This application is for researchers requesting access to ANES restricted data.

**Investigator** refers to the researcher who holds a permanent faculty appointment at the Receiving Agency and assumes all responsibility for Receiving Agency employees’ compliance with all terms of any resulting agreement.  
**Receiving Agency** is the organization employing the Investigator. The Receiving Agency must have an Institutional Review Board/Human Subjects Review Committee that is registered with the United States Department of Health & Human Services (DHHS).

This application includes 5 sections:

A: Contact Information  
B: Restricted Data Requested  
C: Research Plan  
D: Disclosure Protection Plan  
E: Data Protection Plan

If the space provided for a response is inadequate, additional pages may be added as necessary.

**Part A: Contact Information**

**Investigator Information**

Name ____________________________________________
Email ____________________________________________
Phone: __________________________________________
Receiving Agency __________________________________
Mailing Address __________________________________

**Research Staff Information**

Please list all Research Staff that will have access to the Restricted Data. All staff must be associated with the Investigator’s Receiving Agency and may access Restricted Data only under the Investigator’s supervision.

Name ____________________________________________
Email ____________________________________________
If this application is part of a multi-institution collaboration, please indicate other Receiving Agencies:

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Part B: Restricted Data Requested

Please list the Restricted Data you are requesting. (If requesting pre-prepared geocode files, please refer to the inventory table to determine if your data are available).

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

If the Restricted Data you are requesting are not already available as part of a pre-prepared geocode file, please send your inquiry to the ANES staff at anes-rda-project@umich.edu

Part C: Research Plan

Please include your complete Research Plan indicating:

- Why the Restricted Data are needed to conduct the proposed research;
- Why there are no alternatives to the use of Restricted Data for the proposed research;
- How the Restricted Data will be used; and
- The scientific importance of the proposed research.

If this research builds on past research by the Investigator or others, please describe the past research.
If applicable, describe in detail data from any other source that will be merged with the Restricted Data. Please keep in mind that files that result from a merge process that includes Restricted Data are by definition also to be considered as Restricted Data and are therefore subject to ANES requirements relating to, for example, confidentiality, disclosure, and return upon termination of any resulting agreement.

**Part D: Disclosure Protection Plan**

Please describe the Disclosure Protection Plan by which the Investigator and Research Staff will avoid inadvertent disclosure of respondent identities in all resulting research and/or work, including, but not limited to, working papers, publications, and presentations. If ANES approves your application, this Disclosure Protection Plan will become part of the signed agreement.

In any presentations or publications, Investigators and Research Staff should use only statistical information that does not permit the identification of any individual person, family, household, or employer. The Investigator and Research Staff must agree to exclude from any type of publication or presentation the listing and description of individual cases, as well as data or quotations from individual cases. The Investigator and Research Staff should not present the results of any analysis that could potentially identify respondents, either directly or indirectly. Only aggregate statistical data may be distributed. Cell sizes, marginal data, and strata must be of sufficient size to avoid disclosure. Investigators and Research Staff may not identify geographic areas at a level of detail more specific than is already available in the associated public files on the ANES website (note: ANES Time Series releases prior to the year 2000 contain geographic detail at Congressional district level and at county level and larger; later Time Series releases contain geographic detail at the levels of Congressional district, state, and region).

If you have questions concerning the disclosure risk of your research products, ANES is available to provide a review. Please provide all materials at least two weeks in advance of their intended publication or release date.

**Part E: Data Protection Plan**

Please include a narrative that addresses each of the following topics.

1. **Worksite requirements**

   a) We require that the work environment of ANES Restricted Data users be a secure office or workspace owned by the signing institution. If the workspace is shared, then all occupants must sign the Restricted Data Agreement.

   b) **You must plan to use ANES restricted data on a Standalone Workstation.** The computer/workstation should be physically isolated (air gap) from the outside world.

2. **Workstation Storage**

   If you intend to use a local storage device (hard drive or other electronic or optical fixed device) to store ANES Restricted Data, provide a description of how you will protect the workstation from unauthorized physical and
electronic access. Include a discussion of how your encryption software, anti-virus and anti-spyware software, password protection settings, firewall and physical protection methods will interact to produce a secure environment. Describe how the operating system will be configured to limit access to ANES Restricted Data local storage devices; e.g. read/write permission settings, authentication protocols and folder or whole-disk encryption.

3. Use of Removable Media

If you will not be using removable media storage for ANES Restricted Data, state this is your Plan and disregard the rest of this sub-section.

If you will be using removable media storage for restricted data, your plan must state where the removable media to be used will be physically located and how physical access is to be restricted, including provisions for storage in locked cabinets when not in use. Your Plan should also specify how access to the contents of removable storage device files containing ANES Restricted Data will be controlled, e.g., through use of encryption and password protection.

4. Backups

For archival purposes you may make one backup copy of each file containing ANES Restricted Data. If you intend to create such archival backups, your Plan should state that you will make only one copy. The Plan should describe the physical and/or software methods that will be used to protect distribution and backup media from unauthorized users.

5. Paper printouts

Describe how you will restrict access to paper printouts containing information derived from ANES Restricted Data. ANES strongly advises against the creation of any paper printouts containing restricted data, and will be very skeptical of any Restricted Data Protection Plan that proposes the use of such printouts.

If you will not be using such printouts, state this in your Plan and disregard the rest of this sub-section.

If you will be using paper printouts containing restricted data, your Plan must clearly state the uses that will be made of such printouts and the reason(s) why no other media can be used for the same purpose. Your Plan must also specify the means by which you will ensure that such printouts cannot be accessed by unauthorized persons (e.g., kept in locked storage that is accessible only to authorized persons when not in use); how they will be shielded from the vision and reach of unauthorized persons when they are in use; and how they will be destroyed (made unreadable, e.g., through shredding) prior to the termination of the Restricted Data Agreement.

6. Treatment of data derived from Restricted Data

We require 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:
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 sums, means, logarithms, or products of formulas;

c. Variable linked to another dataset using variables from an ANES Restricted Dataset as linkage variables.

Please have someone from your IT department read your data protection plan and verify that your workstation information is correct.

IT Department Contact Name

Title

Phone

Signature

Date

Investigator Signature

All of the information on this application and made in conjunction with this application is correct and true to the best of my knowledge. I authorize the American National Election Studies (ANES) to verify all information supplied on or in connection with this application.

Name (printed)

Signature

Date