MEMORANDUM OF UNDERSTANDING

BETWEEN

Click or tap here to enter text.

AND

THE KENTUCKY DEPARTMENT OF EDUCATION

TO AUTHORIZE THE RELEASE AND USE OF CONFIDENTIAL DATA

FOR STUDIES

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**THIS AGREEMENT** is made and entered into by and between the Kentucky Department of Education (“KDE”) and the Click or tap here to enter text., collectively the “parties,” and establishes the procedures relating to an exchange of information between the parties.

**WHEREAS**, the KDE is a public agency organized under KRS 156.010 and its duties include conducting research to identify or develop the best education practices to be used in public schools of the Commonwealth of Kentucky;

**WHEREAS**, the Click or tap here to enter text. (“Researcher”) is an entity conducting studies to develop, validate, or administer predictive tests; administer student aid programs; or improve instruction;

**WHEREAS**, various elements of the data maintained by KDE are protected by the Privacy Act of 1974, 5 U.S.C. 552a; the Kentucky Family Educational Rights and Privacy Act, KRS 160.700 et seq.; the Family Educational Rights and Privacy Act (“FERPA”), 20 U.S.C. 1232g; the Richard B. Russell National School Lunch Act, 42 U.S.C. 1751 et seq.; the Child Nutrition Act of 1966, 42 U.S.C. 1771 et seq.; the Personal Information Security and Breach Investigation Procedures and Practices Act, KRS 61.931 et seq.; and the Individuals with Disabilities Act, 20 U.S.C. 1400 et seq.;

**NOW THEREFORE**, the KDE and the Researcher hereby mutually agree as follows:

# Section 1. Identification of the Researcher as Organization to Which the KDE can Disclose Confidential Data under the FERPA Studies Exception and under 7 C.F.R 245.6(f).

* + The KDE and the Researcher hereby agree that the Researcher is an organization to whom the KDE can disclose personally identifiable information from an education record of a student, as defined in 34 CFR 99.3, under the “studies exception” of FERPA, 34 C.F.R. 99.31(a)(6), because the disclosure is to conduct studies for, or on behalf of, the KDE to: develop, validate, or administer predictive tests; administer student aid programs; or improve instruction.
  + The KDE and the Researcher hereby agree that, if free or reduced-price lunch eligibility data (i.e., free or reduced-price lunch eligibility data which is the student poverty indicator for most education programs) is to be released to the Researcher, then the KDE shall identify the Researcher as a contractor acting in the place of the KDE; shall ensure that the Researcher has demonstrated that the research is on behalf of KDE, under a federal or state-level education program or a state health program; shall ensure that the research includes a “need to know” this data as required by 7 C.F.R. 245.6.; and shall ensure that the data will only be disclosed to the Researcher upon written request utilizing the U.S. Department of Agriculture Prototype Agreement. The completed USDA Prototype Agreement shall be attached in Exhibit A and incorporated into this agreement as if set forth fully herein and KDE’s agreement that the Researcher meets the requirements for disclosure set forth in 7 C.F.R. 245.6(f) and that the Researcher has demonstrated a “need to know” shall be evidenced by the KDE’s agreement to enter the USDA Prototype Agreement.

# Section 2. Acknowledgment of Release of Confidential Data under the FERPA Studies Exception and under 7 C.F.R. 245.6(f), Requirements for Release of Confidential Data to the Researcher, Identification of Confidential Data to be Released to the Researcher and Description of Use of Data by the Researcher.

1. The parties acknowledge that the KDE is releasing confidential data including student and non-student information to the Researcher for the Researcher to conduct studies for, or on behalf of, the KDE to develop, validate, or administer predictive tests; administer student aid programs; or improve instruction. The parties further acknowledge that KDE is the owner of the confidential data. The confidential data including student and non-student information to be disclosed is described in a document attached to this agreement as Exhibit A. The Researcher shall use personally identifiable information from education records and other records in order to perform the studies described in Exhibit A. The description of the studies, as included in Exhibit A, shall include purpose and scope of the studies, the duration of the studies, specific description of the methodology of disclosure and an explanation as to the need for confidential data to perform these studies. The Researcher shall notify the KDE and the KDE shall provide written consent, if approved, of any changes to the list of disclosed data necessary for the studies or any changes to the scope, purpose or duration of the studies themselves. Any agreed upon changes to the data disclosed or to the studies shall be reduced to writing and included in Exhibit A to this agreement.
   * If free or reduced price lunch eligibility data (i.e., free or reduced price lunch eligibility data which is the student poverty indicator for most education programs) is to be released to the Researcher, then the KDE shall disclose this data to the Researcher, upon written request utilizing the U.S. Department of Agriculture Prototype Agreement, and upon the KDE agreeing that the Researcher has demonstrated that disclosure is allowed by 7 C.F.R. 245.6(f). A description of any data protected by 7 C.F.R 245.6(f) which is to be disclosed under this agreement shall be included in Exhibit A. Any agreed upon changes to the data disclosed or to the studies shall be reduced to writing and included in Exhibit A to this agreement.

