UNIVERSITY of
HOUSTON

University of Houston Education Research Center

Policies & Procedures: General Information

Revised March 2025

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University of Houston Education Research Center
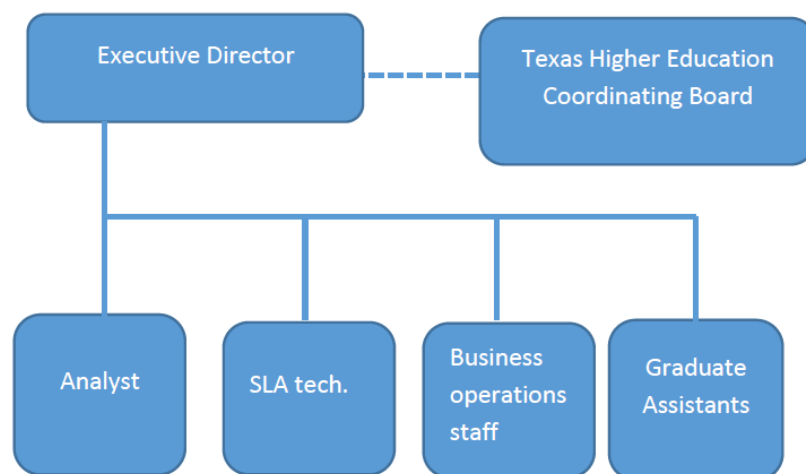**Policies & Procedures: General Information**

Overview

In 2006, the 79th Texas Legislature (3rd called session) identified the need for connecting educational information sources into a longitudinal data warehouse for the use of policy and practice. Legislators authorized the creation of three Education Research Centers (ERCs) to house Texas data and facilitate research that benefits all levels of education in Texas. The ERCs were to provide access to high quality, student-level data from the Texas Education Agency (TEA), the Texas Higher Education Coordinating Board (THECB), the Texas Workforce Commission (TWC), and other sources of educational information for the state of Texas. The ERC data resources would span from the Pre-K level through higher education (P-16) and into the Texas workforce; it would host longitudinal information dating back from 1990 to current day. Researchers would be able to use this rich repository of data to follow individual Texas students from their first day in school to their last day on the job.

The University of Houston Education Research Center (UH ERC) serves as both a research center and as a site for the P-20/Workforce Data Repository (Repository) providing access to longitudinal, student-level data for scientific inquiry and policymaking purposes. Since its inception in 2017, UH ERC's goal has been to bridge the gap between theory, policy, and practice by providing a cooperative research environment for study by scholars, practitioners, and policy makers. As part of its mission, the UH ERC works with researchers, practitioners, state and federal agencies, and other policymakers to help inform upon critical issues relating to education today.

Education Research Center Staff

Figure 1: Organizational Chart, University of Houston Education Research Center

UH ERC Job Descriptions

Executive Director is responsible for:
- Overall management of the Center, including compliance, proposal review and fiscal responsibilities.
- Conducting and logging output reviews prior to release of data from the UH ERC for non-affiliated projects.
- Maintaining and nurturing relationships with collaborating researchers and organizations as well as appropriate Texas state agencies.
- Alternate - Conducting and logging output reviews prior to release of data from the UH ERC for non-affiliated projects.

SLA Technical Support is responsible for:
- Hardware and server administration, including infrastructure and server administration of hardware.
- Networking Services
- Security
- College IT administrators will provide assistance in downloading appropriate data and installing updates and security patches as required.

Director of Research responsible for:
- Reviewing internal research to be proposed for Advisory Board approval to assure original research is in line with the mission of the UH ERC
- Lead - Conducting and logging output reviews prior to release of data from the UH ERC for non-affiliated projects.

Research Analysts are responsible for:
- Proposing for Advisory Board approval and undertaking original research in line with the mission of the UH ERC
- Alternate - Conducting and logging output reviews prior to release of data from the UH ERC for non-affiliated projects.

Business Operations Staff are responsible for:
- Onboarding researchers including log in set up and confirmation of the required IRB, FERPA and masking training.
- Providing orientation to researchers.
- Coordinate general operations support for UH ERC.
- Fiscal responsibilities
- Serve as backup in non-research activity, as needed and when appropriate, for executive director.
- Alternate - Conducting and logging output reviews prior to release of data from the UH ERC for non-affiliated projects.

