

Restricted Use Data from the Social Capital Community Benchmark Survey

This document contains the instructions and forms needed for researchers interested in obtaining Restricted Use Data from the Social Capital Community Benchmark Survey conducted by the Saguaro Seminar of Harvard University. These data are archived and distributed by the Roper Center for Public Opinion Research of the University of Connecticut.

The Social Capital Community Benchmark Survey was conducted nationally as well as in 42 U.S. communities, to measure various forms of social capital as well as its suspected correlates to: 1) provide a rich database for analysis by interested researchers who wish to better understand social capital; and 2) provide a tool for communities and organizations to use in program development and evaluation, and to enable comparison to other communities and the nation.

Respondents to this survey were given an explicit or implied promise that the confidentiality of their responses would be protected. Because respondents provided large amounts of detailed information, it is possible that data in the files could be used to identify a specific individual. Such a breach of confidentiality would be very costly. It would damage the trust that respondents placed in the research community as a whole, as well as in Harvard University and TNSI (the data collector), and implicitly in the Roper Center (the data archive). Individuals would be less willing to participate in future data collection efforts and in similar studies.

Because of the damage that could be caused by a breach of confidentiality, we have gone to considerable lengths to prevent this from happening. The shared data file does not have any geographic markers at the county level or any more specific geographic level (specifically the fields FIPS, FIPS2, TRACT, BLOCK, PLACE, MCD, MSA, CODE, ZIP, and CITY_STR). Since an important component of the Social Capital Community Benchmark Survey is the analysis of local communities, this will be a limitation to some researchers. As a result, some or potentially all of these specific geographic markers (the so-called "Restricted Use Dataset") are available only under specific contractual conditions. These contractual conditions bind those requesting the data, those working with them in using the data, and the employing institutions of the researcher(s) to protect the confidentiality of respondents to the fullest extent permitted by law.

Before applying for the use of the Social Capital Community Benchmark Survey Restricted Use Dataset, researchers should ascertain that 1) the shared data file would not satisfy these needs, and 2) the Social Capital Community Benchmark Survey geographic markers contains the data needed for their research. [If the latter, they should ascertain what the least geographically specific fields are that are needed to perform the analysis necessary.]

Eligibility

Access to the Restricted Use Dataset is limited to researchers who clearly require the additional variables contained in the restricted use file and who agree to the terms and conditions contained in the Social Capital Community Benchmark Survey Restricted Use Data Agreement. The agreement not only of the research team but also of the employing institution is required.

Applying for Use of Restricted Use Data

Applicants must submit the following items to the Roper Center:

- Application for Social Capital Community Benchmark Survey Restricted Use Data (see below)
- Current CV's of all researchers who will be working on the project.
- CV's of support staff (e.g., research assistants, programmers) are not required but they must be signatories to the Supplemental Agreement.
- A detailed Data Protection Plan or a promise of adherence to the data protection plan we recommend (see instructions)
- A completed and original signature copy of the Social Capital Community Benchmark Survey Restricted Use Data Agreement for each organization involved in the proposed project. (see below)
- A completed and original signature copy of the Supplemental Agreement with Research Staff for each member of the research team (other than the Restricted Use Data Investigator(s)) who will have access to the data (if applicable).

The Social Capital Community Benchmark Survey Restricted Use Data Agreement is a legal document constituting an agreement between the researcher, her/his employer, and the Roper Center. Changes in the employment status of the researcher require the completion of a new Social Capital Community Benchmark Survey Restricted Use Data Agreement. Upon such changes in employment status, the involved individual must cease all work with the data until a new Agreement is signed and accepted by the Roper Center. The Data Protection Plan must be kept in full force.

The Roper Center will have sole discretion in deciding whether the applicant meets eligibility criteria and whether the Data Protection Plan is adequate (if a different Data Protection Plan is supplied than the one recommended in these materials). The Roper Center may request additional information from applicants or require changes to the Data Protection Plan. If the Roper Center decides all requirements are met, the Roper Center will sign the Social Capital Community Benchmark Survey Restricted Use Data Agreement and return a copy of the fully executed agreement to the applicant along a copy of the relevant data fields requested.