# Section 3. The Researcher and the Authorized Users’ Obligations.

1. The Researcher shall not share these confidential data with anyone, except those employees of the Researcher and the Researcher’s subcontractors identified herein, (“Authorized Users”) that are directly involved and have a legitimate interest under FERPA or a “need to know” (as defined in 7 C.F.R. 245.6(f) in the case of disclosure of free or reduced price lunch eligibility data which is the student poverty indicator for education programs), in the performance of the studies according to the terms of this agreement or any overarching agreement between the KDE and the Researcher in which the Researcher agrees to perform these studies on the KDE’s behalf (“Master Agreement”).
   * The Researcher shall require all Authorized Users to comply with FERPA and other applicable federal and state student and non-student privacy laws. The Researcher shall require and maintain confidentiality agreements or the KDE’s Nondisclosure Statement(s) with each Authorized User of confidential data. If a confidentiality agreement with each Authorized User is used, which is different from the KDE Nondisclosure Statement(s), then the terms of the Researcher’s confidentiality agreements shall contain, at a minimum, the terms and conditions of this agreement and a copy of the current Researcher’s signed confidentiality agreement or the KDE’s Nondisclosure Statement(s), as appropriate, shall be attached to this agreement as Exhibit B.
   * Researcher that receives Personal Information as defined by and in accordance with Kentucky’s Personal Information Security and Breach Investigation Procedures and Practices Act, KRS 61.931, et seq., (the “Act”), shall secure, protect and maintain the confidentiality of the Personal Information by, without limitation, complying with all requirements applicable to “non-affiliated third parties” set forth in the Act.

“Personal Information” is defined in accordance with KRS 61.931(6) as “an individual’s first name or first initial and last name; personal mark; or unique biometric or genetic print or image, in combination with one (1) or more of the following data elements:

1. An account number, credit card number, or debit card number that, in combination with any required security code, access code or password, would permit access to an account;
2. A Social Security number;
3. A taxpayer identification number that incorporates a Social Security number;
4. A driver’s license number, state identification card number or other individual identification number issued by an agency;
5. A passport number or other identification number issued by the United States government; or
6. Individually identifiable health information as defined in 45 C.F.R. sec. 160.103, except for education records covered by the Family Education Rights and Privacy Act, as amended 20 U.S.C. sec 1232g.”

As provided in KRS 61.931(5), a “non-affiliated third party” means any person that has a contract or agreement with KDE and receives (accesses, collects or maintains) personal information from the Commonwealth pursuant to the contract or agreement.

Researcher shall not redisclose, without written consent of the KDE, any “personal information,” as defined in KRS 61.931(6), or any other personally identifiable information of a student or other persons, such as employees.