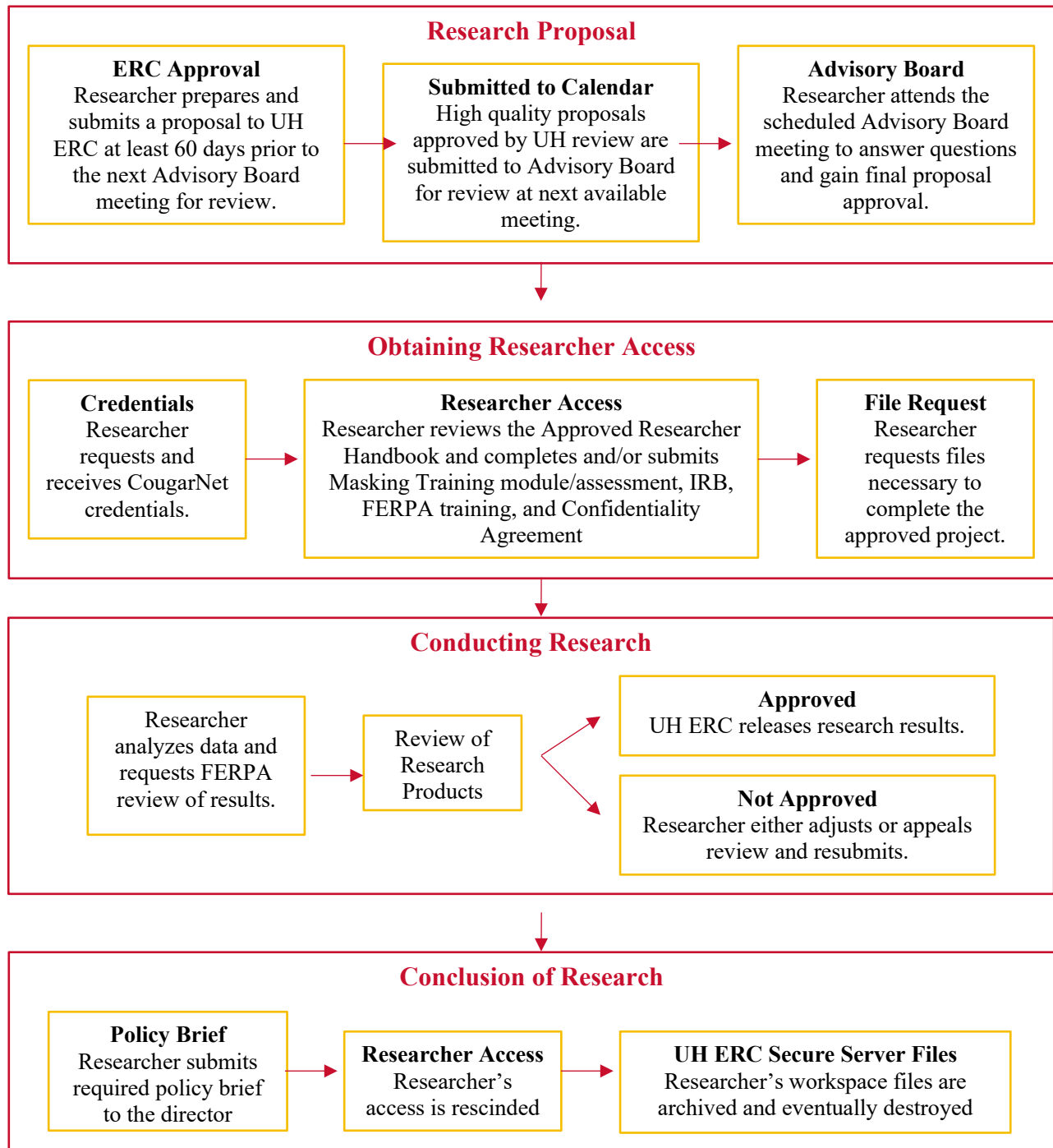**Graduate Research Assistants** are responsible for:
- Supporting analyses as approved
- Supporting developmental, procedural, and evaluative aspects of the project's theoretical and logical integrity, research agenda alignment, and analytical outcomes

Research Projects & Workflow

The Education Research Centers are governed by the ERC Advisory Board, which is chaired by the Commissioner of Higher Education from the Texas Higher Education Coordinating Board (THECB). Effective September 1, 2015, the ERC Advisory Board will be recognized as a governmental body by the state of Texas.[1] Representatives from the Texas Education Agency and the Texas Workforce Commission, the ERC directors, and additional appointed experts also serve on the ERC Advisory Board. The ERC Advisory Board makes policy decisions regarding the operation of the ERCs and reviews all applications for the use of ERC resources for research. The ERC Advisory Board meets at least quarterly (1 Tex. Educ. Code §1.006).

