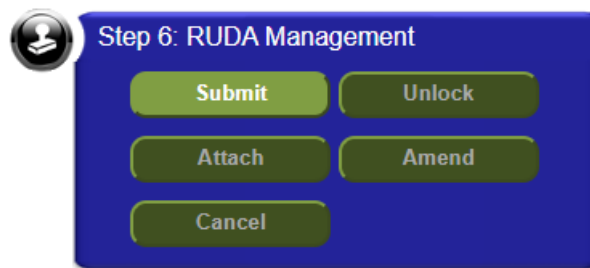


Figure 4: Shaded Tasks

4.1 Tasks

Tasks are organized by Steps. Selecting a Step expands the menu to view the tasks to select and complete the required fields of information. Users may also complete each task in a Step by navigating through the ‘Save and Next’ option in the pop-up box.



Figure 5: Tasks

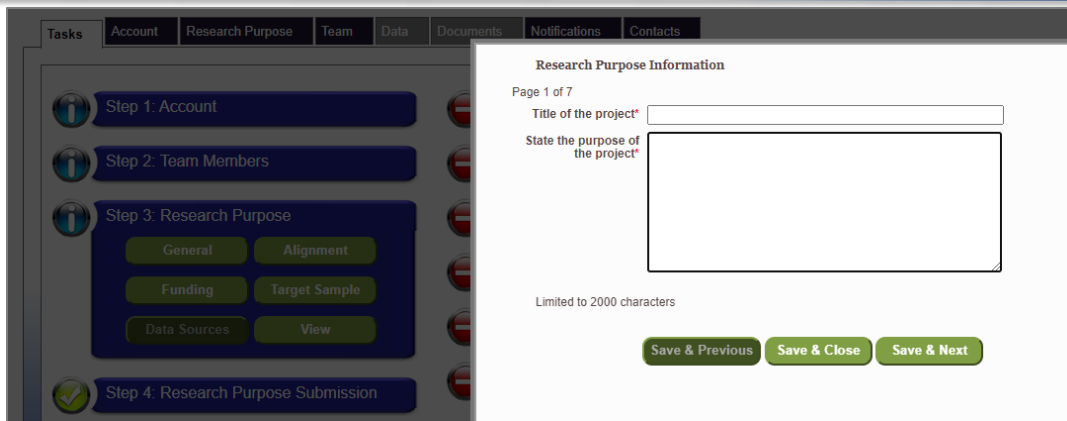


Figure 6: Task Navigation and Data Entry

4.2 Account

The Agency Sponsor authorizes the creation of an account in the system. Account information requires the user’s contact and employer information. The main menu provides additional functionality to change the user’s password, security question, and email/username.

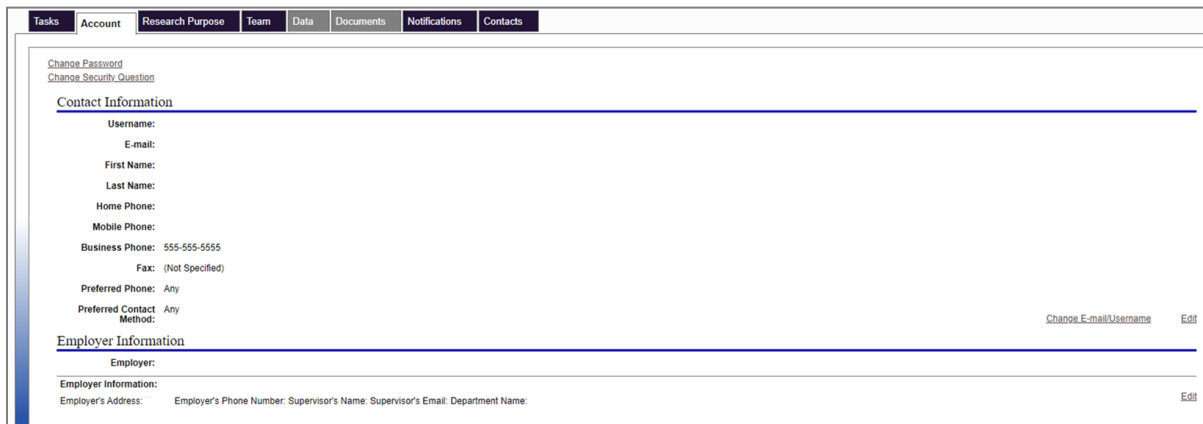


Figure 7: Account Main Menu



4.3 Team Members and NDA

Only one team member may be added to the project by the PPO prior to approval of the Research Purpose. Once the Research Purpose is approved, more members may be added for approval by the agency. Active and Pending Team Members may be viewed in the Team menu options.

Team members should download, sign, and submit a non-disclosure agreement (NDA) in order to create the data package and download the restricted use data results later in the research process.

Tasks
Account
Research Purpose
Team
Data
Documents
Notifications
Contacts

Active & Pending Team Members

Name	Project Role	Position	Last Activity	NDA	Approval	Manage
	Principal Project Officer	Principal Project Officer	1/17/2024 12:11:23 PM			Edit / Upload NDA / Remove

[Blank Non-Disclosure Agreement \(NDA\)](#)

Inactive Members

Add New Team Member
Search Existing LDS Members

Figure 8: Team Information

4.4 Research Purpose

The PPO or member may complete the required fields of the Research Purpose. Only the PPO may submit to the Agency Sponsor for approval. The Research Purpose ensures the project aligns with an appropriate use of the restricted use data.