If during the course of the research project, new staff is added who will have access to the data, additional signed copies of the Supplemental Agreement must be sent to the Roper Center. Access to the data may not be provided to these staff members until the Supplemental Agreement is signed by the Roper Center and returned to the Restricted Use Data Investigator.

Research Teams Consisting of Persons Employed at Different Organizations

Because the researcher and her/his employer are both parties to the Social Capital Community Benchmark Survey Restricted Use Data Agreement, multiple Agreements must be executed when members of a research team with access to the Restricted Use Data are employed by different organizations. A separate Agreement must be executed with each organization involved in the project. For instance, when researchers employed at different universities collaborate on the research project, a Restricted Use Data Investigator must be designated at each university and each university must execute its own Agreement. When a researcher contracts with a firm to perform programming services using the Restricted Use Data, both the researcher's organization and the firm performing the programming must have separate Agreements. (Self-employed

persons with no institutional affiliation may not gain access to the Restricted Use Data under any circumstances).

When the project involves multiple organizations, the Restricted Data Use Agreements for each organization must be submitted to the Roper Center in a single package. This package should include a cover letter identifying the single Principal Investigator who will serve as primary contact for the entire research team. This primary contact must serve as the Restricted Use Data Investigator (i.e., signatory to the agreement) in his or her employer's Agreement. Other organizations involved in the project must designate the team member who holds the greatest authority over other team members from that organization as their organization's Restricted Use Data Investigator.

Where to Submit Applications

All application materials described in the previous section, "Applying for Use of Restricted Use Data," should be mailed to:

Executive Director, Roper Center, University of Connecticut, 369 Fairfield Way, Unit 2164, Storrs, CT 06269-2164

Questions about this application for the use of Restricted Use Data may also be sent to the above address or forwarded via fax (860) 486-6308 or e-mail (rcweb@ropercenter.uconn.edu).

Application for Social Capital Community Benchmark Survey Restricted Use Data File

INSTRUCTIONS: Please provide the following information. Additional information may be attached to this form. Please note that only one application per research project is required. However, separate Data Protection Plans and Data Use Agreements are required for each organization represented by the research team.

1. Applicant information: (Note: Unless otherwise instructed, the first Principal Investigator listed will serve as the primary contact person with the Roper Center.)

Name of Principal Investigator:

Title:

Department (if applicable):

Organization:

Street Address:

City, State, ZIP:

Phone:

Fax:

Email:

Name of Co-Principal Investigator (if applicable):

Title:

Department (if applicable):

Organization:

Street Address:

City, State, ZIP:

Phone:

Fax:

Email:

Provide information on all additional Co-Principal Investigators, if applicable, on a separate sheet.

2. Research objective for which the Social Capital Community Benchmark Survey Restricted Use Data file is requested and reasons why the shared data file currently available to the academic community is insufficient.

3. Short description of what the least specific geographic fields are that you require that are not in the shared data file. [Please specify for which COMMUNITY or SAMP field you are requesting this data.]

4. Describe all the ways that you intend to use the results of the research, including plans for publication and public dissemination.

5. Provide names, titles, and affiliations of all other members of the research team who will have access to the Restricted Use Data or to output derived from these data. If not all members have been selected, please list as "unassigned" and indicate the job titles. In this case, all such persons must complete Supplementary Agreements before they may access the data. Include individuals who are employed by different organizations.

6. For what period of time will you need the Restricted Use dataset?

7. Does your employer have policies regarding scientific integrity and misconduct (or human subjects research) that cover the secondary analysis of survey data and the protection of respondent confidentiality? If so, describe these policies in detail. If your employer requires approval by an Institutional Review Board/Human Subjects Review Committee or equivalent body, attach that approval to this application; if not, document that no such approval is required. Without such institutional policies, approval of this application is unlikely.