Researchers wishing to utilize data from the ERCs must develop and submit a proposal to the specific ERC where the research will be conducted. The ERC will then review the proposal to ensure it meets a minimum standard of rigor and provides a benefit to the education in the state. Once the ERC approves the proposal, it is forwarded to the ERC Advisory Board for consideration. If the ERC Advisory Board accepts the proposal, researchers are granted access to the UH ERC Repository. Research is conducted for a designated period during which interim and final data products and research results are reviewed and released to the individual researcher. When a research project terminates, researcher access to the UH ERC data is rescinded. All pertinent data in the project's workspace is retained for five years and then destroyed as required by Family Educational Rights and Privacy Act of 1974 (FERPA).

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[1] Legislative changes to 1 Tex. Educ. Code §1.006 establish the Advisory Board as a governmental body for the purposes of Chapters 551 and 560. The legislative change impacts meeting and open records requirements. See 1 Tex. Educ. Code §1.006 or the analysis of SB685 of the 84th Texas Legislature for details on this change.

Research Project Workflow

Research Proposal

ERC Approval
Researcher prepares and submits a proposal to UH ERC at least 60 days prior to the next Advisory Board meeting for review.

Submitted to Calendar
High quality proposals approved by UH review are submitted to Advisory Board for review at next available meeting.

Advisory Board
Researcher attends the scheduled Advisory Board meeting to answer questions and gain final proposal approval.

Obtaining Researcher Access

Credentials
Researcher requests and receives CougarNet credentials.

Researcher Access
Researcher reviews the Approved Researcher Handbook and completes and/or submits Masking Training module/assessment, IRB, FERPA training, and Confidentiality Agreement

File Request
Researcher requests files necessary to complete the approved project.

Conducting Research

Researcher analyzes data and requests FERPA review of results.

Review of Research Products

Approved
UH ERC releases research results.

Not Approved
Researcher either adjusts or appeals review and resubmits.

Conclusion of Research

Policy Brief
Researcher submits required policy brief to the director

Researcher Access
Researcher's access is rescinded

UH ERC Secure Server Files
Researcher's workspace files are archived and eventually destroyed

Note: Workflow chart provides an overview of the entire process. After gaining approval from the ERC Advisory Board, researcher(s) will receive specific details and policy guides for gaining access, conducting, and concluding research.

Terms and Conditions for UH ERC Access

For the UH ERC to comply with the various institutional, state, and federal requirements and statutes, numerous terms and conditions must be met by researcher(s) prior to and following project approval. The Repository data housed at UH ERC contains personal information about individuals protected under the Family Educational Rights and Privacy Act of 1974 (FERPA). To protect the confidentiality of the educational records and personal information of individuals, terms and conditions are in place for everyone who accesses the data at the UH ERC. Below is a general list of terms and conditions. Upon approval of a research proposal, researcher(s) will receive a handbook outlining the specifics of each requirement. The purpose of this document is to provide prospective researcher(s) with the details necessary for a successful proposal along with conditions following an approved research project.

Proposal Process & Approval

Writing Your Proposal

Prospective researcher(s) must submit both a formal research proposal and a reader's guide to the Director of the UH ERC. The research proposal, 10-15 pages in length, should include necessary details to demonstrate that the research will contribute to theory/practice, benefits the state of Texas, and is methodologically sound. Proposals must also highlight qualifications, resources, requested data, and a dissemination strategy of the researcher(s).

Researcher(s) are required to identify requested data at the record level in their proposal. As the inventory of data is in flux throughout the year, an updated list of data by agency is available on the UH ERC website titled *UH ERC Data Inventory*. If the project requires supplemental data, defined as additional data not included in the Repository, then the proposal must identify what supplemental data is needed for the project. If supplemental data is needed, supplemental data request forms should be attached to the proposal (see Appendix C). The Director will submit formal requests for supplemental data if the proposal if approved by the ERC Advisory Board.

Following are links to resources to familiarize yourself with available data:
- The UH ERC Data Warehouse tab:
  - https://uh.edu/education/research/institutes-centers/erc/data-warehouse/
- TEA Public Education Information Management System (PEIMS) data,
  - https://www.texasstudentdatasystem.org/TSDS/TEDS/TEDS_Latest_Release
- TEA TAAS and TAKS assessment data and the State Board of Education data, Testing/Accountability section
  - https://tea.texas.gov/ under the "Student Assessment" link
- STAAR explanations
  - https://tea.texas.gov/student-assessment/testing/staar/staar-resources
- STAAR testing results.
  - https://tea.texas.gov/texas-schools/accountability/academic-accountability/performance-reporting/texas-academic-performance-reports
- THECB reports and FADS data.
  - http://www.txhighereddata.org/
- TWC wage report data
  - https://www.twc.texas.gov/.