4.5 Documents

Documents may be uploaded electronically to share with the Agency Sponsor. Documents to upload in the document menu include research products or the PPO’s organization’s security plan and policies. The security plan and policies document is required and appended to the RUDA to submit for approval.

4.6 RUDA

The Restricted Use Data Agreement (RUDA) is an agreement between the Agency Sponsor, Partner Agencies (if applicable, depending on the datasets requested), and the PPO’s organization. The RUDA is required before access to agency datasets is permitted. The Agreement is an important document that is either electronically signed by the PPO, if authorized by the PPO’s organization, or downloaded and signed in ink by the appropriate organization representative.

If the RUDA is rejected by the Agency Sponsor or participating Partner Agencies, the user may modify the RUDA in the Research Portal and resubmit. However, once a RUDA is approved, the only method to change the content of the RUDA is through the Amendment process.

The “Amend” option in Step 6 presents three options to amend one type of content at a time. Once a selection is made, the following prompt will guide you on the research process steps to return to for the amendment. For example, to amend the Research Purpose Responses, the user edits the fields in Step 3 and/or Step 5 as needed, and then goes back to Step 6. At Step 6, the PPO submits each amendment individually that is ready to request approval by the sponsor and partner agencies.

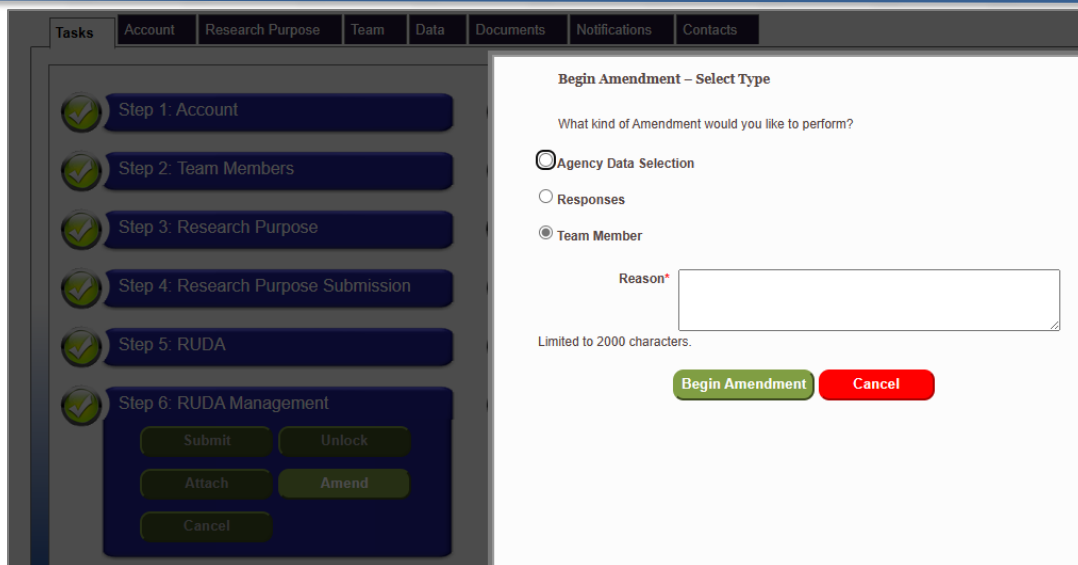


Figure 9: RUDA Amendment Process

4.7 Data Dictionary, Request Tool, and Package

The **Data Dictionary** lists the complete library of data elements and valid values available from each participating agency. The data dictionary may be used to familiarize with the available datasets and to plan for the **Data Selection** step in Step 5: RUDA (see section 4.6).

The **Data Request Tool** assists users with building a query to request specific data tables and/or elements necessary to support the research project. The data elements available in this step are dependent on the Data Selection made in Step 5. Additionally, the query provides the ability to build the resultant data based on matched records across agency data, if more than one agency dataset is selected. For example, a research purpose may use the data model to determine connections between the K-12 school system and higher education records to examine a continuing education trend, in which case, matched records benefit the analysis and outcome.

Once the selections are made for matched records and data elements, filters may be applied. Using the K-12 school system and higher education records example, the user may apply a filter for records that match equal to and greater than the school year 2010.

Step 1: Information

[Step 2: Column Selections](#)

[Step 3: Filters](#)

[Step 4: Summary](#)

Information

Research Purpose: Test

Data Request Name

Description

Starting Agency

Starting Demographic Log

Include Unmatched in Starting Agency

Include Unmatched in Partner Agencies

Modified Date 1/19/2024 2:30:05 PM

A data request name is required.
 A data request description is required.
 A starting agency must be selected.
 A starting demographic log must be selected.
 At least one column must be selected (Step 2).
 The starting agency requires a filter (Step 3).

Cancel
Back
Next
Save As New
Finish

Figure 10: Data Request Tool

Step 1: Information

[Step 2: Column Selections](#)

Step 3: Filters

[Step 4: Summary](#)

Filters

Virginia Department of Education

Join Type

Table and Column

Operator

Filter Value

Add Filter

Join Type	Agency	Table	Column	Operator	FilterDisplay	Move Up	Move Down	Delete
	DOE	CTE Student Credentials	Beginning School Year	Greater than	2010	Up	Down	Remove

A data request description is required.

Cancel
Back
Next
Save As New
Finish

Figure 11: Example Filter for Data Request

The **Data Package** is the resultant data from the query, which must be submitted for approval to the agency(ies) who own the data. Once approved, the data results become available for download by the PPO or Member as long as the user has an approved NDA on file in the system.

The status of data requests and results may be viewed in the Data menu option.

Tasks	Account	Research Purpose	Team	Data	Documents	Notifications	Contacts
Data Requests and Results							
<u>Completed and Denied Packages</u>							
Name	Created	Received	Request - Result/Status	Manage			
(No Data Packages in this status)							
<u>Approved Packages</u>							
Name	Created	Approved	Request - Result/Status	Manage			
(No Data Packages in this status)							
<u>In Review/Queued Packages</u>							
Name	Created	Approved	Request - Result/Status	Manage			
TestPack	01/18/2024 09:10 AM	Not Approved	Test1 - In_Review				
Data Dictionary DRT New Data Package							

Figure 12: Status of Data Requests and Results

4.8 Research Documents

Research documents are submitted to the agency for approval to ensure the final project product complies with all provisions within the RUDA. Examples of products include aggregate data, thesis, presentation, journal article, etc.

4.9 Conclude

The last step is to certify all products containing restricted use data are destroyed. Access to the research project will cease following confirmation.

4.10 Notifications

The status of submissions and approvals may be viewed in the Notifications menu option.

Tasks	Account	Research Purpose	Team	Data	Documents	Notifications	Contacts
Approvals							
Date	Type	Subject	Message	Response	Agency		
1/18/2024 9:10:53 AM	Data Package Approval	The referenced data package, TestPack, has been submitted for approval.		Open	DOE		
1/18/2024 9:06:54 AM	New NDA	Please review Tamra's NDA		Approved	DOE		
11/30/2023 10:30:13 AM	RUDA Partner Approval	The referenced RUDA has been submitted for approval.		Approved	SCHEV		
11/30/2023 10:16:56 AM	RUDA Sponsor Approval	The referenced RUDA has been submitted for approval.		Approved	DOE		
11/29/2023 7:50:36 AM	Research Purpose Approval	Please approve research purpose "Tamra's Research Purpose for Modernization"		Approved	DOE		
11/15/2023 8:19:31 AM	Research Purpose Approval	Please approve research purpose "Tamra's Research Purpose for Modernization"	No gateway role	Rejected	DOE		

Figure 13: Notifications

4.11 Contacts

The Agency Sponsor contacts are provided in the Contacts menu for the Agency Sponsor, Artifact Approver, Data Package Approver, and RUDA Approver.

4.12 Approvals

There are 6 approval points, which must be completed in a specific order to sequence through the steps:

1. Agency Sponsor Approves Account Creation in eMPowerED
2. Research Purpose
3. RUDA
4. Data Package
5. Final Research Product
6. Research Project Closeout

Other approval points, if applicable, include:

1. Approval of Team Members
 - a. Note: only 1 team member may be added prior to Research Purpose approval
2. NDA (if not already on file)

5 eMPowerED Research Process Input and Business Rules

This section details the required input necessary to reach Step 7 and the subsequent steps to access the restricted use data in the research process. Additionally, the research process business rules detail specific process requirements.

5.1 Research Process Input

Step	Info	Input
1: Account	<ol style="list-style-type: none"> 1. Contact 2. Employer 	<ol style="list-style-type: none"> 1. First, Last, Business Phone 2. Employer Name and Information
2: Team Members	<ol style="list-style-type: none"> 1. Contact and Role 2. NDA 	<p><i>No required input or submission to add a team member</i></p> <p><i>Limit 1 team member entry prior to step 3 approval</i></p>
3: Research Purpose	<ol style="list-style-type: none"> 1. General 2. Alignment 3. Funding 4. Target Sample (if applicable) 5. Data Sources 	<ol style="list-style-type: none"> 1. Title, State the purpose of the project. Explain the project (explain the importance and describe the intended usage of the findings) 2. Topic to Add (drop down menu). How does this Project align with the strategic priority(s)? Additionally, if your research includes the use of education records, please indicate how the education records will be used to evaluate education programs? 3. What is the status of the funding? Funding Name. Award Date. End Date. Amount. Funding Source. Funding Type. Dependent on Data? 4. <i>Not required</i> 5. Select Data Sources (multiple choice)
4: Research Purpose Submission	<ol style="list-style-type: none"> 1. Submit 	<ol style="list-style-type: none"> 1. Submit Research Purpose for approval of Project

Step	Info	Input
5: RUDA	<ol style="list-style-type: none"> General Team Data Selection 	<ol style="list-style-type: none"> Why is restricted-use data required? Discuss the expected uses and users of the results of the project including expected products and publications. Provide a brief description of the computer system and software that will be used to run the restricted-use data. Examples are provided in the RUDA document. Upload required Security doc. PPO may sign on behalf of org? Data Selection (e.g., the data elements you plan to use)
6: RUDA Management	<ol style="list-style-type: none"> Submit Amend 	<ol style="list-style-type: none"> Submit initial RUDA or Amendments Execute one or more of the 3 types of Amendments

