***Educare Learning Network POLICIES AND GUIDELINES FOR DATA ACCESS, DATA SHARING, AND PUBLICATIONS[[1]](#footnote-1)***

***September 2021***

**CONTENTS Page**

A. Preamble 1

B. Definitions 2

C. Paper Groups 2

D. Publications and Research Review Committee 3

E. Review Process for Publications and Presentations 4

F. Data Sharing Principles, Timing, and Process 5

G Clearinghouse Function 6

H. Authorship 6

I. Acknowledgments 7

J. Amendments to, and/or Termination of, These Policies 9

K. Confidentiality Agreement 10

L. Theses and Dissertations Policy 11

M. Proposed Paper or Data Request Form 12

**A. PREAMBLE**

The policies contained in this document are intended to provide guidance regarding data usage across schools of the Educare Learning Network (ELN). The Educare National Evaluation is the main source of data from Educare schools. Other sources of data, including the Acceleration Grants or other studies involving two or more Educare sites, are included in these policies. Any publication, presentation, research brief, or dissertation using data from two or more Educare schools must be reviewed by the Educare Research, Evaluation, and Data Strategy (EREDS) Work Group. The exception is for reports or presentations about only Tulsa Educare or only Omaha Educare, which include more than one school but involve one site.

The Educare National Evaluation is being conducted collaboratively by Local Evaluation Partners and the National Evaluation Partner (LEP/NEP), with input from Educare school leaders, collectively called the Implementation Study Research Consortium. Issues regarding access to data and the communication of results in technical reports, scholarly publications, conference presentations, and the public media are covered here. These policies are intended to encourage research and the communication of research findings without being unreasonably burdensome. These policies are designed to guide specific directions for fair and consistent communication of research findings and also to encourage continued collegiality in the process. The Educare Learning Network will use these policies to enhance interaction, communication, and mutual support among local evaluators and between local evaluators, the national evaluation partner, and others in the Educare Learning Network.

**B. DEFINITIONS**

*National Evaluation data* are the data collected under the supervision of the National Evaluation Partner, Frank Porter Graham Child Development Institute (FPG), under contract to the Buffett Early Childhood Fund and the George Kaiser Family Foundation. These data include information intended to represent the entire ELN National Evaluation (formerly Implementation Study) sample. In 2006, the first five Educare school LEPs and program representatives made decisions about the main content of the Implementation Study protocol. Changes to the protocol are purposely limited in number to preserve the longitudinal utility of the data, but when changes are needed, they are decided upon by the Implementation Study Research Consortium, with input from Educare Learning Network leaders. In 2016, a redesign committee was created to consider changes. In 2019, Network leadership instituted the National Research and Evaluation Advisory Committee to propose additional changes. This committee became the Educare Research, Evaluation, and Data Strategy (EREDS) Work Group in 2020. Changes may be due to availability of new instruments and/or new interests of the ELN.

*Cross-school Educare* *data* are the data collected by LEP teams from two or more schools and combined into a dataset to address research questions of interest to the network or several schools in the network. When all schools contribute to a cross-school National Evaluation dataset, it may be referred to as *National cross-school data*.

*Single-school National Evaluation data* are the data collected by an LEP team for its own program, collected under the supervision of FPG and submitted to the FPG database.

*School-specific data* are the data other than National Evaluation data collected by a single ELN LEP team under agreement with local funders. These data are specifically designed around a proposed plan of research for that school. With only a few exceptions, other data from other studies that a school might desire to undertake are not subject to review by the EREDS Work Group. If a study involves evaluation of the Educare model or specific components of the model, the proposed study design should be reviewed (see page 3 for more details.)

*Multi-school local data* are data collected in common by more than one LEP team. These data are typically designed to address special research questions that rely on data that are not part of the National Evaluation cross-school data, but that include two or more of the schools. For example, when the infant version of the CLASS became available, three schools chose to be trained and gather data with this new tool. These site LEPs can use the data individually or agree to use their data collaboratively. The data collected by the LEPs participating in the Acceleration Grants funded in 2015 by BECF are examples of multi-school local data. Papers and presentations coming out of Acceleration Grants will be considered Cross-school Educare data, although not part of the National Evaluation data.