Researcher(s) are also required to submit a Reader's Guide using the provided template. The Reader's Guide is a short summary, 2-3 pages, covering the most frequently asked questions from the ERC Advisory Board members.

Details for the full research proposal and the Reader's Guide template are located in Appendix A. Proposals are due to the ERC Advisory Board 45 days prior to the next posted ERC Advisory Board meeting date. Additionally, the UH ERC will need one week to review the proposal prior to submitting it to the ERC Advisory Board. At a minimum, researchers should submit proposals 60 days prior to the next ERC Advisory Board meeting date. Meeting dates are posted on the UH ERC Website.

Submit completed Proposals and Reader's Guides to:
<div align="center">

Catherine Horn, Ph.D
Director of the UH ERC
University of Houston
College of Education
(713)743-5032
clhorn2@uh.edu

</div>

Funding & Cost
To offset the costs of providing the operational and audit functions required by ERC contracts and to comply with the rules of the Texas education agencies and the ERC Advisory Board, the UH ERC levies the charges shown below in the Annual Access Fee schedule.

For approved projects with special requirements, annual fees may be negotiated between the UH ERC and the principal investigator(s). The UH ERC may, at its sole discretion, waive access fees. If secured funding is available for the respective project, researcher(s) should submit proof to help the Advisory Board determine the appropriate approval period for the project. In some cases, a project may be approved prior to funding and begin upon the ERC Advisory Board being notified of the receipt of funding. If the proposal has special conditions with funding, please contact the Director of the UH ERC.

Definitions regarding within system, student, ERC Authorized Researcher, and approved project are located in Appendix B, *UH ERC Access Fee Schedule*.

UH ERC Access Fee Schedule*			
	1 Year Project	**2-5 Year Project**	**Single Files**
External to UH System	$8,000	$15,000	1 year or 2-5 Year Project fee + 10%
UH System	$5,500	$9,000	1 year or 2-5 Year Project fee + 10%
Student(per student)**	$500	$500 Annually	N/A

The UH ERC may, at its sole discretion, waive access fees.
*Fee covers up to five researchers working remotely on an approved project.
**Students must notify the UH ERC Executive Director of their graduation. The new graduate will receive a courtesy fee at $500 for one year after graduation. At the conclusion of the year,

the graduate will be charged at the appropriate non-student rate. Failure to notify the executive director in a timely manner may result in immediate termination of access to UH ERC data and may jeopardize access for future projects utilizing the data.

Single Files
The UH ERC offers researchers the unique service of Single File creation. The Single Files contain a specified data set over a specified series of years. For example, if researchers were interested in examining changes in enrollment the community colleges in Texas from 2003 through 2015, researchers would access multiple files for each year of data to extract the necessary data. However, the UH ERC could compile the data into one file for researchers for an additional 10% fee.

Student Fellowship
Each year, the UH ERC will sponsor one high quality student project for waived UH ERC project fees. The student proposal will be selected through a competitive proposal process. Email Dr. Catherine Horn clhorn2@uh.edu for application details.

Obtaining Approval
The approval is a two-stepped process. The first step includes a review by the Director or designate. Researcher(s) should submit proposals at least 60 days prior to the next ERC Advisory Board meeting: one week for UH ERC review and 45 days for the ERC Advisory Board.

Once received, the first step of the approval process involves an initial screening at the ERC level. Staff at the UH ERC may request revisions to the proposal. Many suggested revisions are aimed at making the process with the ERC Advisory Board run smoothly, for example accurate descriptions of data required for the study. If approved at the UH ERC level, the proposal will be placed on the agenda for the next available meeting date for the ERC Advisory Board. The ERC Advisory Board has been limiting the number of proposal slots allotted to each of the ERC's due to time limitations for ERC Advisory Board members and meeting time allowance. The Director will make every effort to get a proposal scheduled upon ERC approval, but no guarantees can be made regarding the number of proposals for any given meeting date. Once a completed proposal has been approved by the UH ERC and scheduled on the ERC Advisory Board's agenda, the proposal progresses to step two of the approval process.