The Data Protection Plan for Use of Social Capital Community Benchmark Survey Restricted Use Data

Purpose of the Data Protection Plan: The Data Protection Plan becomes part of the signed agreement between the Roper Center, the Restricted Use Data Investigator(s), and the Institution of the investigator. If the agreement is executed, all members of the research team with access to the data are contractually obligated to follow all aspects of the Data Protection Plan. The fundamental goal of the protections outlined in this plan is to prevent persons who are not signatories to the “Social Capital Community Benchmark Survey Restricted Use Data Agreement” or the “Supplemental Agreement With Research Staff” from gaining access to the data. The data you seek will only be made available if data protections are deemed adequate by the Roper Center. We have supplied a recommended form of data protection to which you can simply agree. If this recommendation is not acceptable, you can send us another Data Protection Plan covering the items listed below and we will separately consider this proposal.

General terms of Data Protection Plan

- Password protection for all files containing data (note that password protection is not regarded as sufficient protection in and of itself).
- Removable storage devices holding the data (CDs, diskettes, zip drive disks, etc.) kept in a locked compartment/room when not in use.
- Printouts derived from data analysis stored in a locked compartment/room when not in use.
- No storage of the data on networks, LANs, etc.
- No transmittal of data or analysis/output derived from the data via email, email attachments, or FTP (either over the Internet, and Intranet system, or within a local area network).
- Use of the data on a dedicated computer that is kept in a secure room and not connected to a network of any form.
- No backup copies of the data to be made.
- Consistent use of efficient encryption technology for all data files when not in direct use by a signatory to the Agreement. Encryption is mandatory if any portion of the data is transmitted in a network to which non-signatories to the Agreement have access, whether a LAN, a WAN, or the Internet.

The Data Protection Plan applies to both the raw data file received from the Roper Center (as well as any copies made by the research team), and any new data derived solely or in part from the raw data file, including extract or analytical files. The plan also should address how computer output (screens, printouts, and other output) derived from the data will be kept secure. This applies to all computer output, not only direct data listings of the file.

I certify that everyone on the project, whether from our institution, or another institution will adhere to the Data Protection Plan.

Name

Signature

Title

Date

If the above agreement is not acceptable, please read the following and follow these instructions in proposing your own Data Protection Plan.

Components of the plan: Your Data Protection Plan should contain the following components:

1. Make reference to Title of Research Project and Principal Investigators.
2. List and describe all locations where copies of the data will be kept.
3. Describe the computing environment in which the data will be used:
 - Computing platform (PC, workstation, mainframe platform)
 - Number of computers on which data will be stored or analyzed
 - Whether personal computers used in the research project will be attached to a network or will operate independently (stand-alone)
 - Physical environment in which computer is kept (e.g., in room with public access, in room locked when not in use by research staff)
4. List and describe device(s) on which data will be stored: (on network server, on mainframe computer storage device, on PC hard drive, on removable storage device such as CD, floppy drive, or Zip® drive.)
5. Methods of data storage when data are not being used.
6. Methods of transmitting the data between research team members (if applicable).
7. Methods of storage of computer output (in electronic form as well as on paper).

Types of protection expected: Although there are alternative ways to assure security for the data and applicants should prepare their plans in a manner that best meets their needs, the items listed above in the model data protection plan are generally expected.

Social Capital Community Benchmark Survey Restricted Use Data Agreement

INSTRUCTIONS: Please submit an original-signature copy of this agreement; this will be countersigned and a copy returned to you.