**C. PAPER GROUPS**

*Paper Groups* are formed among National Evaluation Research Consortium evaluators to collaborate on specific areas of research interest. Paper groups may work on a variety of publication types, including peer-reviewed journal articles; practice, research, or policy briefs; book chapters; conference presentations; and other modes of disseminating information using Educare data. These groups have been loosely organized around the following areas: (1) Family Processes and Parent Engagement, (2) Timing and Dosage, (3) Dual Language Learners (4) Program and Measurement, (5) Classroom Processes and Quality, and (6) Child Outcomes. More areas can be created when interest arises. The paper groups typically meet in person twice a year (ELN annual meeting and annual Chapel Hill LEP data meeting) and conduct conference calls, plan analyses, and draft papers using ELN Implementation Study data.

 National Evaluation Research Consortium paper groups collaborate on areas of research, determine authorship, conduct analyses, and write/publish publications (e.g., papers, practice or policy briefs, book chapters). Paper group membership is fluid and may include program leaders and staff as well as LEPs. Once a topic is developed and identified as one that the group will pursue, the title and type of publication (paper, brief, etc.) should be sent to the FPG team who will add it to the paper grid. FPG will update the paper grid and have an updated version posted on the EducareConnect site. When proposing a paper topic authors should identify the research team, questions, analyses, timeline, products, and invite collaborators, from the National Evaluation Research Consortium at large. If no other LEP is interested, an individual may pursue a topic alone. All members of the paper group should have opportunities to participate in analyses of key questions that fall under its rubric. The lead author of each paper should prepare a summary of the paper using the template provided at the end of this document in Section M and submit the summary to FPG. An FPG analyst will be assigned to the group, if requested, and FPG will track paper topics to assure that the same idea is not being pursued by different groups. FPG will manage requests for data analysis/data set preparation, and will provide advance notice to the ELN Publications Committee about any topics that are sensitive in nature.

**D. PUBLICATIONS AND RESEARCH REVIEW COMMITTEE**

The EREDS Work Group is co-chaired by a member of the NEP and an Executive Director (ED). Membership consists of the Educare Governance Council (EGC) LEP representative, two additional members of the NEP, a representative of the ELN backbone, a representative from the funder (BECF), three additional LEPs, and three additional Executive Directors or School Directors. Two members of the NEP team provide staff support. The NEP co-chair serves as facilitator of the review process, soliciting three reviewers: one LEP, one ED, and one other member; forwarding publications, presentations, and data requests to the reviewers; and providing the reviews to the researchers. The current members of the EREDS Work Group (September 2021) are Noreen Yazejian (co-chair), Cindy Decker (co-chair), Gladys Haynes (BECF standing member), Donna Bryant, Iheoma Iruka, Amanda Stein (ELN backbone standing member), Diane Horm (EGC representative standing member), Gary Bingham, Brenda Jones Harden, Sue Rasher, Jamal Berry, Keith Liederman, and Mindy Zapata.

Related to publications and research proposals, the work group is responsible for the following functions (among others as outlined in their charter):

1. Process requests for access to cross-school National Evaluation data.

2. Review written and oral presentations that contain cross-school Educare data, including technical reports, chapters, journal publications, and presentations, provide feedback to the authors and raise any issues regarding the analyses and interpretation of results.

3. Review and comment on written and oral presentations using single-school data that any LEP may voluntarily submit to the work group.

4. Function as a place where National Evaluation Research Consortium members may take any issues or concerns regarding access to data or publication issues.

5. Review a local school’s proposed study if it has the potential to be considered an efficacy study of the Educare model itself or specific components of the model.

**E. REVIEW PROCESS FOR PUBLICATIONS AND PRESENTATIONS**

**1. Publications**

EREDS reviewers are asked to review drafts of manuscripts in a timely fashion, within three weeks at the most. Submissions submitted by the 5th day of the month will be reviewed by the end of that month. We hope this review process affords credibility and prestige to publications authored by members of the National Evaluation Research Consortium.