The second and final step of proposal approval occurs during the ERC Advisory Board meeting. Currently, most ERC Advisory Board meetings are held by teleconference. Researchers are given the phone number to call into the meeting. During the meeting, researcher(s) are asked to briefly summarize their proposal and answer questions regarding elements on their proposal. At a minimum, one researcher per proposal must be present for the ERC Advisory Board meeting. The UH ERC, however, strongly suggests that all listed researchers attend the meeting to ensure all questions posed by the board are answered fully.

The ERC Advisory Board may take several actions during the meeting and review of ERC proposals. These actions *may* include approval, approval with adjustments, resubmission, or denial of the proposal. If the ERC Advisory Board requests a resubmit or denial, the research team will then need to address the concerns of the board and may resubmit at a future ERC Advisory Board meeting. As the authorizing entity of the UH ERC, the ERC Advisory Board reserves the authority to take actions other than those listed above. If the proposal is approved, the researcher(s) will then proceed with the authorized researcher requirements.

Post-Approval Conditions

After a successful proposal approval from the ERC Advisory Board, the UH ERC will provide the researcher(s) with the *Polices & Procedures: Approved Project Handbook*. The handbook details the policies and procedures involved in obtaining access, conducting research, and concluding your project. To inform individuals interested in conducting research at UH ERC, the following section provides a brief overview of the process and conditions necessary to access, use, and conclude research at UH ERC.

Obtaining Researcher Access

- **Institutional Review Board (IRB)**- Researcher(s) must provide confirmation that they have obtained IRB approval and provide appropriate evidence to the Director. In some situations, justification for exclusion from the IRB review process will be accepted.
- **Credentials**– The UH ERC is affiliated with the University of Houston. To access the computer system, you must have credentials known as a CougarNet account. Each approved researcher will need to complete the ePerson of Interest Process accessible here: http://www.uh.edu/infotech/services/accounts/sponsored/procedure/.
- **FERPA Training**– Based on the researcher(s) affiliation, different types of FERPA training are accepted. Training is valid for one year, and it must be renewed if it expires mid-project. Researchers without current FERPA training can access training here: FERPA 201: Data Sharing under FERPA, provided by the U.S. Dept. of Education.
- **Masking Training Module**– Complete an in-house masking guidelines and techniques training module and an online assessment. UH ERC Masking Training can be accessed here.
- **Confidentiality Agreement**– Researcher(s) must sign and submit before they are granted access to the Repository. The Confidentiality Agreement covers issues such as data security, consent for the review of research products, and terms for data access.
- **File Request**– Researcher(s) must formally request data files necessary to complete the approved project. Files must align with the original data request set forth in the approved proposal.
- **Supplemental Data**– Supplemental data refers to additional data not included in the Repository. If requested and approved in the proposal each agency will need to approve each request. The supplemental data will be de-identified prior to uploading to the ERC data Repository. Most supplemental data will only be available to the individual project that it has been approved for. Please note that the data may warrant an additional fee from the agencies depending on the amount of extra coding, time, and effort. The need for supplemental data should be included in the approved proposal. The formal request for this data, however, will occur following the ERC Advisory Board approval.

Conducting the Research

- **Access**– The Repository may be accessed only through secured UH ERC workstations. All access must follow an established data and security protocol set forth by the Database Administrator and Director.
- **Review of Research Products**– All research products including tables, statistical output, graphs, and more must undergo review to ensure FERPA compliance. A UH ERC staff member, following the guidelines set forth in the Masking Guidelines and Techniques, conducts the review of research products prior to releasing items back to the researcher.

- **Approval Period & Extensions**– The initial approval of research projects is for one year. With proof of funding, initial ERC Advisory Board approval may be established for up to 5 years. Extensions for a study must be written and go before the ERC Advisory Board. An extension may be granted up to 2 years without funding and up to 3 years with secured funding.
- **Research Project Information**– Researcher(s) must provide the UH ERC with regular updates regarding progress, changes, and extensions.
- **Project Amendments**– If the original proposal needs amended after the approval by the ERC Advisory Board, then researcher(s) must submit a request to the Director. The project amendment for a study must be in the form of a written request and must go before the ERC Advisory Board. If the changes are major, researcher(s) may be asked to resubmit the project as a new proposal.