The Restricted Use Data Investigator and the Receiving Organization agree to the following terms and conditions:

Terms

1. "Restricted Use Data" refers to the original Social Capital Community Benchmark Survey Restricted Use Data provided by Harvard University through the Roper Center of the University of Connecticut and any copies, derivatives, fields or variables derived from these data, on whatever media they shall exist. (Aggregated statistical summaries of data and analyses, such as tables and regression statistics, are not considered "derived" for the purposes of this agreement.)
2. "Restricted Use Data Investigator" refers to the investigator who serves as the primary point of contact for all communications involving this agreement. The Restricted Use Data Investigator assumes primary responsibility on behalf of the Receiving Organization for compliance with all terms of this agreement by employees of the receiving organization.
3. "Principal Investigator(s)" refers to the Restricted Use Data Investigator and any Co-Principal Investigators.
4. "Receiving Organization" (or the Institution) refers to the organization employing the Restricted Use Data Investigator.
5. "Research Staff" refers to any individuals other than the "Restricted Use Data Investigator(s)" with access to the Restricted Use Data.
6. The "Representative of the Receiving Organization" refers to an individual who has the authority to represent your organization in agreements of this sort, such as a Vice President, Dean, Provost, or similar officer of the Receiving Organization who has the authority to contractually bind the organization. (Note that a Department Chair is not acceptable unless specific written delegation of contractual authority exists.)
7. "Harvard University" refers to the Saguaro Seminar: Civic Engagement in America, a project of the John F. Kennedy School of Government at Harvard University.
8. "Roper Center" refers to the Roper Center for Public Opinion Research of the University of Connecticut.
9. "Taylor Nelson Sofres Intersearch" or "TNSI" refers to the data collecting organization.

Items Incorporated by Reference

10. The Application for Social Capital Community Benchmark Survey Restricted Use Data, as approved by the Roper Center, is incorporated by reference into this Agreement.
11. All current and future supplemental agreements with Research Staff pursuant to the specific research project proposed concerning the Social Capital Community Benchmark Survey

Restricted Use Data, as approved by the Roper Center, are incorporated by reference into this Agreement.

12. The Data Protection Plan, developed by the Restricted Use Data Investigator, is incorporated by reference into this Agreement.

Ownership of Data

13. Ownership of Social Capital Community Benchmark Survey Restricted Use Data will be retained by Harvard University. Permission to use the Restricted Use Data by the Investigator(s) and Receiving Organization may be revoked by Harvard University or the Roper Center at any time, at either's discretion. The Investigator(s) and Receiving Organization must return or destroy all originals and copies of the Restricted Use Data, on whatever media it may exist, within 5 days of written request to do so. If the data are destroyed upon demand, an officer of the Receiving Organization must certify this destruction.

Access to the Restricted Use Data

14. Access to the Restricted Use Data will be limited solely to the specific named individuals signing this agreement and any Supplemental Agreement(s) With Research Staff, as detailed in the approved Data Protection Plan. The data may only be shared with the other signatories to this agreement for the specific research project proposed. Access to the data by a person not named in this Agreement or in a Supplemental Agreement can and will be cause for immediate revocation of access by all signatories.

15. Copies of the Restricted Use Data or any subsequent variables or data files derived from the Restricted Use Data will not be provided to any other individual or organization without the prior written consent of the Roper Center. Such other individuals and organizations will be required to establish separate written agreements before such access is permitted.

Uses of the Restricted Use Data

16. The Restricted Use Data will be used solely for the purpose of scientific and public policy research, and not for any administrative, proprietary, commercial, or law enforcement purposes.

17. The Restricted Use Data will be used to generate only statistical summary information that does not allow any individual, family, household, business or organization to be identified.

18. The Restricted Use Data will be used solely for purposes described in the Application for Social Capital Community Benchmark Survey Restricted Use Data incorporated by reference into this document.

19. No attempt will be made by anyone to identify any individual person, family, household, business, or organization using the Restricted Use Data. If an individual person, family, household, business or organization is inadvertently identified, or if a technique for doing so is discovered, the identification or discovery will be immediately reported to the Roper Center, and the identification or discovery will not be revealed to any other person who is not a signatory to this agreement.

20. No attempt will be made to link the Restricted Use Data with any other dataset, including public or proprietary data or other datasets, unless that other dataset is specifically identified in the approved Application for Social Capital Community Benchmark Survey Restricted Use Data.