Students working on dissertations or theses using Educare data are asked to work with their advisor (who must be a National Evaluation Research Consortium member), in conjunction with the relevant Implementation Study Research Consortium paper group, as applicable (see Section L for more details). To assure that the student will have no publication constraints on his or her work imposed by the National Evaluation Research Consortium, the academic advisor needs to approve an abstract from the student and share it with the Publications and Research Review Committee. The abstract should include the topic, purpose, and methodological approach. The template to be used for this purpose is included in Section M. After completion of the dissertation or thesis, efforts to publish materials related to the Implementation Study would fall under the guidelines for any submitted manuscript.

Similarly, other colleagues (e.g. post-docs, fellow faculty members) working on National Evaluation papers must be working with a National Evaluation Research Consortium member on that paper and follow all National Evaluation Research Consortium rules regarding confidentiality of data, entering the topic on the paper grid, inviting others to participate during conceptualization phase of project, and attending paper group meetings and conference calls.

To document the accomplishments of the National Evaluation Research Consortium, authors are asked to share citations of presentations and publications with each other and FPG. For written publications, authors are asked to send a complete citation, abstract, and, when available, the entire paper. Citations of presentations and publications will be posted on the closed FPG ELN website and on EducareConnect. This process will help the NEP create an archive of ELN National Evaluation papers, which should be useful for methodological and other citations.

**2. Presentations**

All presentations using cross-school data must be reviewed by the EREDS Work Group. Presentations that consist only of slides that have previously been reviewed and approved by the Committee do not need to be reviewed again. Authors of presentations using single-school data will be reviewed by the ELN Publications Committee or by National Evaluation Research Consortium members if the authors voluntarily request a review.

LEPs are requested to update FPG on international, national, state, and regional presentations. The presentation and the paper and/or slides/overheads, if available, can be posted on the closed website if desired.

**F. DATA SHARING PRINCIPLES, TIMING, AND PROCESS**

**1. Principles/Purposes**

It is important to continue the collaboration begun within the National Evaluation Research Consortium and to encourage cooperation and coordination among evaluators with common or overlapping interests.

It is important for ELN National Evaluation research findings to be published in peer- review journals and have high credibility. It is important to maintain high standards for quality of reporting.

It is important for the data to be well used by the researchers who have invested in its creation.

FPG will ensure that any cross-school shared data files protect the anonymity of individual children and families.

Although it is challenging to release data to many individuals, it is also consistent with the trust and collaborative nature of the ELN National Evaluation to maintain a complex balance of exploration of research interests and accountability to the overall project.

**2. Data Sharing of Cross-School Data**

Any release of cross-school data to other National Evaluation Research Consortium members will be carefully prepared by FPG to protect confidentiality of subjects, including creating new identification numbers. Individuals on research teams working with PIs (e.g., graduate students or colleagues) should sign confidentiality agreements regarding use of the data (Section K) and will register their topic on the paper grid and attend paper group meetings.

**3. Sharing School-Specific Local Data**

All local research teams have immediate access to any National Evaluation data collected at their schools and entered into the FPG websites.

Local evaluators may share any data collected by their individual school (including the National Evaluation data and school-specific data) with each other (for example, among National Evaluation Research Consortium paper groups) at any time by mutual consent and following local school IRB requirements. It is suggested that such consent be in writing and describe the scope and limits of access and use of data and by whom, and that a copy of such an agreement be filed with the NEP.

**4. Data Sharing**

To ensure fairness to National Evaluation Research Consortium members,new collaborators outside the Consortium may not be added for purposes of National Evaluation data analysis and publication without the consent of the Consortium. If a relevant paper group does not exist, then the new collaborators can work with the EREDS Work Group to create one.

**G. CLEARINGHOUSE FUNCTION**

All papers, whether published or presented orally, shall be shared with FPG in electronic format so that FPG can share with members of the Consortium. Papers should be in final manuscript form, followed by a copy of the published paper when available. If the presentation is oral but not written, a synopsis of the paper should be submitted. Papers may be posted on the closed ELN National Evaluation website. FPG will continue to periodically update the list of citations for publications and presentations on the website, and these lists will also be posted on EducareShare.