Concluding the Research
- **Policy or Practice Brief**– Researcher(s) must create a policy brief for public dissemination. The policy/practice brief serves to benefit the state of Texas, and it is part of the agreed upon elements of access to the Repository data at Texas' ERCs.
- **Other Research Products**– Researcher(s) should also inform the Director of other outcomes of the research conducted at the UH ERC. This may include journal articles or other publications that emerge from work conducted at the ERC. Copies of publications must be provided, at no cost, to the cooperating agencies.
- **Conclusion**– Researcher(s) will have access rescinded and workspace files archived for a period of five years. Five years after the conclusion of the study, workspace files will be destroyed.

References

1 Tex. Educ. Code § 1.006

Appendix A
Template for Reader's Guide

Instructions
    Below is a template for a Reader's Guide, which should be 2-3 pages and attached before your full proposal. The sections in the Reader's Guide cover the most frequently asked questions by Board members (these sections have been derived from newly adopted rules and previous proposal procedures which are attached to the end of the template). The Reader's Guide should help inform the Board as well as frame your proposal for success.
    Following the Reader's Guide, you should attach a Full Proposal (10-15 pages) that fully outlines your project and its design. In the Full Proposal, you should detail the need for the study, the framings/underpinnings of your work based on current research, the study's design including sampling and methodology, considerations of implications for furthering academic research and policy, and number of years being requested for data access.

Date
_____

Proposed Project:
Title
_____

Researcher Name
Researcher Affiliation and Email Address

Abstract
(No More than 200 Words)
    Give a brief description of the project if the abstract does not have enough information. This may include who the researcher is (if it is an organization), what the impetus is for research, and other information that speaks to the importance of the project.

Research Questions

Number of Years of Access Requested

Data Needed from the ERC Database (for example....)
For this analysis, we will need access to the following data housed at ERC:
- TEA Student-level data (XXXX - current): State testing data, all available student level demographics, enrollment and attendance, course completion, dropout, graduation information, and other variables describing teacher-student interaction (such as special education inclusion status).
- TEA School-level data (XXXX - current): school-level student demographics within each grade and school, AYP status, TEA rating, school and district funding, campus level accountability, district-level accountability, and state-level accountability.
- THECB Student-level data (XXXX - current): college applications, college readiness measures, demographics at the time of application, where a student enrolls, credit hours attempted in a semester, credit hours completed in a semester, graduation information including degree type and major, and grade earned in a course if available.

- SBEC data (XXXX - current): Teacher certification and test scores.
- FADs data (XXXX - current): types of financial aid awarded to a student by each institution, any included additional family information, including family income.
- TWC student-level data (XXXX - current): quarterly earnings data, county unemployment levels, NAICS industry codes for each quarter.
- NSC data (all years available): Currently, only 2008 and 2009 are available, but other years become available we would like to access that data.

If supplemental data is needed, be sure to include it in your request.

Example:
Table 1: List of Data Files Requested

File Name	Relevant Research Question	Years Requested	Justification
Organizational TEA Data: **p_district** **p_campus**	1	1996-2020	District and campus information provides indication of high school rating used to measure student outcomes based on high school rating
Student TEA Data **p_demog_grad**	1	1996-2020	Student demographic data, such as race, SES, allows for the desegregation of academic achievement outcomes based on socio-demographic variables
p_course_complete	1, 2	1996-2020	Course completion patterns, and grades enable comparison of student achievement in STEM courses prior to the introduction of an intervention.
Student THECB Info **u_cbm00b_fy(yy)**	1, 2, 3	2000-2024	Provides key information on students' pre-college factors that could both influence academic achievement outcomes and could also be used as a baseline co-variate to measure LSAMP program effects.
u_cbm001_fy (yy)	1, 2, 3	2000-2024	Student enrollment information, including major, degree, credit hours, of first enrolled H-LSAMP cohort to enable the tracking of student progress, and changes across time.

Research Methods
Briefly share your analytic approach without bogging down the reader in jargon (you may get more specific in your full proposal).

Researcher's Qualifications

Name and share a small amount of pertinent information for all researchers who will be involved with the project and/or data.

Benefit to Texas

Make sure to include not only what you intend to examine, but how the research will benefit education in the state. Consider including implications such as broadening the participation of underrepresented groups (e.g., gender, ethnicity, geographic, etc.), enhancing the infrastructure for research and education, and benefiting and/or informing educational policy and practice.

Related Policy

Identify probable areas that the predicted results and outcomes will be able to influence or address.

Dissemination Strategy

It is a requirement upon completion of the project that you complete a short, implication-geared paper (Policy or Practice Brief) that links your findings to Texas policy or practice (2-5 pages). First, speak to what audience you intend to write your policy brief towards (policymakers, practitioners, etc.). Then share the rest of your dissemination plans including presentations, conferences, peer review journals, and other strategies for publishing and sharing findings.