21. Use of the Restricted Use Data will be consistent with the Receiving Organization's policies regarding scientific integrity and human subjects research.

Data Confidentiality Procedures

22. If the Receiving Organization requires a review of research proposals using secondary survey data by an Institutional Review Board/Human Subjects Review Committee or equivalent body, that review must have taken place and all approvals must have been granted prior to application for use of Social Capital Community Benchmark Survey Restricted Use Data. That approval must be attached in writing to the Application. The Application must note if such approval is not required and explain why.

23. The Receiving Organization will treat allegations, by Harvard University, the Roper Center, TNSI, or other parties, of violations of this agreement as allegations of violations of its own policies and procedures on scientific integrity and misconduct. If the allegations are confirmed, the Receiving Organization will treat the violations as it would other violations of the explicit terms of its policies on scientific integrity and misconduct.

24. The Restricted Use Data Investigator certifies that all aspects of the Data Protection Plan, as approved by the Roper Center, will be followed until which time all copies of the Restricted Use Data are destroyed.

Destruction of Data Upon Completion of Research Project

25. The Restricted Use Data Investigator will certify to the Roper Center that all originals and copies of the Restricted Use Data, on whatever media, will be destroyed at the completion of the research project described in the Application for Social Capital Community Benchmark Survey Restricted Use Data or within 5 days of written request from the Roper Center or Harvard University.

Duration of This Agreement

26. This Agreement will go into effect upon approval of the Agreement by the Roper Center and will remain in effect until the completion of the research project, as noted in the Application for Social Capital Community Benchmark Survey Restricted Use Data, or 12 months from the date this Agreement is accepted by the Roper Center, whichever comes first. If, at the end of 12 months, access to the Restricted Use Data is still desired, the Restricted Use Data Investigator must contact the Roper Center in writing requesting such continued access. If continued access is denied by the Roper Center, or if the Restricted Use Data Investigator neglects to contact the Roper Center prior to the end of the 12-month period, all originals and copies of the Restricted Use Data, on whatever media they exist, must be destroyed by the Restricted Use Data Investigator within five days of the date of the period of use that the researcher previously obtained.

Post-Approval Modifications to Submitted Materials

27. If changes in research plans or computer environment will alter the information originally submitted as part of this Agreement, the Restricted Use Data Investigator shall provide the Roper Center with a copy of the revised materials and a memorandum describing the changes in advance of the revisions. These revisions will be considered amendments to this agreement and may not be implemented until written approval is received from the Roper Center.

28. If a new version of the Restricted Use Data for the Social Capital Community Benchmark Survey becomes available from the Roper Center, the Restricted Use Data Investigator may request the new version by submitting a memorandum to the Roper Center. Upon written approval by the Roper Center, the memorandum shall be considered an amendment to this agreement.

29. A change in the employer of the Restricted Use Data Investigator requires the execution of a new Social Capital Community Benchmark Survey Restricted Use Data Agreement and preparation of a new Data Protection Plan. These materials must be approved by the Roper Center before Restricted Use Data may be accessed at the new place of employment.

30. When other research staff join the project, they shall sign and submit the Supplemental Agreement with Research Staff. Such supplemental agreements shall be submitted in a timely manner but, in any event, prior to granting other research staff access to the data on whatever media in which the data may exist.

Violation of This Agreement

31. If Harvard University, the Roper Center, or TNSI determines that the Agreement may have been violated, the Roper Center will inform the Restricted Use Data Investigator(s) of the allegations in writing and will provide them with an opportunity to respond in writing within 10 days. The Roper Center may also, at that time, require immediate return or destruction of all copies of the Restricted Use Data in possession of the investigators. Failure to do so will be determined to be a material breach of this agreement and, among other legal remedies, may be subject to injunctive relief by a court of competent jurisdiction. If the Roper Center deems the allegations unfounded or incorrect, the data may be returned to the Restricted Use Data Investigator under the terms of the original agreement. If the Roper Center deems the allegations in any part to be correct, the Roper Center will determine and apply the appropriate sanction(s), which may include legal action.