* + The Researcher hereby agrees to cooperate with KDE in complying with the response, mitigation, correction, investigation, and notification requirements of the Act.
  + The Researcher shall notify as soon as possible, but not to exceed seventy-two (72) hours, KDE, the Commissioner of the Kentucky State Police, the Auditor of Public Accounts, the Kentucky Attorney General, and the Commonwealth Office of Technology of a determination of or knowledge of a breach, unless the exception set forth in KRS 61.932(2)(b)2 applies and the Researcher abides by the requirements set forth in that exception. If the agency is a unit of government listed in KRS 61.931(1)(b), the Researcher shall notify the Commissioner of the Department of Local Government in the same manner as above. If the agency is a public school district listed in KRS 61.931(1)(d), the Researcher shall notify the Commissioner of the Department of Education in the same manner as above. If the agency is an educational entity listed under KRS 61.931(1)(e), the Researcher shall notify the Council on Postsecondary Education in the same manner as above. Notification shall be in writing on the form developed by the Commonwealth Office of Technology and incorporated by reference into Kentucky Regulation 200 KAR 1:016.
  + The Researcher hereby agrees to undertake a prompt and reasonable investigation of any breach as required by KRS 61.933.
  + Upon conclusion of an investigation of a security breach of Personal Information as required by KRS 61.933, the Researcher hereby agrees to an apportionment of the costs of the notification, investigation, and mitigation of the security breach.
  + In accordance with KRS 61.932(2)(a) the Researcher shall implement, maintain, and update security and breach investigation procedures that are appropriate to the nature of the information disclosed, that are at least as stringent as the security and breach investigation procedures and practices established by the Commonwealth Office of Technology available here: <https://technology.ky.gov/OCISO/Pages/InformationSecurityPolicies,StandardsandProcedures.aspx>.
  + If Researcher is a cloud computing service provider (as defined in KRS 365.734(1)(b) as “any person or entity other than an educational institution that operates a cloud computing service”), Researcher does further agree that:
* Researcher shall not process student data for any purpose other than providing, improving, developing, or maintaining the integrity of cloud computing services, unless the provider receives express permission from the student’s parent. The Researcher shall work with the student’s school and district to determine the best method of collecting parental permission. KRS 365.734 defines “process” and “student data.”
* With a written agreement for educational research, Researcher may assist an educational institution to conduct educational research as permitted by the Family Educational Rights and Privacy Act, 20 U.S.C.1232g.
* Pursuant to KRS 365.734, Researcher shall not in any case process student data to advertise or facilitate advertising or to create or correct an individual or household profile for any advertisement purposes.
* Pursuant to KRS 365.734, Researcher shall not sell, disclose, or otherwise process student data for any commercial purpose.
* Pursuant to KRS 365.734, Researcher shall certify in writing, by its signature on this MOU, that it will comply with KRS 365.734(2).
  + The Researcher shall protect confidential and otherwise personally identifiable data in a manner that does not permit personal identification of students and their parents, and non-students by anyone except those bound by this agreement and the KDE.
  + The Authorized Representative will provide sufficient security using current industry best practices to protect all KDE’s confidential and otherwise personally identifiable data in network transit, storage, and cache. All confidential and otherwise personally identifiable data, including backups and archives, must be maintained at all times on secure servers within the contiguous United States. All confidential and otherwise personally identifiable data must be encrypted in transit from the Authorized Representative’s network and at rest while stored on Authorized Representative’s laptops or other portable media devices.
  + The Researcher shall notify the KDE as soon as practicable if the Researcher learns of any security breach to the server containing the confidential and otherwise personally identifiable data or of any disclosure of confidential and otherwise personally identifiable data to anyone other than the Researcher’s Authorized Users or the KDE officials authorized to receive confidential and otherwise personally identifiable data. The Researcher shall cooperate and take all reasonable means prescribed by the KDE to secure any breaches as soon as practicable.
  + The Researcher shall not redisclose the KDE’s confidential and otherwise personally identifiable data to any other party without the prior consent of the parent or eligible student, or non-student except as allowed by applicable federal and Kentucky law.
  + The Researcher certifies that it has the capacity to restrict access to confidential and otherwise personally identifiable data solely to Authorized Users and to ensure that the confidential and otherwise personally identifiable data is accessed only for the purposes described in this agreement. A copy of the Researcher’s data security policies and procedures is attached to this agreement as Exhibit C.
  + The Researcher shall destroy all confidential and otherwise personally identifiable data within forty-five (45) days after it is no longer needed to perform the studies described in this agreement, upon KDE’s request or upon termination of this agreement, whichever occurs first unless agreed otherwise in writing. The Researcher’s description of the method(s) which will be used to destroy all confidential and otherwise personally identifiable data shall be attached to this agreement as Exhibit D. The Researcher shall provide written verification of the data destruction to the KDE within forty-five (45) days after the data is destroyed by completing Exhibit F.
  + The Researcher shall permit the KDE, at the KDE’s cost and upon written reasonable request, to audit the Researcher to confirm that the Researcher is complying with the data security policies and procedures in Exhibit C, maintaining and having on file confidentiality agreements or the KDE’s Nondisclosure Statement(s) for each Authorized User of confidential data, and/or that the Researcher has destroyed the data as verified.
  + The Researcher shall collect and use these confidential and otherwise personally identifiable data only for the purpose of the study as outlined in this agreement.
  + The Researcher shall obtain prior written approval from the KDE before accessing confidential and otherwise personally identifiable data for activities beyond the scope specified in this agreement; and any access beyond the scope of this agreement shall be consistent with federal and Kentucky law requirements. Any confidential and otherwise personally identifiable data collected by the Researcher under activities approved by the KDE under this section, which are not regularly collected within the scope of this agreement but are consistent with the activities described in this agreement, shall be subject to the terms and conditions of this agreement.
  + If the Researcher becomes legally compelled to disclose any confidential and otherwise personally identifiable data (whether by judicial or administrative order, applicable law, rule or regulation, or otherwise), then the Researcher shall use all reasonable efforts to provide the KDE with prior notice before disclosure so that the KDE may seek a protective order or other appropriate remedy to prevent the disclosure or to ensure the KDE’s compliance with the confidentiality requirements of federal or Kentucky law; provided, however, that the Researcher will use all reasonable efforts to maintain the confidentiality of confidential and otherwise personally identifiable data. If a protective order or other remedy is not obtained prior to the deadline by which any legally compelled disclosure is required, the Researcher will only disclose that portion of confidential and otherwise personally identifiable data that the Researcher is legally required to disclose.
  + The Researcher shall abide by and be bound by the requirements of the U.S. Department of Education, Family Policy Compliance Office’s Guidance for Reasonable Methods and Written Agreements (“Guidance”) issued pursuant to the requirements of the Family Educational Rights and Privacy Act. The Guidance is available at <https://studentprivacy.ed.gov/resources/guidance-reasonable-methods-and-written-agreements> and made a part of this agreement as if stated fully herein.
  + The Researcher shall also, if the data shared by the KDE includes data protected by 7 C.F.R. 245.6 (i.e., free or reduced-price lunch eligibility data which is the student poverty indicator for most education programs), abide by the restrictions of disclosure and confidentiality requirements contained in 7 C.F.R. 245.6 applicable to the KDE.