**H. AUTHORSHIP**

Authors of papers in the early development stage should communicate with the National Evaluation Research Consortium and invite others to serve as collaborators and co-authors; those who accept the invitation must be willing to contribute time and effort to the paper.

Graduate students and others who are not members of the National Evaluation Research Consortium can serve as authors of manuscripts, provided that they work with a Consortium member who is serving as the mentor on the project. The principles are the same as in section E above for student dissertations/theses.

On publications resulting primarily or exclusively from a thesis or dissertation, the student should ordinarily be first author, and, if appropriate, followed by the mentor/advisor and any other National Evaluation Research Consortium members who have been involved with the project.

Collaborators on any particular paper should first determine who the first author will be. Then, the first author should, as quickly as possible, develop a plan of work detailing every collaborator’s responsibilities and tasks. It is the responsibility of the first author to make sure that everyone is fulfilling his or her responsibilities and to, if necessary, initiate discussions to delete someone as an author from the project. The lead and contributing authors will be listed by name and “the Educare National Evaluation Research Consortium” will typically be listed as the last author with a footnote reference listing members (see next section).

**I. ACKNOWLEDGMENTS**

**1. Versions**

Acknowledgments shall be tailored to the type of report, publication, or presentation. The National Evaluation Research Consortium has adopted a long, all-inclusive version and a short version, with the long version to be used as the standard acknowledgement, and the short version to be used only when required by space limitations imposed by a journal or book publisher. Programs/research teams/investigators will be added as they join the network and begin contributing data to the cross-school dataset.

**Long Version**:

The following is the full listing of institutions and principal evaluators associated with the ELN National Evaluation as of September 2021. This list does not include evaluators who have left the National Evaluation Research Consortium prior to this time-point.

“The findings reported here are based on research conducted as part of the Educare Learning Network National Evaluation funded by the Buffett Early Childhood Fund and the George Kaiser Family Foundation under contract to Frank Porter Graham Child Development Institute in conjunction with the Educare Learning Network National Evaluation Research Consortium. Generous local sources fund each school’s local evaluator. The National Evaluation Research Consortium consists of representatives from 24 programs participating in the evaluation, the local and national evaluation contractors, and Start Early.”

Principal researchers in the Consortium (and their research institutions) include:

Gary Bingham (Georgia State University),

Donna Bryant (University of North Carolina at Chapel Hill),

Kim Carpenter (Applied Survey Research),

Alan Cobo-Lewis (University of Maine),

Dana Collie (Sunbeam Family Services),

Lisa Colvig-Niclai (Applied Survey Research),

Gisele Crawford (University of North Carolina at Chapel Hill),

Dawn Davis (University of Nebraska-Lincoln),

Amy Encinger (Munroe-Meyer Institute, University of NE Medical Center),

Ann-Marie Faria (AIR),

Jodi Fender (Long Beach Unified School District),

Julia Fleckman (Tulane University),

Sheridan Green (Clayton Early Learning, Denver),

Daryl Greenfield (University of Miami),

Gaby Guerrero (University of Kansas),

Brenda Jones Harden (University of Maryland),

Miriam Hirschstein (University of Washington),

Sandy Soliday Hong (University of North Carolina at Chapel Hill),

Diane Horm (University of Oklahoma-Tulsa),

Iheoma Iruka (University of North Carolina at Chapel Hill),

Barbara Jackson (Munroe-Meyer Institute, University of NE Medical Center),

Todd Jackson (Start Early),

Jolene Johnson (Munroe-Meyer Institute, University of NE Medical Center),

Tiffany King (Arizona State University),

Laura Kuhn (University of North Carolina at Chapel Hill),

Diana Mangels (Clayton Early Learning, Denver),

Helen Raikes (University of Nebraska-Lincoln),

Sarah Rasher (OER Associates),

Sue Rasher (OER Associates),

Paméla Raya-Carlton (Puget Sound Educational Service District),

Karen Stoiber (University of Wisconsin-Milwaukee),

Amanda Stein (Start Early),

Katherine Theall (Tulane University),

Dale Walker (University of Kansas),

Lisa White (AIR),

Jeanne Wilcox (Arizona State University),

Kira Wortman (Tulane University),

Noreen Yazejian (University of North Carolina at Chapel Hill)