32. If Harvard University, the Roper Center, or TNSI determines that any aspect of this agreement has been violated, the Roper Center may invoke these sanctions as it deems appropriate:

- Denial of all future access to Social Capital Community Benchmark Survey Restricted Use Data.
- Report of the violation to the researcher's institution's office responsible for scientific integrity and misconduct, with a request that the institution's sanctions for misconduct be imposed.
- Report of the violation to federal and private agencies or foundations that fund scientific and public policy research, with a recommendation that all current research funds be terminated, that future funding be denied to the investigator(s) and to all other persons involved in the violation, and that access to other Restricted Use Data be denied in the future.

- Such other remedies that may be available to the Roper Center under law or equity, including injunctive relief

I certify that all materials submitted with this application for the Social Capital Community Benchmark Survey Restricted Use Data are truthful. Dissertation advisers must co-sign this agreement if the principal investigator is a graduate student.

Furthermore, I acknowledge that I am legally bound by covenants and terms of this agreement, and that violation will constitute unethical professional practice and may subject me to the sanctions listed above.

Restricted Use Data Investigator

Signature
Date
Typed Name
Title
Institution
Building/Room Number
Street Address
City/State/ZIP
Telephone
Fax
email

Dissertation Advisors:

_____	_____	_____
Name	Name	Date
_____	_____	_____
Title	Title	Date
_____	_____	_____
Name	Name	Date
_____	_____	_____
Title	Title	Date

Representative of the Receiving Organization

By signing this agreement, this organization agrees that access to these confidential data will be restricted to authorized persons whose names appear on this agreement and the Supplemental Agreement with Research Staff, and that this organization is legally bound by the covenants and terms of this agreement. I certify that I am authorized to contractually bind this organization to this contract.

Signature
Date
Typed Name
Title
Institution
Building/Room Number
Street Address
City/State/ZIP
Telephone
Fax
email

Executive Director of the Roper Center

By signing this agreement, the Roper Center agrees that access to these confidential data will be made available to the authorized persons whose names appear on this agreement and the Supplemental Agreement with Research Staff. Your organization is aware of the risks that could arise to the scientific enterprise from respondent confidentiality being breached inadvertently.

Signature

Date

Typed Name

Title

Institution Roper Center

Street Address 369 Fairfield Way, Unit-2164

City/State/ZIP Storrs, CT 06269-2164

Telephone 860-486-4440

Fax 860-486-6308

email Rcweb@ropercenter.uconn.edu

**Social Capital Community Benchmark Survey Restricted Use Data Agreement:
Supplemental Agreement With Research Staff**

INSTRUCTIONS: Please submit an original-signature copy of this agreement. (It will be countersigned and a copy returned to you.) Use additional copies of this page if necessary.

The undersigned staff, in consideration of their use of Restricted Use Data from the Social Capital Community Benchmark Survey, certify the following:

1. That they have read the associated Social Capital Community Benchmark Survey Restricted Use Data Agreement, and the Data Protection Plan incorporated by reference into this Agreement.
2. That they are "Research Staff" within the meaning of the Agreement.
3. That they will fully comply with the terms of the Agreement, including the Data Protection Plan incorporated by reference into it.
4. That they will not attempt to access Social Capital Community Benchmark Survey Restricted Use Data until approved to do so by the Roper Center.

Signature _____
Date _____
Typed Name _____
Research Project _____
Title/Formal Affiliation with Research Project _____

Signature _____
Date _____
Typed Name _____
Research Project _____
Title/Formal Affiliation with Research Project _____

Signature _____
Date _____
Typed Name _____
Research Project _____
Title/Formal Affiliation with Research Project _____

Signature _____
Date _____
Typed Name _____
Research Project _____
Title/Formal Affiliation with Research Project _____

The above Research Staff are hereby granted approval to access Social Capital Community Benchmark Survey Restricted Use Data:

The Roper Center

Date