# Section 4. Disclosure of Data not an Endorsement of the Studies.

TheKDE is not required to agree with or endorse the conclusions or results of the studies. At least five days prior to Researcher’s public disclosure of conclusions or results of the studies, the Researcher shall provide a copy of conclusions, results or product(s) resulting from the study (e.g., article, report, book, etc.) to the KDE Chief Data Officer via the [KDE shared data mailbox](mailto:kdedatarequest@education.ky.gov) ([kdedatarequest@education.ky.gov](mailto:kdedatarequest@education.ky.gov)). No later than 45 days following the end date of the studies, the Researcher shall provide their conclusions, results or product(s) of the studies.

# Section 5. Transfer Protocol.

The KDE and the Researcher shall work cooperatively to determine the proper medium and method for the transfer of confidential data between each other. The Researcher shall confirm the transfer of confidential data and notify the KDE as soon as practicable of any discrepancies between the actual data transferred and the data described in this agreement. The same protocol shall apply to any transfer of confidential data from the Researcher to the KDE.

# Section 6. Breach of Data Confidentiality.

The Researcher acknowledges that the breach of this agreement or its part may result in irreparable and continuing damage to the KDE for which money damages may not provide adequate relief. In the event of a breach or threatened breach of this agreement by the Researcher, the KDE, in addition to any other rights and remedies available to the KDE as allowed by federal and Kentucky Law, may be entitled to seek preliminary and permanent injunctions to enjoin and restrain the breach or threatened breach. If the United States Department of Education’s Family Policy Compliance Office determines that the Researcher has violated paragraph 34 C.F.R. 99.31(a)(6)(iii)(B), the KDE may not allow the Researcher access to personally identifiable information from education records for at least five (5) years. If the Researcher breaches the confidentiality requirements of 7 C.F.R. 245.6 relative to any confidential free or reduced-price lunch eligibility data, then the Researcher shall be responsible for any consequences or penalties which result from such breach.

# Section 7. Amendment and Assignability.

The terms and conditions of this agreement may only be amended by mutual written consent of both the KDE and the Researcher, and the Researcher shall not assign its respective rights or obligations under this agreement without prior written consent of the KDE. The rights and obligations of each party under this agreement shall inure to the benefit of and shall be binding upon that party and its respective successors and assigns.

# Section 8. Choice of Law and Forum.

All questions as to the execution, validity, interpretation, construction or performance of this agreement or any of its terms shall be governed by the laws of the Commonwealth of Kentucky. Any suit, action, or other proceeding regarding the execution, validity, interpretation, construction, or performance of this agreement shall be filed in the Franklin Circuit Court of the Commonwealth of Kentucky.

# Section 9. Waiver.

The failure by one party to require performance of any provision shall not affect that party's right to require performance at any time thereafter, nor shall a waiver of any breach or default of this agreement constitute a waiver of any subsequent breach or default or a waiver of the provision itself. No modification, amendment, waiver or release of any provision of this agreement or of any right, obligation, claim or cause of action arising from this agreement shall be valid or binding for any purpose unless in writing and duly executed by the party against whom they are asserted.

# Section 10. Severability.

Any provision of this agreement that is declared invalid by a court of competent jurisdiction or by operation of law, shall not affect the validity or enforceability of any other provision of this agreement.

# Section 11. Authority to Enter the Agreement.

The KDE and the Researcher represent and warrant, by the signatures of their duly appointed representatives, that they are legally entitled to enter into this agreement.

# Section 12. Data Custodians.

The individuals who are the designated data custodians for the Researcher with respect to this agreement are listed with their contact information in Exhibit E.

# Section 13. Term and Termination.

The term of this agreement shall be the latter of the duration set forth in Exhibit A or the date the requirements for destruction of all confidential and otherwise personally identifiable data are met which includes submittal of a completed Exhibit F to KDE. Either party may cancel this agreement at any time for cause or may cancel without cause on thirty (30) days’ written notice.

# Section 14. Effective Date and Term of the Agreement.

This agreement will become effective once the KDE and the Researcher have both signed.

# **APPROVED**:

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Researcher’s Authorized Agent Signature/Date

Agent’s Name: Click or tap here to enter text.**,** Agent’s Title: Click or tap here to enter text.

Research Entity’s Name: Click or tap here to enter text.

Phone: Click or tap here to enter text.

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KDE Signature/Date

Dr. Robbie Fletcher, Commissioner

Kentucky Department of Education

Memorandum of Understanding (MOU)

# Description of Exhibits

To authorize the release and use of confidential data under the FERPA Studies Exception. Exhibits referenced in the Memorandum of Understanding must be completed and incorporated into the final MOU. Exhibits include:

* Exhibit A - Specifics of data being requested
  + Section I - the initial data request that describes the study and data being requested
  + Section II- describes the need for Personally Identifiable Information (PII)
  + Section III - required if requesting Free and Reduced Lunch information
* Exhibit B - Researcher Confidentiality Agreements (one for each data custodian)
* Exhibit C - Researcher data security policy
* Exhibit D - Data destruction plan at completion of study
* Exhibit E - Identification of data custodians
* Exhibit F – Researcher’s Certificate of Data Destruction

Ffor additional information on requirements for data sharing under the Family Educational Rights and Privacy Act (FERPA), refer to The U.S. Department of Education, Family Policy Compliance Office’s Guidance for Reasonable Methods and Written Agreements available at <https://studentprivacy.ed.gov/resources/guidance-reasonable-methods-and-written-agreements>.

# Exhibit A: Specifics of data being requested

### Section I – Required for all requestors

#### Contact Information

Requesting Entity Legal Name: Click or tap here to enter text.

Primary Data Custodian Name: Click or tap here to enter text. Title: Click or tap here to enter text.

Phone: Click or tap here to enter text. Email: Click or tap here to enter text.

Secondary Data Custodian Name: Click or tap here to enter text., Title: Click or tap here to enter text.

Phone: Click or tap here to enter text. Email: Click or tap here to enter text.

#### Purpose, Scope and Duration

Use of data received under this MOU is limited to purpose, scope and duration defined.

#### Completely describe the purpose and scope of the study:

Click here to enter text.

#### Describe how the results will be used:

Click here to enter text.

**Study Start Date:** Click or tap to enter a date. **Study End Date:** Click or tap to enter a date.

#### Data Being Requested

##### School Years included in the Study:

2024-25 2023-24 2022-23 2021-22 2020-21 2019-20 2018-19 2017-18 2016-17 2015-16 2014-15  2013-14 2012-13  2011-12 2010-11 2009-10 2008-09  Other: Click here to enter text.

**Level of detail/aggregation:**  Student/Individual  School  District  State

*If requesting Personally Identifiable Information (PII), check Student/Individual box. For aggregate level, select School, District and/or State.*

##### Provide specific data elements needed to complete the study:

Click here to enter text.

### Section II – Special requirements for requests for Personally Identifiable Information (PII)

*Complete if Personally Identifiable Information (PII) is being requested.*

* Student-Level/Individual detail from education records can only be used to meet the purpose or purposes of the study as stated in this MOU for duration as defined.
* Researcher agrees to conduct the study in a manner that does not permit the personal identification of parents, students, or individuals by anyone other than designated data custodians.
* Researcher agrees to destroy all PII from education records and confidential data from other records.

**Justify your request for student/individual level data**.

*Explain why the study could not be completed by using aggregate-level data without PII:*

Click here to enter text.

### III- Prototype Agreement: Disclosure of Free and Reduced-Price Information

*Complete Section III if Free or Reduced-Price Lunch eligibility data is required for PII records.*

### A. Purpose and Scope

Kentucky Department of Education (KDE) and Click or tap here to enter text. acknowledge and agree that children’s free and reduced-price meal and free milk eligibility information obtained under provisions of Richard B. Russell National School Lunch Act (42 USC 1751 et. seq.) (NSLA) or Child Nutrition Act of 1966 (42 USC 1771 et. seq.) (CNA) and the regulations implementing these Acts is confidential information. This Agreement is intended to ensure that any information disclosed by the KDE to the Click or tap here to enter text. about children eligible for free and reduced-price meals or free milk will be used only for purposes specified in this Agreement and that the KDE and Click or tap here to enter text. recognize that there are penalties for unauthorized disclosures of this eligibility information.

### B. Authority

Section 9(b)(6)(A) of the NSLA (42 USC 1758(b)(6)(A)) authorizes the limited disclosure of children's free and reduced-price meal or free milk eligibility information to specific programs or individuals, without prior parent/guardian consent. Except that, the parent/guardian must be provided the opportunity to decline to share eligibility information prior to the disclosure for identifying children eligible for benefits under or enrolling children in the State Medicaid Program and the State children's health insurance program. Additionally, the statute specifies that for any disclosures not authorized by the statute, the consent of children's parents/guardians must be obtained prior to the disclosure.

The requesting agency certifies that it is currently authorized to administer the following program(s), and that information requested will only be used by the program(s) indicated.

| **Program(s) – Check all that apply** | **Information Authorized** |
| --- | --- |
| Medicaid or the State children’s health insurance program (SCHIP), administered by a State or local agency authorized under titles XIX or XXI of the Social Security Act  **Specify Program:** Click or tap here to enter text. | All eligibility information unless parents elect not to have information disclosed. |
| State health program other than Medicaid/SCHIP, administered by a State agency or local education agency.  **Specify Program:** Click or tap here to enter text. | Eligibility status only; consent not required |
| Federal health programother than Medicaid/SCHIP  **Specify Program:** Click or tap here to enter text. | No eligibility information unless parental consent is obtained. |
| Local health program  **Specify Program:** Click or tap here to enter text. | No eligibility information unless parental consent is obtained. |
| Child Nutrition Programunder the National School Lunch Act or Child Nutrition Act  **Specify Program:** Click or tap here to enter text. | All eligibility information; consent not required. |
| Federal education program  **Specify Program:** Click or tap here to enter text. | Eligibility status only; consent not required. |
| State education program administered by a State agency or local education agency  **Specify Program:** Click or tap here to enter text. | Eligibility status only; consent not required. |

Note: Section 9(b)(6)(A) specifies that certain programs may receive children's eligibility status only, without parental consent. Parental consent must be obtained to disclose any additional eligibility information. Section 9(b)(6)(D)(ii) specifies that for State Medicaid or SCHIP, parents must be notified and given opportunity to elect not to have information disclosed. Social security numbers may only be disclosed if households are given notice of the disclosure and the uses to be made of their social security numbers as required by Sec. 7 of the Privacy Act.

### C. Responsibilities

Kentucky Department of Education will:

When required, secure parents/guardians’ consent prior to any disclosure not authorized by the National School Lunch Act or any regulations under that Act, unless prior consent is secured by the receiving agency and made available to the determining agency;

For State Medicaid and SCHIP, notify parents/guardians of potential disclosures and provide opportunity for parents/guardians to elect not to have information disclosed;

Disclose eligibility information only to persons directly connected to the administration or enforcement of programs authorized access under the National School Lunch Act or regulations under the Act or to programs or services for which parents/guardians gave consent.

Researcher: Click or tap here to enter text. will:

Ensure that only persons designated as data custodians and listed on Exhibit E who are directly connected with the administration or enforcement of the Click or tap here to enter text. (program) and whose job responsibilities require use of the eligibility information will have access to children’s eligibility information.

Use children’s free and reduced-price eligibility information for the following specific purpose(s) described:

Click here to enter text.

Inform all persons that have access to children’s free and reduced-price meal eligibility information that the information is confidential, that children’s eligibility information must only be used for purposes specified above, and the penalties for unauthorized disclosures.

Protect the confidentiality of children’s free and reduced-price meal or free milk eligibility information as follows:

Click here to enter text.

##### Specifically describe how the information will be protected from unauthorized uses and further disclosures.

Click here to enter text.

### D. Effective Dates

This agreement shall remain in effect for the term set forth in Section 13 of the Memorandum of Understanding.

### E. Penalties

Any person who publishes, divulges, discloses, or makes known in any manner, or to any extent not authorized by Federal law (Section 9(b)(6)(C) of the National School Lunch Act; 42 USC 1758(b)(6)(C)) or regulation, any information about a child’s eligibility for free and reduced price meals or free milk shall be fined not more than a $1,000 or imprisonment of not more than 1 year or both.

**F. Signatures**

The parties acknowledge that children's free and reduced-price meal and free milk eligibility information may be used only for the specific purposes stated above; that unauthorized use of free and reduced-price meal and free milk information or further disclosure to other persons or programs is prohibited and a violation of Federal law which may result in civil and criminal penalties.

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**Requesting Agency/Program Administrator Signature/Date**

Requesting Agency/Program Administrator Signature Name: Click or tap here to enter text.

Requesting Agency/Program Administrator Title: Click or tap here to enter text.

Phone: Click or tap here to enter text.

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**Determining Agency Administrator Signature/Date**

Determining Agency Administrator Printed Name: Dr. Robbie Fletcher

Determining Agency Administrator Title: Commissioner of Education

**\*Any attachments will become part of this agreement.**

# Exhibit B: Authorized Agent’s Employee or Contractor Nondisclosure Statement

*Complete and submit one Confidentiality/Nondisclosure statement for each data custodian. Download additional* [*KDE nondisclosure forms here*](https://www.education.ky.gov/_layouts/download.aspx?SourceUrl=https://www.education.ky.gov/districts/tech/Documents/MOU_Studies_ExhibitB.docx)*. Include the completed nondisclosure statements or confidentiality agreement with your proposed MOU. A data custodian is anyone who has access to KDE confidential information.*

Researcher:Click or tap here to enter text.

Researcher’s employee or contractor name (Data Custodian) Name: Click or tap here to enter text. Title: Click or tap here to enter text.

Address: Click or tap here to enter text., Phone: Click or tap here to enter text.

I understand that the performance of my duties as an employee or contractor, of a Researcher for the Kentucky Department of Education (KDE), may involve a need to access and review confidential information (information designated as confidential by FERPA, NSLA, CNA, KRS 61.931(6), or other federal or Kentucky law); and, that I am required to maintain the confidentiality of this information and prevent any redisclosure prohibited under the law as stated below. By signing this document, I agree to the following:

* I will not permit access to confidential information to persons not authorized by the KDE and its Researcher.
* I will maintain the confidentiality of the data or information.
* I will not access data of persons related or known to me for personal reasons.
* I will not reveal any individually identifiable information furnished, acquired, retrieved, or assembled by others or me for any purpose other than statistical purposes specified in the KDE survey, project, or proposed research.
* I will report, immediately and within twenty-four (24) hours, any known reasonably believed instances of missing data, data that has been inappropriately shared, or data taken off site
* to my immediate supervisor, Associate Commissioner, and
* to the Division of Human Resources if I am a KDE employee or
* to the KDE Office for whom I perform work under this agreement if I am a Researcher or an employee of a Researcher
* I understand that procedures must be in place for monitoring and protecting confidential information.
* I understand and acknowledge that FERPA-protected information obtained under provisions of Family Educational Rights and Privacy Act of 1974 (FERPA) as a Researcher’s employee or contractor is confidential information.
* I understand that FERPA protects information in students’ education records that are maintained by an educational agency or institution or by a party acting for the agency or institution, and includes, but is not limited to the student's name, the name of the student's parent or other family members, the address of the student or student's family, a personal identifier, such as the student's social security number, student number, or biometric record, other indirect identifiers, such as the student's date of birth, place of birth, and mother's maiden name, and other information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the school community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty.
* I understand that any unauthorized disclosure of confidential information is illegal as provided in FERPA and in the implementation of federal regulations found in 34 CFR, Part 99. The penalty for unlawful disclosure is a fine of not more than $250,000 (under 18 U.S.C. 3571) or imprisonment for not more than five years (under 18 U.S.C. 3559), or both.
* I understand and acknowledge that children’s free and reduced-price meal and free milk eligibility information or information from the family’s application for eligibility, obtained under provisions of the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq)(NSLA) or Child Nutrition Act of 1966 (42 U.S.C. 1771 et seq.)(CNA) and the regulations implementing these Acts, is confidential information.
* I understand that any unauthorized disclosure of confidential free and reduced-price lunch information or information from an application for this benefit is illegal as provided in the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq)(NSLA) or Child Nutrition Act of 1966 (42 U.S.C. 1771 et seq.)(CNA) and the regulations implementing these Acts, specifically 7 C.F.R 245.6. The penalty for unlawful disclosure is a fine of not more than $1,000.00 (under 7 C.F.R. 245.6) or imprisonment for up to one year (under 7 C.F.R. 245.6), or both.
* I understand that KRS 61.931 also defines “personal information” to include an individual's first name or first initial and last name; personal mark; or unique biometric or genetic print or image, in combination with one (1) or more of the following data elements:
  1. An account number, credit card number, or debit card number that, in combination with any required security code, access code, or password, would permit access to an account;
  2. A Social Security number;
  3. A taxpayer identification number that incorporates a Social Security number;
  4. A driver's license number, state identification card number, or other individual identification number issued by any agency;
  5. A passport number or other identification number issued by the United States government; or
  6. Individually identifiable health information as defined in 45 C.F.R. sec. 160.103, except for education records covered by the Family Educational Rights and Privacy Act, as amended, 20 U.S.C. sec. 1232g.
* I understand that other federal and state privacy laws protect confidential data not otherwise detailed above and I acknowledge my duty to maintain confidentiality of that data as well.
* I understand that any personal characteristics that could make the person’s identity traceable, including membership in a group such as ethnicity or program area, are protected.
* In addition, I understand that any data sets or output reports that I may generate using confidential data are to be protected. I will not distribute to any unauthorized person any data sets or reports that I have access to or may generate using confidential data. I understand that I am responsible for any computer transactions performed as a result of access authorized by use of sign on/password(s).

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##### Researcher’s employee or contractor signature/Date:

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##### Researcher’s authorized agent signature/Date

Researcher’s authorized agent name (typed): Click or tap here to enter text.

# Exhibit C: Researcher’s Data Security Policy

PII should only be shared using secure/encrypted methods. Describe the measures you take to ensure the protection of PII released to you. If you have an applicable data protection policy, please attach or copy/paste it here as Exhibit C. If using a delivery method other than KDE’s managed file transfer service (MOVEit), include information on the requested delivery method.

##### Describe your data security policy here:

Click here to enter text.

# Exhibit D: Data Destruction Plan

Please describe the methods Researcher will use to irrevocably destroy all confidential data at the completion of the study. This includes but is not limited to paper, electronic, magnetic or other media as well as any internal hard drive of a printer or copier that must be irrevocably sanitized when disposed of or sent to surplus. Please specify the date and means of destruction for all forms of media that are applicable. If you have a policy that describes the methods you will use to destroy all confidential data, it can be attached as Exhibit D. Researcher’s Certificate of Destruction (Exhibit F) is required for certification that any forms of personal or confidential data have been irrevocably destroyed, wiped or sanitized.

##### **Describe your data destruction plan here:**

Click here to enter text.

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# Exhibit E: Identification of Data Custodians

In alphabetical order by last name, provide information for those persons designated as data custodians. This should include anyone with access to confidential data. A designated primary and secondary data custodian are required and a minimum of four are requested. A signed Confidentiality Agreement or KDE’s Nondisclosure Statement labeled Exhibit B is required for each data custodian.

Prior to designating additional data custodians who are not listed on Exhibit E at the time the MOU is executed, the Researcher must submit a written request, and an MOU amendment will be required.

| **Last Name** | **First Name** | **Email** | **Phone** | **Employer** |
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# Exhibit F: Researcher’s Certificate of Data Destruction

The Researcher shall irreversibly destroy all copies of all confidential and otherwise personally identifiable data regardless of format (e.g., paper, electronic) within forty-five (45) days after it is no longer needed to perform the studies described in this agreement, upon KDE’s request or upon termination of this agreement, whichever occurs first unless agreed otherwise in writing. Using this form, the Researcher shall provide written verification of the data destruction to the KDE within forty-five (45) days after the data is destroyed. Scan the signed Certificate of Data Destruction and return it by email to [KDE Data Services](mailto:kdedatarequest@education.ky.gov).

If the Researcher uses a contractor for data destruction services, a certificate of destruction from the contractor is also required. Please submit the contractor’s certificate of destruction with this signed Certificate of Data Destruction.

Entity’s Name: Click here to enter text.

MOU Number: Click here to enter text. (If you do not know your MOU identification number, contact KDE by email to [KDE Data Services](mailto:kdedatarequest@education.ky.gov) ([kdedatarequests@education.ky.gov](mailto:kdedatarequests@education.ky.gov)).

In accordance with the provisions of the Memorandum of Understanding (MOU) between the Kentucky Department of Education and the (“Researcher”), the confidential and otherwise personally identifiable data were destroyed as required in Section 3(M) according to the methods described in Exhibit D of the MOU.

Date submitted: Click here to enter a date.

Scheduled date of destruction (per MOU): Click here to enter a date.

Actual destruction date: Click here to enter a date.

##### Description of records disposed of:

| **Media type** | **Method of Destruction** | **Comments** |
| --- | --- | --- |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
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I hereby certify that all confidential and otherwise personally identifiable data described above have been destroyed in the manner indicated.

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##### Researcher’s Authorized Agent Signature/Date

Agent’s Name (Typed): Click here to enter text., Agent’s Title: Click here to enter text.