**Short Version:**

“The findings reported here are based on research conducted as part of the Educare Learning Network National Evaluation funded by the Buffett Early Childhood Fund and the George Kaiser Family Foundation under contract to Frank Porter Graham Child Development Institute in conjunction with the ELN LEP/NEP Research Consortium. Generous local sources fund each school’s local evaluator. The Consortium consists of representatives from the programs participating in the evaluation, the local research teams, the evaluation contractors, and Start Early.”

**2. Acknowledging Additional Sources of Support**

If the publication, presentation, or report is supported by additional sources beyond BECF and GKFF, the appropriate statement above (long or short version) shall be modified to include an acknowledgment of the source(s) following the acknowledgment of BECF and GKFF funding. An appropriate disclaimer may be added if required by the funder.

**3. Additional Acknowledgement Information**

If the product has been reviewed, add the following: “The authors wish to thank the National Evaluation Research Consortium members <(list them here)> who reviewed and commented on an earlier draft of this <article, presentation>.

The content of this publication does not necessarily reflect the views or policies of the Buffett Early Childhood Fund or the George Kaiser Family Foundation. Correspondence concerning this article should be addressed to <address/email of lead author>.

**J. AMENDMENTS TO, AND/OR TERMINATION OF, THESE POLICIES**

To be useful in guiding and encouraging access to data, publication, and dissemination of Implementation Study research and evaluation findings, these policies must be modifiable to meet changing needs of the National Evaluation Research Consortium. At any time during the life of the National Evaluation Research Consortium, any member may suggest a change. Any suggestion should be submitted in writing to FPG, which will consider its merits and recommend a course of action to the full National Evaluation Research Consortium. These policies shall remain in effect for the life of the National Evaluation Research Consortium.

**K. CONFIDENTIALITY AGREEMENT**

**EDUCARE LEARNING NETWORK NATIONAL EVALUATION**

**CONFIDENTIALITY AGREEMENT**

Frank Porter Graham Child Development Institute at the University of North Carolina at Chapel Hill (UNC-CH) is providing each Educare Learning Network (ELN) Local Evaluation Partner (LEP) team with data for children, families, classrooms and staff at its school as well as data from all schools. I understand that these data are to be used only in local research and preparation of national reports and must be kept confidential, as described below.

I understand that any person who is part of my research team and will have access to the Implementation Study data files must also sign a copy of this confidentiality agreement, and a copy of the agreement must be provided to the principal investigator of the ELN National Evaluation.

I agree that I will keep all data files and documents on a secure server to which only I and other research team members who have signed a confidentiality agreement have access. I agree that I will not store the data on a mobile device.

I understand that any dissemination of research findings is subject to the provisions of the Educare’s publications policy and are review by the EREDS Work Group.

I agree that the data will be used solely for statistical analyses and that no attempt will be made to identify specific individuals, families, households, or program staff; nor will any listing of data at the individual, family, or care provider level be published or otherwise distributed.

I agree that, if the identity of any person, family, or program staff should be discovered inadvertently, then (1) no use will be made of this knowledge; (2) the Principal Investigator at the school will be advised immediately of the incident; (3) the information that would identify the person, family, household, or care provider will be safeguarded or destroyed as requested by the Principal Investigator.

To ensure that everyone has equal opportunity to share data with their programs and to publish findings at the appropriate time, I recognize the importance of this agreement. Therefore, I have executed this agreement with the intention that it be enforceable in any court of competent jurisdiction, and that UNC-CH shall be entitled to immediate injunctive relief, in addition to any other right of law or equity, for any material breach thereof.

Name:

Sign: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

University/LEP home agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**L. Policy on Gaining Permission to Use Educare NATIONAL EVALUATION** **Data for Theses and Dissertations**

The Educare Learning Network (ELN) recognizes the value of allowing the use of National Evaluation data for student theses and dissertations. To delineate the process for gaining permission to access and use the data, the following guidelines were created by FPG Child Development Institute (the National Evaluation Partner), with input from Start Early, local Educare Executive Directors, and Local Evaluation Partners (LEPs). Questions about the policy should be directed to Gisele Crawford, Educare National Evaluation Project Coordinator, 919-966-0450 or gisele.crawford@unc.edu

For consideration to use Educare National Evaluation data, the student must complete the following steps:

1. Student discusses the project with the Local Evaluation Partner (LEP), who must agree to be a member of the student’s committee.

2. Student completes the attached application (Section M) and submits it to FPG (using additional pages as necessary). FPG determines whether it is feasible to supply the data that are requested (i.e., the data exist and in the format/level needed by the student). FPG may provide comments and advice about the study design, but the ultimate responsibility for the scientific merit of the study resides with the student and faculty/dissertation committee members.

3. Local LEP writes a letter to the EREDS Work Group endorsing the student’s study, committing to provide oversight, and ensuring that a final report of the dissertation will be shared with the Work Group.

4. The student forwards the letter to FPG, and the letter and application are forwarded, via Noreen Yazejian, to the EREDS Work Group for approval. The Educare committee members may provide comments and advice about the study design, but the ultimate responsibility for the scientific merit of the study resides with the student and faculty/dissertation committee members.

5. Before gaining access to data, the student will either need to be an affiliate of UNC through their LEP team or need to secure a data sharing agreement between UNC and their university. Any obligations related to IRB review/approval are the responsibility of the student.

6. Any publication or presentation of the results beyond the dissertation itself must be reviewed/approved by the EREDS Work Group.

**M. Form Used to Request Educare National Evaluation Data and Propose DiSSERTATIONs, PRESENTATIONS, Papers, and other publications using Educare national evaluation Data**

Members of the National Evaluation Research Consortium should complete and send the form below to Noreen Yazejian, noreen.yazejian@unc.edu

*\*\*Please read the ELN Publications Guidelines and sign the ELN confidentiality agreement prior to or when submitting this proposal.\*\**

Please indicate the type of proposal:

|  |  |
| --- | --- |
|  | Proposal Type |
|[ ]  Manuscript for Publication |
|[ ]  Conference Presentation |
|[ ]  Dissertation  |
|[ ]  Other: Explain |

**Title of Proposal**:

**Date**:

**Submitted by**:

Student’s Name, if dissertation:

Degree sought/major:

Address:

Phone:

Email:

Institution:

Approximate time frame in which work will be completed:

**Additional Authors** and their institution:

1. (Name of co-author here)

2. (Name of co-author here)

3. (Name of co-author here)

4. (Name of co-author here)

5. (Name of co-author here)

**Proposal description/Abstract/Research Questions**:

Please specify:

* The focus of the study and its significance given the current literature
* Analytic plans

If you are requesting a data set include a summary of data requested (use as much space as needed - the FPG data team may request clarification) and the timeframe for accomplishing tasks requiring assistance from the FPG data team. Note: datasets include only Educare children unless otherwise specified.

Please include the following in all requests:

1. Should any non-Educare children be included? If so, please specify (all or a particular site):
2. List of **who** (type of data: child, teacher, family, classroom) to include in the data set and at which **time points** (i.e., chronological time within child id so data are organized to allow examination of first, second, … last assessment in Educare; chronological age; year) and whether one or multiple records per ID will be in the analysis.

*Example:* All PPVT data for Children in Educare in the 2012-15 school years who have at least 2 assessments, by assessment time points of age 3, first fall of Head Start, and each spring of Head Start, for all Educare Schools.

**c**. V**ariables** to be included from each of the analysis datasets.

*Example:* Child ID, Educare School, DOB, gender, race, IEP to be used as covariates, and all PPVT raw and standard scores for each ID with date of assessment.

**d**. Describe any plans to use a procedure like Mplus that requires a flat file or a procedure like STATA xtmixed that requires a long file, or other facts pertinent to the intended analysis.

1. These guidelines were modeled after the Early Head Start Consortium publication policies. We are grateful to members of that group for sharing their knowledge and work with us. [↑](#footnote-ref-1)