Financial Resources

If it is a funded project, indicate where the funds will come from to cover the cost of data access.

ATTACH FULL PROPOSAL

Full Proposal

The Reader's Guide serves as a quick overview for the ERC Advisory Board, yet a full proposal is needed should questions arise about the proposed research. Proposals should be no longer than 15 pages in length excluding references and the Reader's Guide. They may take the format most suited to the researcher(s), but should adequately address and fully explain the following:

Potential contribution to theory and/or practice
- Theoretical and/or empirical support for the proposed project is stated.
- The practical importance of the project is clear.

Potential to benefit education in the state of Texas.
- The proposal makes a strong case for benefiting education in the state of Texas.

Strength and appropriateness of methodology
- Proposal contains clear, concise hypotheses or research questions.
- Data selected are appropriate for addressing the research questions.
- Clearly identify data at the record not the variable level using the ERC Inventory document
- If supplemental data is needed, provide justification, and attach the appropriate supplemental external data request form (see Appendix C).
- The type of analysis being proposed is appropriate given the research objectives.
- If the project involves evaluating an intervention, the type of intervention being evaluated (e.g. curriculum, teacher professional development, policy) is described.
- Participants and/or student population is described.
- If the project requires the collection of primary supplemental data, the instruments to be used in the project are described.

Number of Years of Access Requested

Data Requested (See example in Reader's Guide)

Researcher's qualifications
- The researcher, research team or doctoral student (or advisor) demonstrates expertise in the relevant content area and other related research activities (e.g., data analyses)

Broader impact of the proposed project, whereby the proposed project is likely to:
- Broaden the participation of underrepresented groups (e.g., gender, ethnicity, geographic, etc.)
- Enhance the infrastructure for research and education.
- Benefit and/or inform educational policy or practice.

Dissemination strategy
- The proposal lays out an effective strategy for disseminating results.

Access to adequate resources
- The researcher(s) have adequate resources to complete the project in a timely manner.

Appendix B
UH ERC Fee Schedule

To offset the costs of providing the operational and audit functions required by ERC contracts and to comply with the rules of the Texas education agencies and the ERC Advisory Board, the UH ERC levies the charges shown below in the UH ERC Access Fee schedule.

UH ERC Access Fee Schedule			
	1 Year Project	**2-5 Year Project**	**Single Files**
External to UH System	$8,000	$15,000	1 year or 2-5 Year Project fee + 10%
UH System	$5,500	$9,000	1 year or 2-5 Year Project fee + 10%
Student* (per student)	$500	$500 Annually	N/A

*Students must notify the UH ERC Executive Director of their graduation. The new graduate will receive a courtesy fee at $500 for one year after graduation. At the conclusion of the year, the graduate will be charged at the appropriate non-student rate. Failure to notify the executive director in a timely manner may result in immediate termination of access to UH ERC data and may jeopardize access for future projects utilizing the data.

The access fees for ERC Authorized Researchers cover **up to five** researchers working remotely on an Approved Project. For Approved Projects with special requirements, annual fees may be negotiated between the UH ERC and the principal investigators.

The UH ERC may, at its sole discretion, waive access fees.

Student Fellowship
Each year, the UH ERC will sponsor one high quality student project for waived UH ERC project fees. The student proposal will be selected through a competitive proposal process. Email Dr. Catherine Horn clhorn2@uh.edu for application details.

Definitions
- **Approved Project**– A research project utilizing the ERC data, to be conducted under the auspices of the ERC and for which approval has been granted by the Advisory Board.
- **Authorized Representative**– The State of Texas' designated ERC (The University of Texas at Austin, The University of Texas at Dallas, and the University of Houston) are considered authorized representatives of the state as defined by Family Educational Rights and Privacy Act of 1974 (FERPA).
- **ERC Authorized Researcher**– An ERC Authorized Researcher is considered an *Agent* of the ERC. An *Agent* is a person who is authorized to access the ERC data to conduct work as part of an approved project at a designated ERC access location. An **Agent** or ERC Authorized Researcher must either be a primary investigator designated for an approved project or be assigned to conduct work on behalf of an approved project by one or more of its primary investigators of record. An **Agent** or ERC Authorized Researcher must have a current, signed confidentiality agreement on file with the UH ERC.