Table 3: Steps and Input Required to Access Data

5.2 Research Process Business Rules

ID	Task	Business Rule Description
BR1	Account	PPO must complete required account info before starting the project process
BR2	Team Members	Only 1 team member may be added to the project by the PPO prior to Project Purpose approval
BR3	Notifications	Notifications show all completed actions and agency responses/approvals
BR4	Agency Contacts	Agency Sponsor Contacts (RUDA Approver, Data Package Approver, etc.)
BR5	Approvals	Approvals must be completed in order (see Section 4.12)
BR6	Research Purpose Selection	User may select a project to switch between projects, if more than one is active on file
BR7	Research Purpose	PPO must submit for approval
BR8	Security Plan and Policies	Security Plan and Policies document upload is required (blank document is available for download in the web app)
BR9	NDA	NDA uploads and approvals are required to create a data package and to download data results (also see BR14 and BR15)
BR10	RUDA	<ul style="list-style-type: none"> Only PPO may Submit RUDA Preview of RUDA is available after Research Purpose approval Download of RUDA available once signed and ready to submit
BR11	RUDA Amendments	<ul style="list-style-type: none"> PPO/Member may Amend RUDA but only PPO may submit for approval If RUDA not electronically signed by PPO, then user must use Unlock and Attach functions
BR12	DRT	Data Request Tool button remains unavailable until after RUDA approval
BR13	Data Package	Requires approval of RUDA, completion of DRT to submit, and at least 1 NDA on file for a member from the team

ID	Task	Business Rule Description
BR14	Data Results	The user must have NDA on file to execute the download of data results
BR15	Final Research Product	Require approval by Agency Sponsor
BR16	Closeout/Conclude	'Certify destruction of all data' used to create the final product. Request approval to close the project. Access to the Research Purpose is terminated upon conclusion.

Table 4: Research Process Business Rules

6 Glossary of Terms, Concepts, and Entities

A

Agency Sponsor - the State Agency representative who is the primary point of contact, the Owner of the Member account, and approver of the Research Purpose.

Aggregate Data – data in summary form containing information the Researcher intends to publish.

Amendment – an amendment is a process defined within eMPowerED (Step 6) that allows the PPO to modify all information input to the existing RUDA for a given Research Purpose.

Approvals – approvals refer to any item you submit that requires an Agency Sponsor or Partner Agency to approve. All approvals will show up on the Notifications Tab and all approvers will show up on the Contacts tab.

C

Customer Relationship Management (Microsoft Dynamics CRM) – a software package which contains customizable turnkey solutions for managing a company’s interactions with customers, clients, and sales prospects.

D

Data Dictionary and Selection Tool – an interactive data dictionary, which allows the Research Team to define the scope of their Research Purpose data needs by selecting from all available Agency data.

Data Domain – a categorization of data within as well as across agencies (e.g. Financial Data, K12 data)

Data Package - provides a mechanism to group multiple Data Requests together with the sole purpose of linking all the data in the Data Requests using key information common to those Data Requests.

Data Request – subset of data elements selected from the data elements that were selected in the Data Dictionary & Selection Tool.

Data Request Tool (DRT) – the tool that allows the Researcher to select linked subsets of data from the data elements that were selected in the Data Dictionary & Selection Tool.

Data Results – the tables returned to a Research Team from the eMPowerED system as a result of an approved and processed Data Package.

Dialog (AKA Modal Window) - a child window displayed in a dialog box that requires users to interact with before returning to the parent process the dialog was launched from.

Document Identification number – a number generated by eMPowerED to track the Research Purpose’s associated RUDA.

E

eMPowerED – an integration of several custom developed and COTS products and software all built on a foundation of web services, data bases, application configuration, and network configuration. The eMPowerED system is divided into two parts--the Research Portal used by project Members (e.g. Principal Project Officer, Member), and the CRM used by Agency

Representatives (e.g. Agency Sponsors (AKA Research Purpose Owners), Agency RUDA Approvers, Query Package Approvers, Artifact Approvers). These two halves are logically connected by communications in the form of emails, alerts posted to different tabs on the Portal, and views posted to dashboards within the CRM.

L

Longitudinal Data – data that identifies and tracks a population enclave (e.g. students, teachers, schools, various cohorts) over multiple years with the aim of obtaining quantitative results correlating the need or efficacy of specific programs, whether retrospective or prospective.

N

Non-Disclosure Agreement (NDA) - a contract through which the project Members agree not to disclose information covered by the agreement. The NDA protects the confidentiality of nonpublic agency information. A Member must have an NDA in order to download Data Results.

P

Partner Agency – a participating agency, of which data you have selected other than the Agency Sponsor data.

Personal Identifiable Information (PII) – information that may be used to identify an individual

Portal – the eMPowerED Research Portal, the object this document exclusively strives to explain to the project Member.

Principal Project Officer (PPO) – the lead researcher and primary point of contact for all matters regarding the subject research purpose. While a research purpose may have many team members, only one may be assigned the role of Principal Project Officer.

R

Research Purpose – 1) an object within the eMPowerED system to which all information, defined by your Research Team for a single research project, is associated. 2) Includes all aspects of why you require access to data and why and how your Research Team will consume and disseminate data.

Researcher – a member of the Research Team acting in any capacity as required by the PPO.

Research Team – at a minimum must contain a PPO but may have as many Team Members as necessary associated to a defined Research Purpose.

Restricted Use Data Agreement (RUDA) – a legal binding agreement between eMPowerED and an external entity (e.g. research organization), when an external entity requests the use of personal identifiable data that is covered by a legal authority, such as the Privacy Act of 1974, Economy Act, Government-wide User Charge Authority, Joint Project Authority, and the Clinger-Cohen Act. The agreement delineates the confidentiality requirements of the relevant legal authority, security safeguards, and the data use policies and procedures. The RUDA serves as both a means of informing data users of these requirements and a means of obtaining the agreement to abide by these requirements. Additionally, the RUDA serves as a control mechanism for tracking the location(s) of the RUDA's data and the reason for the release of the data.

Research Purpose Amendment – covers all modifications to the responses that that Research Team crafted in establishing the Research Purpose.

S

Sponsoring Agency – the agency your Agency Sponsor represents.

Step – refers to any of the twelve research process steps defined on the Tasks tab. The “Step” is a navigation design mechanism that segments the processes required for accessing, managing, and assimilating agency data. It provides an intuitive anchor for the Researcher by decoupling these processes into conceptual groups.

T


Team Member – a member of a research team related to a Research Purpose regardless of role (i.e. may or may not be a PPO).

7 Appendix A. Research Process Quick Start Check List


Research Process

Quick Start Check List


Establish Portal Account

- Contact a Partner Agency to request an interim Portal Account.
-  If approved for an interim Portal Account, you will receive an email from your Agency Sponsor with a one-time login link
- Establish a permanent username and password.
- Specify your personal account information
- Provide your Employer's information


Add Team Members

- Provide an additional team member
-  Multiple team members may be specified only after your Research Purpose is approved




Specify Research Purpose

- Specify research purpose information and its alignment with VLDS
- Specify funding information
- Specify the Agencies whose data you will need to access in order to complete your research
- Submit your Research Purpose for approval
-  Note: you must receive Research Purpose approval in order to continue

Enter RUDA information

- Complete your project's Restricted Use Data Agreement (RUDA)
- Select all the data attributes from all the agencies you will require to complete your research purpose
- Submit the RUDA for all participating agencies approval
-  Note: you must receive RUDA approval in order to continue the process





RUDA Amendments (repeatable)

- Select amendment type
- Make modifications as specified in Modal directives
- Complete submit dialogs
- Wait for approvals
-  You may submit one Data or Response amendment at a time for approval
-  You may cancel any pending amendments
-  Team Member deletions do not require approvals, and additions do not require signatures.

Create Data Requests (repeatable)

- Submit a Non-Disclosure Agreement (NDA) for each team member who will have access to the VLDS data
- Perform two-year criminal background check for all team members when accessing VEC agency data
- Build data requests using the Data Request Tool


Create Data Package (repeatable)

- Create Data Packages by selecting from your existing Data Request
- Submit Data Packages for Agency Sponsor (team) approval
-  Your PPO will be notified of your Data Package's approval/submission or rejection
-  Your PPO will be able to retract the Data Package submission until it's no longer in queued status
-  Once processed, your PPO will be notified of the results data is available for download for a period of 10 days
-  Once processed, the Notifications tab will be updated reflecting the availability of the aggregated results data


Process Resultant Data (repeatable)

- Download aggregated data results
- Complete Research and create Research Documents

Submit Research Documents

- Submit research artifacts
-  Note, any aggregate tables which will be published must be submitted for review and approval before publication.

Finish Research Project

- Conclude your research by certifying that all PII data obtained from the VLDS has been destroyed
-  If you have no other VLDS research projects in progress your Portal Account gets closed

8 Appendix B. Non-Disclosure Agreement

AFFIDAVIT OF NON-DISCLOSURE

Name: _____

Date: _____

Organization: _____

Job Title: _____

I, _____, do solemnly swear that when given access to the Virginia Longitudinal Data System Restricted-Use Data, I shall not:

- Use any individually personally identifiable information furnished, acquired, retrieved or assembled for any purpose other than an approved statistical project, as described in a properly executed and valid Restricted-Use Data Agreement, which I hereby certify that I have read and understand.
- Make any disclosure or publication whereby any individual could be identified or the data furnished or related to any particular person.
- Permit anyone to examine individual records or files other than the individuals authorized in the Restricted-Use Data Agreement.
- Store any restricted-use data on any portable electronic computing device or other electronically retrievable sources.

I understand that a violation of these terms may subject my employer to liability for breach of contract and may subject me to disciplinary action by my employer. Furthermore, I understand that I may be held personally liable for any violation.

[signature of affiant]

[printed name of affiant]

[address of affiant, line 1]

[address of affiant, line 2]

Subscribed and sworn to before me, this _____ day of _____ [month], 20____.

[Notary Seal:]

[signature of Notary]

[printed name of Notary]

NOTARY PUBLIC: My commission expires: _____, 20____.

9 Appendix C. Security Plan and Policies Document

Security Plan Requirements (v 20180919)

Restricted data cannot be stored in any cloud file storage (e.g., Google Drive, Dropbox). It is preferred and recommended that restricted data be stored and accessed from a secure server. Restricted data may be stored on encrypted removable storage devices (e.g., flash drives, encrypted hard drives) and will be evaluated on a case-by-case basis. Please use the response spaces in the chart below to describe how restricted use data will be accessed, stored, analyzed, and protected for this project:

<i>Question</i>	<i>Response</i>
Where will the restricted data be stored and how will the data files be encrypted?	
Describe procedures for limiting access to data files to only authorized team members.	
How will data be securely transmitted between team members (if applicable)?	
List the operating system(s) for the computer(s) that will have access to the data. How will access to those computers be controlled and monitored?	
What software will be used to analyze the data?	
Where will the files generated by the aforementioned software be stored and how will the files be protected?	

Please provide a copy or a web link to your organization's information security and/or data protection policies, procedures and any other or relevant information concerning the storage, use and retention of restricted use data.

10 Appendix D. Sample RUDA

Commonwealth of the Northern Mariana Islands Longitudinal Data System

Document ID: 28125



INSTRUCTIONS: Please submit a signed copy of this agreement, either by adding your signature electronically or by submitting an original signature of an individual authorized to sign this agreement; the agreement will be countersigned and a copy made available to you.

The Restricted Use Data Agreement requires the completion of:

1. A description of the proposed project (Section A)
2. A data protection security plan for the Restricted-Use Data (Section B)
3. A list of requested data elements (Section C)
4. A description of agency supplied terms (Section D)
5. An addendum between the Sponsor and the Employment Commission if unemployment compensation information is among the requested data elements (Section E)

This agreement shall be reviewed by a committee appointed by the Participating Agencies. If approved, the committee shall direct the disclosure of the requested information under the terms of this Agreement. If disapproved, the committee shall provide specific information about the reasons for non-approval.

Definitions:

"Contract/Project Document" The record(s) summarizing the research that will be conducted using the Restricted-Use Data and outlining related terms and conditions as applicable. At a minimum, the Contract/Project Document must specify the following: research start date, research stop date, a project name, the name of the entity conducting the research, the individual serving as Principal Project Officer and the project Sponsor.

"Restricted-Use Data" shall mean data, in de-identified form only, and specifically not including any Personally Identifiable Information, provided by a Participating Agency subject to the conditions and limitations herein.

"Personally Identifiable Information" shall mean data maintained by a Participating Agency that identifies a particular individual through name, social security number or other agency-issued identification number or through characteristics that would allow someone reasonably familiar with the individual to identify that person.

"Sponsor" shall mean the Participating Agency that has agreed to serve as the Participating Agencies' administrative contact for the conduct of the proposed project described in Section A.

Agreement:

This Agreement is between Public School System (hereinafter "Participating Agencies") and DBDriven together with those additional organizations involved with the project, if any, which are further described in Section A (hereinafter "Contractor(s)"). The Sponsor shall be Public School System. This Agreement is associated with Contract/Project Document No. CNMI-1 and those additional contracts and project documents described in Section A (hereinafter "Contract(s)"), all of which shall be deemed incorporated and attached thereto as specified therein.

Purpose:

Participating Agencies administer programs that involve the collection and analysis of Personally Identifiable Information. The Participating Agencies carefully safeguard the security of such personally identifiable information restricting its use to authorized personnel and purposes. Because disclosure of such Personally

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Identifiable Information is permitted only under strict control in accordance with federal and state laws and regulations and the Participating Agencies' policies, the Participating Agencies agree to provide Contractor(s) with such information in de-identified form only. Contractor(s) acknowledges that this Agreement does not authorize it to use Participating Agencies' Personally Identifiable Information and shall promptly return any such Personally Identifiable Information it is inadvertently provided in conjunction with a request for Restricted-Use Data.

Pursuant to the terms of Contract(s), the Contractor(s) shall conduct analysis that can only be accomplished using Restricted-Use Data and shall comply with the Participating Agencies' security requirements set out in Section B and Section D hereof for the handling of Restricted-Use Data.

The Participating Agencies shall provide to the Contractor(s) a read-only file containing Restricted-Use Data as specified below in Section C.

The Contractor(s) shall comply with the terms of this Agreement. Any data provided by the Participating Agencies shall remain the property of the Participating Agencies.

Information Subject to this Agreement:

All data files containing Restricted-Use Data provided by the Participating Agencies or on behalf of the Participating Agencies to the Contractor(s) are subject to this Agreement. All information derived from those data, and data resulting from merges, matches, or other uses of the data with other data are subject to this Agreement and are referred to in this Agreement as Restricted-Use Data.

Violations of this Agreement shall require the immediate return of the Restricted-Use Data to the Participating Agencies or, if so directed in writing by Sponsor, written verification of destruction of all Restricted-Use Data. In addition, the Contractor(s) may be barred from access to Restricted-Use Data for five years from the date of the violation pursuant to relevant provisions of federal law.

Uses of the Data:

The Contractor(s) shall only use the Restricted-Use Data in a manner and for a purpose consistent with the statistical purpose for which the data were supplied pursuant to the proposed project described in Section A and consistent with the Contract(s). A description of the proposed project is attached as Section A hereto and made part of this Agreement.

Data Disclaimer:

Although the Participating Agencies have made reasonable efforts to ensure that the data subject to this Agreement are up-to-date, accurate, complete, and comprehensive at the time of disclosure, all Restricted-Use Data is provided on an "AS-IS" basis with no warranty of any kind. The Restricted-Use Data 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 attributed to the Participating Agencies or their data-submitting organization(s), unless such attribution is authorized in writing.

Individuals Who May Have Access to Restricted Data:

Only individuals employed by the Contractor(s) who have an approved Affidavit of Non-disclosure in the form



provided in Section E shall have access to the Restricted-Use Data. A list of the names, titles and authorization status of each of those individuals shall be made part of the description of the proposed project (Section A).

Limitations on Disclosure:

1. The Contractor(s) shall not disclose the Restricted-Use Data to any organization or to any persons other than those included in the security plan for which affidavits of non-disclosure have been completed.
2. The Contractor(s) shall not make any publication of Restricted-Use Data.
3. The Contractor(s) shall provide to the Participating Agencies all results analysis or other information developed using Restricted-Use Data made available under this Agreement. The Participating Agencies shall make such reports available to the public in accordance with state public records laws. The Contractor(s) shall provide the Participating Agencies with all published reports using findings from data provided through this Agreement in a form specified by the Participating Agencies.

Administrative Requirements:

1. The Contractor(s) shall provide a copy of this Agreement, together with the attached security plan to each employee of the Contractor(s) who will have access to Restricted-Use Data and shall require each of those employees to execute an Affidavit of Non-disclosure.
2. The Contractor(s) shall ensure that each individual who executes an Affidavit of Non-disclosure reads and understands the materials provided to her or him before executing the Affidavit.
3. The Contractor(s) shall not permit any individual specified in the security plan in Section B to have access to Restricted-Use Data until items one and two of this subsection are fulfilled for that individual.
4. The Contractor(s) shall promptly, after the execution of each affidavit, send a copy of the affidavit to the Sponsor and keep the original as part of its security procedures.
5. The Contractor(s) shall promptly notify the Participating Agencies when an individual who has been authorized to have access to Restricted-Use Data is no longer authorized to have access to those data.
6. The Contractor(s) shall notify the Participating Agencies promptly upon receipt of any legal, or other demand for disclosure of Restricted-Use Data.
7. The Contractor(s) shall notify the Participating Agencies promptly upon discovering any breach or suspected breach of this agreement, including breach of security or any disclosure of Restricted-Use Data to unauthorized parties or agencies and provide the names of any individuals involved.
8. The Contractor(s) shall permit representatives of the Participating Agencies to make unannounced and unscheduled inspections of the Contractor(s)'s facilities to evaluate compliance with the terms of this agreement.
9. The Contractor(s) shall maintain personnel policies that subject employees to disciplinary action, including termination for actions that violate the employee's Affidavit of Non-Disclosure, or cause a violation of this Restricted Data Use Agreement.

Security Requirements:**Maintenance of, and Access to, Restricted-use Data**



1. The Contractor(s) shall retain the original version of the Restricted-Use Data supplied by Participating Agencies at a single, secure location and shall make no copy or extract of the Restricted-Use Data to anyone except those specifically authorized as above.
2. The Contractor(s) shall maintain Restricted-Use Data in a space limited to access by authorized personnel.
3. The Contractor(s) shall transport Restricted-Use Data in a secure manner by authorized personnel.
4. The Contractor(s) shall ensure that access to Restricted-Use Data maintained in computer systems is controlled by password protection. If the workstation is part of a network, access to Restricted-Use Data shall be controlled by login passwords and directory authorities.
5. The Contractor(s) shall ensure that Restricted-Use Data maintained in computer systems are not accessible via unauthorized networked computer systems.
6. The Contractor(s) shall maintain all hard copy, personal computers with Restricted-Use Data on hard disks, or other physical products containing personally identifiable information derived from Restricted-Use Data in locked cabinets, file drawers, or other secure locations when not in use.
7. The Contractor(s) shall ensure that all hard copy, tabulations, and reports are edited for any possible disclosures of Restricted-Use Data.
8. Upon receipt, Contractor(s) shall promptly review the Restricted-Use Data to determine whether any Personally Identifiable Information, including de-identified data that may be made identifiable by the existence of unusually small data sets, has been inadvertently provided by the Participating Agencies and shall periodically conduct similar reviews during the course of the proposed project. In the event that Contractor(s) determines that Personally Identifiable Information has been provided Contractor(s) shall promptly alert all Participating Agencies and return the affected Restricted-Use Data as directed by the Participating Agencies. Contractor(s)'s failure to determine that the Restricted-Use Data includes Personally Identifiable Information when it knows or should know that is the case shall be considered a violation of this Agreement.

Retention and Disposition of Data

The Contractor(s) shall destroy all media containing Restricted-Use Data provided by the Participating Agencies under this agreement when the analysis that is the subject of this agreement has been completed or this agreement terminates, whichever occurs first. This includes all physical or electronic files containing data obtained from the Commonwealth of the Northern Mariana Islands Longitudinal Data System (eMPowerED) or otherwise. Upon request from any of the Participating Agencies, the Contractor(s) shall certify that such destruction has occurred.

Compliance with Established Security Procedures

The Contractor(s) shall comply with the Data Protection Plan in Section B and made part of this Agreement.

Processing of this Memorandum of Agreement

1. This Agreement shall be for the period 1/9/2024 until 1/9/2026



2. This Agreement may be amended, extended or terminated by mutual written, signed, agreements between the parties. The Participating Agencies hereby authorize the Sponsor to approve or deny, on their behalf, modifications to this agreement which clarify and update the research project, provided that the clarification or update does not alter the original research project in any substantive way. If a Participating Agency desires to amend this agreement by adding additional data elements not originally proposed, the Participating Agencies hereby authorize the agency whose data elements would be added to modify this agreement to add only such data elements, and not any other Participating Agency's data elements. The undersigned Contractor(s), by its signature below, authorizes Willie Goldschmidt, as Contractor's RUDA for the Contractor(s) on this project, to sign, on its behalf, amendments 1) adding or subtracting team members on Contractor(s)'s team. 2) adding data elements to be accessed pursuant to this Agreement; and 3) modifying and updating Contractor's responses to section A of this Agreement, Description of the Proposed Project ; provided, however, that any such modifications and updates do not alter the original research project in any material way.
3. Each Participating Agency or the Participating Agencies collectively may unilaterally terminate this Agreement for any breach or suspected breach of this Agreement by the Contractor(s) or agents of the Contractor(s).

Signatures

Each party to this Agreement certify, by his/her signature, that:

1. The organization has the authority to undertake the commitments in this Agreement;
2. The signee below has the authority to bind the organization to the provisions of this Agreement.

On behalf of:

Contractor Organization for Principal Project Officer DBDriven
Willie Goldschmidt Date: 01/10/2024

See attached Contractor Signature Page for signature for any additional Contractor Organizations

The Participating Agencies:

Public School System
Will Goldschmidt Date: 1/10/2024



Section A: Description of the Proposed Project

Restricted-Use Data is provided through a Restricted-Use Data Agreement limiting access only to specific organizations and specific personnel for specific purposes under specific security conditions. This section shall become part of the Agreement and will provide a description of how the restricted-use data will be used.

Principal Project Officer's Organization: DBDriven

Name of the Principal Project Officer: Willie Goldschmidt

Title of the Project: 2024 Demo and Test Research

Statement of the Problem:

1. State the purpose of the project.
For Demonstration and Testing Purposes Only.
2. Explain the project (explain its importance and describe the intended use of the findings).
For Demonstration and Testing Purposes Only.
3. Why is restricted-use data required?
For Demonstration and Testing Purposes Only.
4. How does this Research Purpose align with the eMPowerED research agenda? Additionally, if your research includes the use of education records, please indicate how the education records will be used to evaluate education programs?
Alignment of health, social service, education and workforce programs to known and projected employers needs
For Demonstration and Testing Purposes Only.

Use and Users of Results:

The Contractor will ensure access to the Restricted-Use Data will be limited to the personnel specified in this Agreement, which does not include access to records with Personally Identifiable Information. The Contractor is responsible for maintaining a list of authorized personnel who have access to the data.

1. Provide the names and positions for the individuals who will have access to the restricted-use data?
Willie Goldschmidt, Principal Project Officer
Kurt Fisher, Team Member/Analyst
2. Provide the legal names of all organizations involved in the project; their entity type (e.g., sole proprietor, incorporation, LLC, etc.); and their respective contract or project document numbers. In addition, discuss the expected uses and users of the results of the project including expected publications.
For Demonstration and Testing Purposes Only.

Section B: Data Protection Plan for Restricted-Use Data

System Identification

Provide a brief description of the computer system and software that will be used to run the restricted-use data. Examples are provided below. A logical system diagram is required for all networked installations. Organizations are encouraged to attach additional documentation of their security policies and procedures.

For Demonstration and Testing Purposes Only.


Section C: List of Requested Data Elements

The following is a list of data elements requested from each agency:

Public School System	
View Name	Column Name
Achieve3000	Average First Try Score
	Average Weekly Activities
	Collegeland Career Readiness Current
	Current Lexile Level
	Current Reading Level
	Expected Lexile Growth
	Grade
	Invalid Activities
	Last Adjustment Date
	Passing Activities
	Total Activities
Renaissance Star Early Literacy	Assessment Id
	Completed Date
	District Benchmark Category Level
	District Benchmark Category Name
	District Benchmark Proficient
	Estimated Oral Reading Fluency
	Grade
	Grade Equivalent
	Literacy Classification
	Normal Curve Equivalent
	Open Growth Score
	Percentile Rank
	Rasch Score
	Renaissance Benchmark Category Level
	Renaissance Benchmark Category Name
Scaled Score	
School Benchmark Category Level	



Section D: Agency Supplied Terms

Restricted-use data is provided through a Restricted-Use Data Agreement limiting access only to specific organizations and specific personnel for specific purposes under specific security conditions. This section shall become part of the Agreement and provides the additional terms below:

I understand that a violation of these terms may subject my employer to liability for breach of contract and may subject me to disciplinary action by my employer. Furthermore, I understand that I may be held personally liable for any violation.

**Section E: AFFIDAVIT OF NON-DISCLOSURE**

Name: _____

Date: _____

Organization: _____

Job Title: _____

I, _____, do solemnly swear that when given access to Commonwealth of the Northern Mariana Islands Longitudinal Data System Restricted-Use Data, I shall not:

1. Use any individually personally identifiable information furnished, acquired, retrieved or assembled for any purpose other than the statistical project specified in the attached Restricted-Use Data Agreement, which I have read and understand.
2. Make any disclosure or publication whereby any individual could be identified or the data furnished or related to any particular person.
3. Permit anyone to examine individual records or files other than the individuals authorized in the Restricted-Use Data Agreement.
4. Store any restricted-use data on any portable electronic computing device or other electronically retrievable sources.

I understand that a violation of these terms may subject my employer to liability for breach of contract and may subject me to disciplinary action by my employer. Furthermore, I understand that I may be held personally liable for any violation.

[signature of affiant]_____
[printed name of affiant]_____
[address of affiant, line 1]_____
[address of affiant, line 2]

Subscribed and sworn to before me, this _____ day of _____ [month], 20____.

[Notary Seal:]

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[signature of Notary]

[printed name of Notary]

NOTARY PUBLIC: My commission expires: _____, 20____.

Appendix A: Research Team Members

The following documents the research team and their current state on this project:

Current Research Members

Willie Goldschmidt, Principal Project Officer
Kurt Fisher, Team Member/Analyst

Past Research Members