

OBTAINING INDONESIAN FAMILY LIFE SURVEY RESTRICTED DATA

Some of the IFLS data are available only on a restricted basis. This is because we promise our respondents anonymity, and we take that promise very seriously. Our survey depends critically on the co-operation of our respondents who reveal a good deal about their lives. We have been diligent in our efforts to minimize the danger of breaches of respondent anonymity in both unrestricted and restricted datasets but recognize that there are instances in which users will need specific information in order to complete their research. For those instances, we have devised the procedure described here to ensure that Restricted Data is provided for this purpose but is released only to persons who meet stringent conditions designed to protect the anonymity of respondents.

Requirements

A. Research Plan

As an applicant for IFLS Restricted Data, you must provide a short written research proposal, the Research Plan, which briefly describes the research and explains, in detail, why you believe the unrestricted IFLS is not adequate for your research purposes.

B. Agreement for Use of IFLS Restricted Data

An Agreement for Use of IFLS Restricted Data must be signed by you, the Restricted Data Investigator, **all** other persons who will have access to the Restricted Data, and an authority in your institution or firm.

You should be aware of the following conditions of the Agreement:

1. All persons using the IFLS Restricted Data will respect the anonymity of all respondents. You will make no attempt to identify any individual, household, family or service provider other than in terms of the anonymous codes used in the IFLS. Restricted Data will be used **only** for research and statistical purposes, and the Research Plan must specify all of the research projects that will make use of the Restricted Data. It is **not** permitted, for example, for a faculty member to obtain the data for his or her own research project and then “lend” it to a graduate student to do related dissertation research, even if the graduate student is a Research Staff signatory, unless this use is specifically stated in the Research Plan.
2. All Co-Investigators and Research Staff must have a formal affiliation with the receiving institution, and must specify that affiliation and job title in the signature blocks of the Agreement and supplemental Agreement of Research Staff. If new persons become affiliated with the research project, and are to have access to the Restricted Data, an additional Supplemental Agreement of Research Staff must be signed by the new persons and the Restricted Data Investigator, and approved by IFLS staff, **BEFORE** the new person is given access to the IFLS Restricted Data.
3. Your institution or firm must agree to treat violations of this agreement, and allegations of such violations, as violations and allegations of violations of its policies on scientific integrity and misconduct, as to substance, procedures, and penalties. The representative of your institution who signs the Agreement must be a person in authority. Examples include a Dean, Department Chair, Department Director, President or Vice President.

C. Restricted Data Protection Plan

You must write a Restricted Data Protection Plan which will explain how you will ensure the Restricted Data will not be accessible to any unauthorized users. Your plan must include::

1. A general description of the computing environment in which you will be managing and analyzing the data. For each item of computing equipment you will be using (CPU, tape drives, printers, etc.), describe where they are located and who has physical access to them. Also describe the security provisions that restrict access to use of data on the system(s) you will be using, such as locked doors, locks on equipment, passwords, encryption, etc. Describe the routine procedures for making backup copies of data files on tape or disk. If you will be using a shared file system, such as a timesharing mainframe or a Local Area Network (LAN), describe the system as a whole as well as your terminal, and describe the access system administrators have to files and passwords.

2. Hard disk and other electronic or optical fixed storage device access: A description of how you will restrict access to hard disk (or other electromagnetic, optical or similar fixed storage device) files containing Restricted Data. If you will not be using hard disk or similar storage devices for Restricted Data, clearly state this in your Plan. If you will be using hard disk or similar storage devices for Restricted Data, your plan must indicate where the storage devices to be used are physically located and how physical access to them is to be restricted.

Your Plan must also indicate how you will restrict access to the contents of hard disk and similar storage device files containing Restricted Data, such as through a system of encryption and/or passwords, and through explicit limits on which users have "read" and "write" permission to the relevant files.

Your Plan must indicate how you will prevent routine system backups of hard disk and similar storage device files containing Restricted Data, regardless of whether such backup copies are on magnetic tape, hard disk, diskettes, or otherwise. You must state in your Plan that no more than one backup copy will be made of any hard disk or similar storage device file containing Restricted Data, and that all such copies (other than the magnetic tape copies covered by Item 2, above) will be destroyed (written over or otherwise made unreadable) on or before the date on which your authorized access to the data expires.

If you will be using a shared file system, such as a timesharing mainframe or a Local Area Network (LAN), carefully describe how you will prevent access to files containing Restricted Data to unauthorized persons, including system administrators.

3. Compact disk, diskette, magnetic tape, digital audio tape, and other removable media access: A description of how you will restrict access to compact disks, diskettes, and other removable electromagnetic or optical storage media files containing Restricted Data.

4. Paper printout access: A description of how you will restrict access to paper printouts. We very strongly recommend against the creation of any paper printouts containing Restricted Data, and will be skeptical of any Restricted Data Protection Plan that proposes to use such printouts. If you will not be using such printouts, simply state this in your Plan.

5. Treatment of data derived from Restricted Data: A clear statement that you will treat all data derived from Restricted Data in the same manner as the original Restricted Data, and that you understand that data derived from Restricted Data includes, but is not limited to:

- A. Subsets of cases or variables from the original Restricted Data.
- B. Numerical or other transformations of one or more variables from the original Restricted Data, including row sums, means, logarithms, or products of formulas.
- C. Variables linked to another dataset using variables from an IFLS restricted dataset as linkage variables.

Aggregate statistical summaries of data and analyses, such as tables and regression formulae, are not "derived variables" in the sense used in the Agreement, and are not subject to the requirements of the Restricted Data Protection Plan and the Agreement.

You may need to seek the advice of the computing personnel at your institution to complete this Plan. IFLS will examine the Plan and may require amendments.

IFLS reserves the right to audit your site in order to confirm compliance with your Data Protection Plan.

Submission

Send your Research Plan, Data Protection Plan and signed Agreement for Use of IFLS Restricted Data via email to:

Dr. John Strauss
(jstrauss@usc.edu)

Note on Sanctions for Violation of the Agreement

The Agreement for Use of Restricted IFLS Data specifies the following possible sanctions against researchers who violate the terms of the agreement:

1. Denial of all future access to IFLS Restricted Data;
2. Report of the violation to the Receiving Institution's office responsible for scientific integrity and misconduct, with a request that sanctions be imposed under the institution's scientific integrity and misconduct policy;
3. Report of the violation to funding agencies, with a recommendation that all current research funds be terminated, and all future funds be denied, to the Investigator(s) and to all other persons implicated in the violation; and
4. Such other remedies as may be available to IFLS under law.

December 2011

AGREEMENT FOR USE OF IFLS RESTRICTED DATA

In consideration of the Indonesian Family Life Survey (IFLS) providing access to an IFLS Restricted Dataset to the Restricted Data Investigator, the Investigator(s) and the Receiving Institution agree that:

1. Restricted Data will be used solely for scientific and public policy statistical research, and not for any administrative, commercial, tax assessment or law enforcement purpose.
2. Restricted Data will be used to generate only statistical summary information that does not permit the identification of any individual person, family, household, or service provider.
3. No attempt will be made to identify any individual person, family, household, or service provider in the IFLS.
4. If an individual person, family, household, or service provider is inadvertently identified, or a technique for doing so is discovered, the Restricted Data Investigator, Co-Investigator, or Research Staff person who made the identification or discovery will promptly report the identification or discovery to IFLS. He or she will send email to ifls-supp@rand.org. Other than to an IFLS staff member, the discovery will not be not revealed to any person, including the Restricted Data Investigator, Co- Investigator, or Research Staff under this Agreement.
5. Use of Restricted Data provided by IFLS to the Restricted Data Investigator will be confined to the research described in the Research Plan submitted to, and approved by IFLS, the approved Research Plan is incorporated by reference into this Agreement.
6. Use of Restricted Data provided by IFLS to the Restricted Data Investigator will be in accordance with the Restricted Data Protection Plan submitted to and approved by IFLS; the approved Restricted Data Protection Plan is incorporated by reference into this Agreement.
7. Access to Restricted Data will be limited **solely** to the Investigator(s) who are signatories to this agreement, and to Research Staff who are signatories of supplemental Agreements with Research Staff approved by IFLS.
8. All Research Staff signing Supplemental Agreements with Research Staff have a formal affiliation with the Receiving Institution and with the research project described in the Research Plan, and will have access to Restricted Data only under the supervision of the Investigator(s). The Supplemental Agreements with Research Staff are incorporated by reference into this Agreement.
9. The Representative of the Receiving Institution is a person of authority such as a Dean, Department Head, or Department Director.
10. "Restricted Data" under this agreement includes both the original Restricted Data provided by IFLS, and any variables or fields derived from it. The term "Investigator(s)" applies to both the Restricted Data Investigator and any Co-Investigator(s).
11. Immediately inform IFLS staff of any violations of this Agreement or suspected compromising of the Restricted Data.

If IFLS determines that this Agreement has been violated, IFLS may:

1. Prohibit any of the signatories of this Agreement, and of any Supplemental Agreements with Research Staff, from obtaining access to any IFLS Restricted Data.
2. Report the violation(s) to the Receiving Institution's office responsible for scientific integrity and misconduct, and demand that sanctions be imposed on the person(s) responsible for the violations.
3. Report the violation(s) to funding agencies with a recommendation that current funding be terminated, and future funding be denied, to the Investigator(s), the Research Staff, and any other person implicated in the violation(s).
4. Utilize such other remedies as may be available to it under law.

Restricted Data Investigator:

Co-Investigator:

Signature

Signature

Typed name

Typed name

Title

Title

Institution

Institution

Building address

Building address

Street address

Street address

City State Zip Code

City State Zip Code

phone: _____

phone: _____

fax: _____

fax: _____

email: _____

email: _____

Date: _____

Date: _____

REPRESENTATIVE OF RECEIVING INSTITUTION:

Signature

Typed name

Title

Institution

Building address

Street address

City State Zip Code

phone: _____

fax: _____

email: _____

Date: _____

IFLS use only: Approved by _____ on _____

**Supplemental Agreement with Research Staff
for Use of Restricted Data
from the
INDONESIAN FAMILY LIFE SURVEYS**

The undersigned Research Staff, in consideration of their use of Restricted Data from the Indonesian Family Life Surveys (IFLS) agree that:

1. I have read the associated Agreement for Use of Restricted Data from the IFLS, the Research Plan and Restricted Data Protection Plan incorporated by reference into it.
2. I will comply fully with the terms of that Agreement, including the Restricted Data Protection Plan incorporated by reference into it.
3. I am "Research Staff" within the meaning of the Agreement.

RESEARCH STAFF:

Signature

Date

Typed name

Job title or formal affiliation with research project

RESEARCH STAFF:

Signature

Date

Typed name

Job title or formal affiliation with research project