- **Student**– An ERC Authorized Researcher who is currently seeking a college degree and has received IRB Approval from their respective institute of higher education.
- **UH System**– An institution that is a member of the same Texas university system as the Educational Research Center's institution (e.g., The University of Houston- Clearlake).

Appendix C
Supplemental Data Request Forms

   The forms below are used by the Texas Education Agency (TEA) and other cooperating agencies. As a reminder, these forms should accompany your proposal to the ERC Advisory Board. Requests for supplemental data will not be accepted by the respective agency without the project approval of the ERC Advisory Board. All requests will be processed through the Director. Please also copy the Database Administrator on your request. **Electronic versions of these forms are available on the UH ERC website.**

Texas Education Agency (TEA) Procedures for Processing Supplemental Data for Use by Education Research Center (ERC) Researchers with Advisory Board-Approved Projects
Updated: 04/12/19

Supplemental data requiring processing. TEA must process any supplemental student or staff data that are to be matched to individual K-12 student or staff records in the ERC database. This supplemental data processing request applies only to individual-level data. Data not at the individual level (e.g., school level, district level) do not need TEA processing.

Supplemental data acquired by a researcher. Supplemental data that is owned by a researcher must be destroyed by the researcher prior to its placement in an ERC by THECB. TEA will process the supplemental data and provide the de-identified dataset along with the original dataset to THECB; THECB will provide the supplemental dataset to the ERC once the researcher has certified the original dataset has been destroyed; and, at the conclusion of the research project, THECB will return the original dataset to the researcher. Supplemental data owned by a researcher must be sent directly to TEA via the secure file sharing program, Accellion. Prior to transmitting data to TEA, the researcher must contact Nina Taylor for permission to submit data. TEA will not accept data unless prior permission has been obtained from the agency. Contact Nina Taylor at Nina.Taylor@tea.texas.gov or by calling (512) 475-2085.

Supplemental data maintained by an entity other than the researcher. Supplemental data owned by an external source such as a school district must be sent directly to TEA by the external owner, not the researcher, via the secure file sharing program, Accellion. Prior to transmitting data to TEA, the researcher must have obtained permission for the external owner to submit data. TEA will not accept data unless prior permission has been obtained from the agency. Contact Nina Taylor for this permission.

Quality of matches between supplemental data and TEA data. Note that successful matching of supplemental data to TEA data is dependent on the quality of identification fields (e.g., first name, last name) in the supplemental dataset. TEA will not clean or modify supplemental data to increase successful matches.

Timeline for processing supplemental data. Requests are processed in the order received. THECB will notify the researcher when the supplemental data is available.

How to begin the supplemental data request process. Send an email to Nina Taylor that provides the research project number and name, the Advisory Board approval date, and data element documentation or a copy of the data dictionary for all files to be submitted.

Texas Education Agency Supplemental Data Processing Request Form

1. Instructions
    a. Complete this form and send it to: Nina.Taylor@tea.state.tx.us
    b. Attach the data element documentation or data dictionary.

---

2. To be completed by <u>Requestor</u>

a. Research Project Number: _____

b. Research Project Name: _____

c. Advisory Board Approval Date: _____

d. Date Request was Submitted: _____

e. Education Research Center: _____

f. Contact for this Request: _____

g. Contact Phone Number: _____

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3. To be completed by <u>TEA Staff</u>

a. Date Data Received by TEA: _____

b. Date Supplemental Data Sent to THECB: _____

ERC Request for Supplemental External Data – To the THECB
(Use this document for all requests that are not sent to the Texas Education Agency)

Note: *This document must be **approved and submitted by the ERC Primary Contact**. Requests for external data will only be accepted if an applicable Research Project has already been submitted to the THECB or is accompanying this document. Please avoid using abbreviations and acronyms in your request.*

I. Project / Requestor Information
1) ERC Requesting the data:
2) Date of Request:
3) ERC Primary Contact Name:
4) Institution or organization conducting the research:
5) Project contact for this data request
   a. Name:
   b. Telephone Number:
   c. Email Address:
6) What is the name of the project that this data request is to be associated with?

II. Data
1) Agency or Organization that owns the data:
2) Agency or Organization contact information:
   a. Name:
   b. Telephone Number:
   c. Email Address:
3) Please provide information about the data requested.
   a. Period the data should cover (mm/dd/yy through mm/dd/yy):
   b. Description of the requested data:
   c. Specific data items that need to be included as part of the request (e.g., SSN, Race, Age etc.):
   d. Data destruction date:
4) Please provide any other information that will help assure timely and accurate handling of this request: