

Appendixes A - F

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Unannotated Bibliography of Publications Using B&B Data Arranged alphabetically by year

National Center for Education Statistics (NCES) publication numbers are indicated in brackets. Publications with an NCES number may be accessed from the National Center for Education Statistics (NCES) at <http://nces.ed.gov>.

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1995

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Appendix C

Confidentiality Agreements

CONFIDENTIALITY AGREEMENT
2007-2008 National Postsecondary Student Aid Study (NPSAS:08)
Option 7 - Baccalaureate & Beyond Longitudinal Study 2008/12
(B&B:08/12)
(RTI Under Contract No. ED-05-CO-0033)

Safeguards for Individuals Against Invasion of Privacy: In accordance with the Privacy Act of 1974 (5 United States Code 552a), the Education Sciences Reform Act of 2002 (Public Law 107-279), the Federal Statistical Confidentiality Order of 1997, the E-Government Act of 2002 (Public Law 107-347), the Computer Security Act of 1987, and the National Center for Education Statistics' (NCES') *Restricted Use Data Procedures Manual*, RTI International (RTI) and all its subcontractors are required to comply with the applicable provisions of the legislation, regulations, and guidelines and to undertake all necessary safeguards for individuals against invasions of privacy.

To provide this assurance and these safeguards in performance of work on this project, all staff, consultants, and agents of RTI, and its subcontractors who have any access to study data, shall be bound by the following assurance.

Assurance of Confidentiality

1. In accordance with all applicable legislation, regulations, and guidelines, RTI assures all respondents that their responses may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law [Education Sciences Reform Act of 2002 (ESRA 2002), 20 U.S. Code, § 9573].
2. The following safeguards will be implemented to assure that confidentiality is protected as allowable by law (20 U.S.C. § 9573) by all employees, consultants, agents, and representatives of RTI and all subcontractors and that physical security of the records is provided:
 - a. All staff with access to data will take an oath of nondisclosure and sign an affidavit to that effect.
 - b. At each site where these items are processed or maintained, all confidential records that will permit identification of individuals shall be kept in a safe, locked room when not in use or personally attended by project staff.
 - c. When confidential records are not locked, admittance to the room or area in which they reside shall be restricted to staff sworn to confidentiality on this project.
 - d. All electronic data shall be maintained in secure and protected data files, and personally identifying information shall be maintained on separate files from statistical data collected under this contract.
 - e. All data files on network or multi-user systems shall be under strict control of a database manager with access restricted to project staff sworn to confidentiality, and then only on a need-to-know basis.
 - f. All data files on single-user computers shall be password protected and all such machines will be locked and maintained in a locked room when not attended by project staff sworn to confidentiality.
 - g. External electronically stored data files (e.g., tapes on diskettes) shall be maintained in a locked storage device in a locked room when not attended by project staff sworn to confidentiality.
 - h. Any data released to the general public shall be appropriately masked or perturbed such that linkages to individually identifying information are protected to avoid individual identification in disclosed data.
 - i. Data or copies of data may not leave the authorized site for any reason.
3. Staff, consultants, agents, or RTI and all its subcontractors will take all necessary steps to ensure that the letter and intent of all applicable legislation, regulations, and guidelines are enforced at all times through

appropriate qualifications standards for all personnel working on this project and through adequate training and periodic follow-up procedures.

By my signature affixed below, I hereby swear and affirm that I have carefully read this statement and fully understand the statement as well as legislative and regulatory assurances that pertain to the confidential nature of all records to be handled in regard to this project, and will adhere to all safeguards that have been developed to provide such confidentiality. As an employee, consultant, agent, or representative of RTI or one of its subcontractors, consultants, agents, or representatives, I understand that I am prohibited by law from disclosing any such confidential information to anyone other than staff, consultant, agents, or representatives of RTI, its subcontractors, or agents, and NCES. I understand that any willful and knowing individual disclosure or allowance of disclosure in violation of the applicable legislation, regulations, and guidelines is punishable by law and would subject the violator to possible fine or imprisonment.

_____	_____	____/____/____
(Signature)	(RTI Employee ID Number)	(Date)
_____	_____	____/____/____
(Supervisor's Signature)	(RTI Employee ID Number)	(Date)

AFFIDAVIT OF NONDISCLOSURE
2007-2008 National Postsecondary Student Aid Study (NPSAS:08)
Option 7 - Baccalaureate & Beyond Longitudinal Study 2008/12
(B&B:08/12)
(RTI Under Contract No. ED-05-CO-0033)

(Name)

(Job Title)

(Date of Assignment to B&B:2008/09 Project)

(Organization, State, or Local Agency or Instrumentality)

(Address)

I, _____, do solemnly swear (or affirm) that when given access to any **Baccalaureate & Beyond Longitudinal Study 2008/12 (B&B:2008/12)** project-related data bases or files containing individually identifiable information, I will not:

- (i) use or reveal any individually identifiable information furnished, acquired, retrieved or assembled by me or others, under the provisions of Section 183 of the Education Sciences Reform Act of 2002 (PL 107-279) and Title V, subtitle A of the E-Government Act of 2002 (PL 107-347) for any purpose other than statistical purposes specified in the NCES survey, project or contract;
- (ii) make any disclosure or publication whereby a sample unit or survey respondent could be identified or the data furnished by or related to any particular person under this section could be identified; or
- (iii) permit anyone other than the individuals authorized by the Commissioner of the National Center for Education Statistics to examine the individual reports.

(Signature)

(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 5 years [under 18 U.S.C. 3559], or both. The word "swear" should be stricken out wherever it appears when a person elects to affirm the affidavit rather than to swear to it.)

State of _____

County of _____

Subscribed and sworn/affirmed before me, _____, a Notary Public in and for _____ County, State of _____, on this date,

_____.

Notary Public

My commission expires: _____.

Appendix D

Letters and Contacting Materials

B&B Study Brochure.....	D-3
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Note: The materials included in this appendix reference the field test study to be conducted in 2011. These materials will also be used for the full-scale study. Materials will be updated to reflect full-scale sample sizes and dates. Emails and letters providing similar content to those shown in this appendix will be sent throughout data collection to encourage participation. In addition, sample members that request follow-up reminders via text message will receive text message prompts to complete the survey.

B&B STUDY BROCHURE

What has been learned from previous studies?

Approximately 15,000 college graduates who received bachelor's degrees in 2007-08 were interviewed again in 2009. A few selected findings from the first follow-up are presented below.

Time to complete degree

- 43% 4 years or less
- 23% more than 4 years, but no more than 5 years
- 9% more than 5 years, but no more than 6 years
- 25% more than 6 years

Employment in 2009

- 58% one full-time job
- 12% one part-time job
- 14% multiple jobs
- 9% unemployed
- 7% not working and not looking for work

Additional education enrollment

- 6% higher-level degree program (e.g., Ph.D., J.D., M.D.)
- 2% post-bachelor's or post-master's certificate programs
- 19% master's degree program
- 3% another undergraduate program
- 70% not enrolled




B&B Help Desk
1-877-262-4440 (toll-free)

bbemail@rti.org
<https://surveys.nces.ed.gov/bab/>

For questions about the study, please contact:

Melissa Cominole
B&B Project Director (RTI)
mcominole@rti.org
1-866-662-8227

Ted Socha
U.S. Department of Education
B&B Project Officer (NCES)
ted_socha@ed.gov
1-202-502-7383



National Center for Education Statistics
Institute of Education Sciences
U.S. Department of Education



**2008/12
BACCALAUREATE
AND BEYOND
LONGITUDINAL
STUDY FIELD TEST**





NCES 3000-1008

SOURCE: Cataldi, E., Green, C., Hanks, R., Law, T., Woo, J., Shepard, B., and Siegel, P. (2010). 2008-09 Baccalaureate and Beyond Longitudinal Study (B&B 08/09): First Look (NCES 2011-236). U.S. Department of Education, National Center for Education Statistics. Washington, DC.



What is B&B?

The Baccalaureate and Beyond Longitudinal Study (B&B) Field Test will survey about 1,600 graduates from U.S. colleges and universities, to find out about their experiences approximately 4 years after earning a bachelor's degree.

The survey will collect information on graduate and other education, experiences in the labor market, earnings and expenses, family status, and personal and professional goals. In addition to survey responses, we collect related information from sources such as student loan and enrollment databases. There is a particular focus on careers in teaching and careers in science, technology, engineering, and mathematics (STEM) fields.

B&B is sponsored by the National Center for Education Statistics (NCES) in the U.S. Department of Education's Institute of Education Sciences. The study is conducted under contract by RTI International, a nonprofit research organization based in North Carolina.

Why was I asked to participate?

You have been asked to participate in B&B because you completed a bachelor's degree in the 2006-07 academic year. You may have also participated in previous studies, such as the National Postsecondary Student Aid Study (NPSAS) and the first B&B follow-up study. You are one of approximately 1,600 individuals selected as part of the 2011 field test sample.

When will the study be conducted?

Beginning in summer 2011, those who completed a bachelor's degree in the 2006-07 academic year will be contacted to complete a B&B survey online. Those who do not complete the web survey within 4 weeks will be contacted by a professionally trained interviewer and asked to complete the survey by telephone.

RTI International is a trade name of Research Triangle Institute.

How long will it take?

On average, the survey lasts 35 minutes. Your time will vary, depending on your answers and your internet connection speed, if completing online.

Are there any benefits or risks?

The risk of participation in this study relates to data security. Given the strict security procedures in place, risks to participation are minimal.

While there are no specific benefits to you for participating in B&B, your participation will help ensure the success of the study and help educators, researchers, and policymakers better understand the experiences of recent bachelor's degree recipients.

How can I get a copy of the results?

Publications from previous studies are available free of charge on the B&B website at <http://nces.ed.gov/surveys/b&b/>. Results from the current study are scheduled to be released in fall 2013 and will be posted on the B&B website as soon as they are available.

How do I participate?

You may complete the B&B survey in one of two ways:

1. Online.
Go to the study website at <https://surveys.nces.ed.gov/b&b/>. Then, simply enter your Study ID and password and select login.
2. By telephone.
If you prefer to complete the B&B survey by telephone, call the B&B Help Desk at 1-877-262-4440 (toll-free) to speak with a professionally trained interviewer.

If you need assistance, call the B&B Help Desk at 1-877-262-4440 (toll-free) or contact us via e-mail at bbemail@rti.org.

Your participation is very important to the success of B&B.

INITIAL CONTACT ADDRESS UPDATE LETTER

«fname» «mname» «lname» «suffix»
 «addr1»
 «addr2»
 «city», «state» «zip»«zip4»

Study ID: «caseid»

Dear «fname»,

You have been randomly selected to participate in the Baccalaureate and Beyond Longitudinal Study (B&B), sponsored by the National Center for Education Statistics (NCES) in the U.S. Department of Education's Institute of Education Sciences. B&B will collect education, employment, and other information from you and others like you who graduated from college during the 2006–07 school year. Data collected from B&B will help educators, researchers, and policymakers better understand how earning a bachelor's degree impacts choices about further education and work. This is the second round of B&B. Whether or not you have participated in prior rounds of B&B, your participation now is critically important.

When B&B data collection begins in **July 2011**, you will receive a letter in a large white envelope that will provide specific information about how to participate. That package will also include a \$5 bill as a token of our appreciation for your participation. **The letter will explain that if you complete the approximately 35-minute survey on the Web by the date indicated, you will receive an additional <<\$AMT>> as a token of our appreciation. In the meantime, we need to update our contact information for you.**

Please help us now by providing your mailing address, telephone number(s), and e-mail address(es) on the enclosed address update sheet and returning it in the enclosed postage-paid envelope. To update your information online, or to find out more about B&B, visit the study's website at <https://surveys.nces.ed.gov/bab/>.

NCES has contracted with RTI International to conduct B&B on its behalf. The enclosed brochure provides a brief description of B&B, findings from past studies, and a summary of our strict confidentiality procedures. If you have additional questions or concerns about the study after reviewing this material, please call the RTI study director, Melissa Cominole, toll-free at 1-866-662-8227.

We thank you in advance for your participation in this important study. Your cooperation is greatly appreciated.

Sincerely,



Thomas Weko
 Associate Commissioner
 Postsecondary Studies Division

To update your contact information online: Go to:
<https://surveys.nces.ed.gov/bab/>
 Enter Study ID number: «caseid»

National Center for Education Statistics
Enclosure

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this voluntary information collection is 1850-0729. The time required to complete this information collection is estimated to average 35 minutes per response, including the time to review instructions, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this survey, please write to: U.S. Department of Education, Washington, DC 20202-4537. If you have any comments or concerns regarding the status of your individual submission of this survey, write directly to: The 2008-12 Baccalaureate and Beyond Longitudinal Study (B&B:08/12), National Center for Education Statistics, 1990 K Street, NW, Washington, DC 20006.

DATA COLLECTION ANNOUNCEMENT LETTER

February 1, 2021

«fname» «mname» «lname» «suffix»
 «addr1»
 «addr2»
 «city», «state» «zip»-«zip4»

Study ID: «caseid»

Dear «fname»,

Surveys for the Baccalaureate and Beyond Longitudinal Study (B&B) are now being conducted. The survey will take about 35 minutes to complete. As a token of our appreciation for your participation in the study, we have enclosed a \$5 bill. **Once you complete the survey, we will mail you an additional \$«IncAmt» check.**

You may access the survey by logging on to our secure website at <https://surveys.nces.ed.gov/bab/> using the Study ID and password provided below. ***The password is case sensitive; you will need to enter it exactly as it appears here.***

Study ID = «caseid»**Password** = «password»m

Enclosed you will find a brochure with a brief description of findings from prior B&B studies and our strict confidentiality procedures. Federal law requires that we protect your privacy. Your responses will be secured behind firewalls and will be encrypted during internet transmission. Your responses will be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, except as required by law. If you have questions, problems completing your survey online, or prefer to complete the survey over the telephone, simply call the **B&B Help Desk toll-free at 1-877-262-4440**. Your participation, while voluntary, is critical to the study's success.

If you have any other questions or concerns about the study, please contact the B&B Project Director, Melissa Cominole, toll-free at 1-866-662-8227, mcominole@rti.org, or the NCES Project Officer, Mr. Ted Socha, at 1-202-502-7383, ted.socha@ed.gov.

Thank you in advance for making B&B a success.

Sincerely,



Melissa Cominole
 B&B Project Director
 Education Studies Division
 RTI International



Ted Socha
 NCES Project Officer
 National Center for Education Statistics
 U.S. Department of Education

Enclosure

RTI USE ONLY: «panelinfo»

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number of this information collection is 1850-0729, and it is completely voluntary. The time required to complete this information collection is estimated to average

35 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving the survey, please write to: U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20006. If you have comments or concerns regarding the status of your individual survey, write directly to: Mr. Ted Socha, National Center for Education Statistics, 1990 K Street, NW, Washington, DC 20006.

THANK YOU/REMINDER POSTCARD



**BACCALAUREATE
AND BEYOND
LONGITUDINAL
STUDY**

PO Box 12194
Research Triangle Park, NC 27709-2194
RTI Project #0209777.700.234

ADDRESS SERVICE REQUESTED

«fname» «mname» «lname» «suffix»
«addr1»
«addr2»
«city», «state» «zip»«zip4»

12345678/



**BACCALAUREATE
AND BEYOND LONGITUDINAL
STUDY**

Recently, we sent you information about participating in the Baccalaureate and Beyond Longitudinal Study (B&B) and completing the survey. If you have already completed the survey, we would like to thank you. Your assistance is very much appreciated.

If you have not yet completed the survey, we would like to remind you that **if you complete the survey by «date», you will receive \$«IncAmt»** as a token of our appreciation.

To complete the online survey over our secure website, log on to <https://surveys.nces.ed.gov/bab/>.

If you have any questions or problems while completing the online survey or would like to complete the survey over the telephone with a professionally trained interviewer, please contact the B&B Help Desk toll-free at 1-877-262-4440.

RTI International is conducting this study for the National Center for Education Statistics (NCES) in the U.S. Department of Education's Institute of Education Sciences.

THANK YOU LETTER

(Date)

«fname» «mname» «lname» «suffix»
 «addr1»
 «addr2»
 «city», «state» «zip» «zip4»

Study ID: «caseid»

Dear «fname» «lname»:

Thank you for completing the Baccalaureate and Beyond Longitudinal Study (B&B) survey!

The National Center for Education Statistics (NCES) in the U.S. Department of Education's Institute of Education Sciences and the staff of B&B thank you for your participation.

Enclosed you will find a check for \$«IncAmt» as a token of our appreciation.

Your participation in B&B is very important in helping to ensure the success of the study.

If you have any questions, please do not hesitate to contact us toll-free at 1-866-662-8227.

Sincerely,



Melissa Cominole
 B&B Project Director
 Education Studies Division
 RTI International



Ted Socha
 NCES Project Officer
 National Center for Education Statistics
 U.S. Department of Education

Enclosure

DATA COLLECTION ANNOUNCEMENT EMAIL

Dear [FNAME]

In recent years you participated in the National Postsecondary Study Aid Study (NPSAS) and or the Baccalaureate and Beyond Longitudinal Study (B&B). Surveys for the next round of B&B are now being conducted. The survey will take about 35 minutes to complete and the data collected from it will help researchers and policy makers to better understand individual's education and work experiences after completing a bachelor's degree.

If you complete your B&B survey by [WEB_INC_DATE], you will receive a **\$(INCAMT)** check as a token of our appreciation. To access the online survey, log in to our secure website at <https://surveys.nces.ed.gov/bab/> using the Study ID and password provided below. The password is case sensitive; you will need to enter it exactly as it appears here.

Study ID = [CASEID]

Password = [PASSWORD]

If you have questions or problems completing your survey, or would like to complete the survey over the telephone, please call the B&B Help Desk toll free at 1-877-262-4440.

Your participation is voluntary but critically important to the success of the study. To ensure confidentiality, your responses will be secured behind firewalls and will be encrypted during internet transmission. Federal law requires that we protect your privacy. Your responses will be used only for statistical purposes and will not be disclosed, or used, in identifiable form for any other purpose, except as required by law.

RTI International is conducting B&B on behalf of the National Center for Education Statistics (NCES) in the U.S. Department of Education's Institute of Education Sciences. If you have any questions about the study, please contact me toll-free at 1-866-662-8227, e-mail: mcominole@rti.org, or the NCES Project Officer, Ted Socha, at 1-202-502-7383, e-mail: ted.socha@ed.gov.

Thank you for helping to make B&B a success.



Melissa Cominole
B&B Project Director

EARLY COMPLETION REMINDER EMAIL

Dear [FIRSTNAME],

We would like to remind you that the early response period for the Baccalaureate and Beyond Longitudinal Study (B&B) is drawing to a close. I hope that you will participate in the study soon.

If you complete your survey by [WEB_INC_DATE], you will receive a \$[INCAMT] check as a token of our appreciation.

To access the online survey, go to <https://surveys.nces.ed.gov/bab/>, and log in using the Study ID and password listed below. The password is case sensitive; please enter it exactly as it appears here.


Study ID = [CASEID]
Password = [PASSWORD]a

If you need help accessing the online survey, or if you prefer to complete the survey by telephone, please call our Help Desk at 1-877-262-4440.

RTI International is conducting this study for the National Center for Education Statistics (NCES) in the U.S. Department of Education's Institute of Education Sciences. If you have any questions or concerns about the study, please contact me, toll-free at 1-866-662-8227 (e-mail: mcominole@rti.org), or the NCES Project Officer, Ted Socha, at 1-202-502-7383 (e-mail: ted.socha@ed.gov).

Thank you in advance for your participation in this very important study.

Sincerely,



Melissa Cominole
B&B Project Director

SECOND PERIODIC REMINDER EMAIL

Dear [FIRSTNAME] [LASTNAME],

I am writing to ask that you take a few moments to complete your survey for the Baccalaureate and Beyond Longitudinal Study (B&B), sponsored by the U.S. Department of Education's National Center for Education Statistics (NCES). It takes, on average, only 35 minutes, and with your participation, you will be helping researchers and policymakers better understand how earning a bachelor's degree affects the lives of students and their transition to the workforce.

You can complete the survey on our secure website, <https://surveys.nces.ed.gov/bab/>, using your unique Study ID number and password provided below:

Study ID number = [CASEID]

Password = [PASSWORD]d

The password is case sensitive, so be sure to enter it exactly as it appears above.

Alternatively, you may complete the survey with one of our professional telephone interviewers by calling us at 1-877-262-4440 (toll-free).

Your responses will be used only for statistical purposes and may not be disclosed in identifiable form for any purpose, except as required by law. If you have questions or problems completing your survey, simply call the B&B Help Desk at 1-877-262-4440 or reply to this e-mail.

Thank you for helping to make B&B a success!

Sincerely,



Melissa Cominole
B&B Project Director

SCRIPT FOR B&B 2ND FOLLOW-UP FT VIDEO¹

Sample member (SM) goes to the mailbox and gets out a letter:

SM: "Another letter about the Department of Education's B&B survey. Why do they keep bugging me? This is going in the trash..."

Helicopter with Ed on the side:

"Ed: Sounds like I'm needed!"

Ed lowers into view:

Ed: "Before you throw that away, I've got a few things I'd like to tell you."

SM: "Who are you?"

Ed: "I'm Ed, from the U.S. Department of Education. We want you to take our survey because we want to learn more about what college graduates do in the years following degree completion "

SM: "What kind of things will you ask me about?"

Scenes progress from a college graduate to a teacher in a classroom, an astronaut, a policeman, travel in a foreign country, life changes (marriage, children), and receiving financial incentive:

Ed: "We're interested in what you've been doing since graduation. Did you become a teacher, or go back to school yourself? Did you become a scientist? an astronaut? A police-officer?

Have you had any life changes, like getting married or having kids?

We can also offer you a cash incentive to thank you for your time.

Scene back in front of house:

SM: "Well, I'm pretty busy..."

Scenes progress from using a phone to using a computer to a home visit:

Ed: "We make it easy for you. You can do the B&B interview by phone, or on the web using your own computer. It won't take long. In some parts of the country we can even send someone to your house!

Scene back in front of house:

SM: "OK, but one more question. How do I know my answers will stay confidential?"

Lego policeman closes a vault/safe

Ed: "Federal law requires that we protect all data collected. Protecting your data is our number one concern."

SM: "That sounds pretty good, I'll do it!"

Ed turns and talks to the camera:

Ed: "You, too, can help us make the B&B study a success!"

Cut to scene of Lego people appearing, holding hands, and swaying back and forth:

Ed: As a recent college graduate, you are in a special position to provide us vital information on your experiences after graduation. With your help we can develop better programs that help students like you find success in college and beyond.

Back in front of house.

SM: "Thanks, ED!!"

Ed: "Thank you for taking our surveyyyyyyyyyyyyyyy!"

¹ Note: The video file or screen shots for the Lego video are available upon request.

Display contact screen:

ED (speaking over the final “credit” slide with the info below typed on it):
“Call us toll free at 1-877-662-8227 to complete your interview today! “
“And don’t forget to check your e-mail for more information about your
participation in this study.”

Appendix E

Linkages to Administrative Data Sources

E.1 Develop Linkages with Administrative Data Sources

RTI will develop linkages with existing data sources to supplement the Baccalaureate and Beyond Longitudinal Study (B&B:08/12) interview data. RTI recognizes the great value added to the B&B:08/12 data file with the addition of data from specific administrative data sources. Certain data (for example, specific financial aid amounts and associated dates) can only be accurately obtained from sources other than the student or parent. Through our experience providing data for many National Center for Education Statistics (NCES) postsecondary studies, including previous B&B studies, Beginning Postsecondary Student (BPS), and National Postsecondary Study Aid Study (NPSAS), we have gained considerable knowledge performing file merges with many existing sources of valuable data, including Department of Education's (ED) Central Processing System (CPS) for Free Application for Federal Student Aid (FAFSA) data, the National Student Loan Data System (NSLDS), and ACT. For this study, we propose to perform file merges with the following datasets: CPS, NSLDS, and National Student Clearinghouse.

The Family Educational Rights and Privacy Act (FERPA), (34 CFR Part 99) allows the disclosure of information without prior consent for the purposes of B&B:08/12 according to the following excerpts: 99.31 asks "Under what conditions is prior consent not required to disclose information?" and explains in 99.31 (a) "an educational agency or institution may disclose personally identifiable information from an education record of a student without the consent required by 99.30 if the disclosure meets one or more specific conditions. B&B:08/12 collection falls under:

Sec. 99.31 (a)(3). The disclosure is, subject to the requirements of Sec. 99.35, to authorized representatives of--

- (i) The Comptroller General of the United States;
- (ii) The Attorney General of the United States;
- (iii) The Secretary; or
- (iv) State and local educational authorities.

B&B:08/12 is collecting data under the Secretary's authority. The personally identifiable information is collected from student record systems with adherence to the security protocol detailed in 99.35: "What conditions apply to disclosure of information for Federal or State program purposes?"

- (a)(1) Authorized representatives of the officials or agencies headed by officials listed in Sec. 99.31(a)(3) may have access to education records in connection with an audit or evaluation of Federal or State supported education programs, or for the enforcement of or compliance with Federal legal requirements that relate to those programs.
- (2) Authority for an agency or official listed in Sec. 99.31(a)(3) to conduct an audit, evaluation, or compliance or enforcement activity is not conferred by the Act or this part and must be established under other Federal, State, or local authority.
- (b) Information that is collected under paragraph (a) of this section must:
 - (1) Be protected in a manner that does not permit personal identification of individuals by anyone other than the officials or agencies headed by officials referred to in paragraph (a) of this section, except that those officials and agencies may make further disclosures of

personally identifiable information from education records on behalf of the educational agency or institution in accordance with the requirements of Sec. 99.33(b); and

(2) Be destroyed when no longer needed for the purposes listed in paragraph (a) of this section.

(c) Paragraph (b) of this section does not apply if:

(1) The parent or eligible student has given written consent for the disclosure under Sec. 99.30; or

(2) The collection of personally identifiable information is specifically authorized by Federal law.

Secure Data Transfers. NCES has set up a secure data transfer system, using their NCES member site with Secure Sockets Layer (SSL) technology, described above. We will use this electronic system for submitting data containing potentially identifying information (such as SSNs, names, and dates of birth of our sample members) along with their survey ID (not the same ID that is available on the restricted-use data). Before being transmitted, files will be encrypted using FIPS 140-2 validated encryption tools. We will receive data from the NCES system as well. The system requires that both parties to the transfer be registered users of the NCES Members Site and that their Members Site privileges be set to allow use of the secure data transfer service as described above. This process will be used for all file matching procedures described below, except in instances when the vendor already has a secure data transfer system in place.

E.2 File Merge with ED Central Processing System (CPS)

RTI proposes to perform file merges with the CPS data containing federal student aid application information. The merge with CPS can occur at any time for any number of cases, provided that the case has an apparently valid SSN associated with it. RTI sends a file to CPS and receives in return a large data file containing all students who applied for federal aid. We already have existing programs and procedures in place to prepare and submit files according to rigorous CPS standards. Similarly, we have already developed programs and procedures to receive and process data obtained from CPS.

RTI will electronically upload a file on the FAFSA secure web-site for matching which contains SSN and the first 2 letters of the sample member's last name (but no other information). Access to the site for the upload is restricted to authorized users who are registered and provide identification/authentication information (SSN, DOB, and personal identification number [PIN]) to the FAFSA data site. The file is retrieved by the Central Processing System or CPS (the FAFSA contractor data system) for linkage. The linked file, containing student aid applications for matched records, is then made available to us only through a secure connection (EdConnect) which requires username and password. All CPS files will be processed, edited, and documented for inclusion on the analytic data files.

The CPS data obtained for the NPSAS:12 data collection will cover academic years beginning with 2010–2011. All CPS files will be processed, edited, and documented for inclusion in the Electronic Codebook (ECB).

E.3 File Merge with National Student Loan Data System Disbursement

RTI will also conduct a file merge with the NSLDS to collect federal loan and Pell grant data for the 2010–2011 award year. The resulting file will contain cumulative amounts for each student’s entire postsecondary education enrollment. NCES has set up a secure data transfer system that uses their NCES member site and Secure Sockets Layer (SSL) technology. The system requires that both parties to the transfer be registered users of the NCES Members Site and that their Members Site privileges be set to allow use of the secure data transfer service. These privileges are set up and carefully controlled by the ED’s Institute of Education Sciences (IES) NCES Chief Technology Officer (CTO). This service has been designed by ED/NCES specifically for the secure transfer of electronic files containing personally identifying information (i.e., data protected under the Privacy Act or otherwise posing risk of disclosure) and can be used for NCES-to-Contractor; Contractor-to-Subcontractor; Subcontractor-to-Contractor; and Contractor-to-Other-Agency data transfers. The party uploading the information onto the secure server at NCES is responsible for deleting the file(s) after the successful transfer has been confirmed. Data transfers using this system will include notification to the ED/IES, the NCES CTO, and the NCES Deputy Commissioner as well as the ED/NCES project officer. The notification will include the names and affiliations of the parties in the data exchange/transfer and the nature and approximate size of the data to be transferred. We have programs to create the files for the merge and also programs to read the data we receive. All matching processes are initiated by RTI staff providing a file with one record per sample member to be merged.

E.6 File Merge with the National Student Clearinghouse

RTI will use the National Student Clearinghouse to obtain the *Student Tracker* data on institutions attended, enrollment dates, and degree completions for the B&B:08/12 sample.

RTI will first set up an account with the Clearinghouse which will enable sending and receiving of files securely over encrypted FTPS connections. The file containing sensitive student identifiers (name, date of birth, and Social Security number) will be encrypted using FIPS 140-2 validated encryption tools then submitted to the Clearinghouse using their secure FTP site. All files received by the Clearinghouse will be securely stored using FIPS 140-2 validated AES encryption, the US federal encryption standard. Matched files, containing data on enrollment dates, institution names, and degrees completed, will be returned to RTI using the same secure FTP site. This file merge will only be conducted during the full-scale study.

Appendix F
Data Security Language for Vendor Contracts

Data Security Requirements

- a) Contractor shall use data supplied to them by Company for the specific purpose included in the corresponding Statements of Work only.
- b) Contractor will protect all data supplied to them by Company as specifically stated in Exhibit C, attached.
- c) Unless otherwise agreed to, Contractor will promptly and properly destroy data supplied to them by Company upon the Statement of Work completion date.

EXHIBIT C COMPANY INFORMATION SECURITY REQUIREMENTS

A. Definitions.

“Business Contact Information” is defined as name, job title, department name, company name, business telephone, business fax number, and business email address.

“COMPANY Confidential Information” as defined in the Agreement.

“Information Processing System(s)” is defined as the individual and collective electronic, mechanical, or software components of CONTRACTOR operations that store and/or process COMPANY Confidential Information.

“Information Security Event” is defined as any situation where COMPANY Confidential Information is lost; is subject to unauthorized or inappropriate access, use, or misuse; the security, confidentiality, or integrity of the information is compromised; or the availability of CONTRACTOR Information Processing Systems is compromised by external attack.

“Security Breach” is defined as an unauthorized access to CONTRACTOR’s facilities, Information Processing Systems or networks used to service, store, or access COMPANY Confidential Information, provided such unauthorized access exposes COMPANY Confidential Information or provided CONTRACTOR is required to report such unauthorized access to appropriate legal or regulatory agencies or affected COMPANY members.

“Industry best practice” is defined by the information security guidelines prepared by the PCI Security Standards Council and documented in the PCI DSS requirements as well as standards and guidelines prepared by the Federal Financial Institutions Examination Council (FFIEC)

B. Security and Confidentiality.

Before receiving, or continuing to receive, COMPANY Confidential Information, CONTRACTOR will implement and maintain an information security program that ensures: 1) COMPANY’s Confidential Information and CONTRACTOR’s Information Processing Systems are protected from internal and external security threats; and 2) that COMPANY Confidential Information is protected from unauthorized disclosure.

C. Security Policy.

- a. Formal Security Policy. Consistent with the requirement of this Attachment, CONTRACTOR will create an information security policy that is approved by CONTRACTOR’s management, published and communicated to all CONTRACTOR’s employees. Such information security policy may be reviewed

by COMPANY at CONTRACTOR's place of business pursuant to confidentiality obligations.

- b.** Security Policy Review. CONTRACTOR will review the information security policy at planned intervals or if significant changes occur to ensure its continuing suitability, adequacy, and effectiveness.

D. Asset Management.

- a.** Asset Inventory. CONTRACTOR shall have the ability to identify the location of all CONTRACTOR Information Processing Systems and media containing COMPANY Confidential Information.
- b.** Acceptable Use. CONTRACTOR will implement rules for the acceptable use of information and assets which is no less restrictive than industry best practice and consistent with the requirements of this Attachment.
- c.** Equipment Use While on COMPANY Premises. While on COMPANY's premises, CONTRACTOR will not connect hardware (physically or via a wireless connection) to COMPANY systems unless necessary for CONTRACTOR to perform Services under this Agreement. This hardware must be inspected / scanned by COMPANY before use.
- d.** Portable Devices. COMPANY Confidential Information, with the exception of Business Contact Information, may not be stored on portable devices including, but not limited to, laptops, external hard drives, Personal Digital Assistants, MP3 devices, and USB devices.
- e.** Personally-owned Equipment. COMPANY Confidential Information, with the exception of Business Contact Information, may not be stored on personally-owned equipment.

E. Human Resources Security.

- a.** Security Awareness Training. Prior to CONTRACTOR employees receiving access to COMPANY Confidential Information, they will receive security awareness training appropriate to their job function. CONTRACTOR will also ensure that recurring security awareness training is performed.
- b.** Removal of access Rights. The access rights of all CONTRACTOR employees to CONTRACTOR Information Processing Systems or media containing COMPANY Confidential Information will be removed immediately upon termination of their employment, contract or agreement, or adjusted upon change.

F. Physical and Environmental Security.

- a.** Secure Areas. CONTRACTOR will secure all areas, including loading docks, holding areas, telecommunications areas, cabling areas and off-site areas that contain Information Processing Systems or media containing COMPANY Confidential Information by the use of appropriate security controls in order to ensure that only authorized personnel are allowed access and to prevent damage and interference. The following controls will be implemented:

- agreement; or as soon as the COMPANY Confidential Information is no longer required to perform services under this Statement of Work.
- iv.** Providing a Certificate of Destruction to COMPANY certifying that all COMPANY Confidential Information was purged. The certificate will be provided to COMPANY within ten (10) business days after the information was purged.
- e. Exchange of Information. To protect confidentiality and integrity of COMPANY Confidential Information in transit, CONTRACTOR will:
- i.** Perform an inventory, analysis and risk assessment of all data exchange channels (including but not limited to FTP, HTTP, HTTPS, SMTP, modem, and fax) to identify and mitigate risks to COMPANY Confidential Information from these channels.
 - ii.** Monitor and inspect all data exchange channels to detect unauthorized information releases.
 - iii.** Ensure that appropriate security controls using approved data exchange channels are employed when exchanging COMPANY Confidential Information.
 - iv.** If COMPANY Confidential Information can only be sent to CONTRACTOR electronically, then CONTRACTOR must employ industry standard encryption security measures (minimum standard of NIST's FIPS 140-2) to encrypt COMPANY Confidential Information prior to transmitting via the Internet. Otherwise, COMPANY Confidential Information can only be sent to CONTRACTOR using an encrypted (minimum standard NIST's FIPS 140-2) CD-ROM sent via courier service with a tracking number.
 - v.** Ensure that information (including persistent cookies) about COMPANY customers, members or employees is not harvested by CONTRACTOR web pages except for purposes of this Agreement.
- f. Monitoring. To protect against unauthorized access or misuse of COMPANY Confidential Information residing on CONTRACTOR Information Processing Systems, CONTRACTOR will:
- i.** Employ current industry best practice security controls and tools to monitor Information Processing Systems and log user activities, exceptions, unauthorized information processing activities, suspicious activities and information security events. Logging facilities and log information will be protected against tampering and unauthorized access. Logs will be kept for at least 90 days.
 - ii.** Perform frequent reviews of logs and take necessary actions to protect against unauthorized access or misuse of COMPANY Confidential Information.
 - iii.** At COMPANY's request, make logs available to COMPANY to assist in investigations of security breaches.
 - iv.** Comply with all relevant legal requirements applicable to monitoring and logging activities.

- v. Ensure that the clocks of all relevant information processing systems are synchronized using a national or international time source.

H. Access Control.

- a. User access Management. To protect against unauthorized access or misuse of COMPANY Confidential Information residing on CONTRACTOR Information Processing Systems, CONTRACTOR will:
 - i. Employ a formal user registration and de-registration procedure for granting and revoking access and access rights to all CONTRACTOR Information Processing Systems.
 - ii. Employ a formal password management process.
 - iii. Perform recurring reviews of users' access and access rights to ensure that they are appropriate for the users' role.
- b. User Responsibilities. To protect against unauthorized access or misuse of COMPANY Confidential Information residing on CONTRACTOR Information Processing Systems, CONTRACTOR will:
 - i. Ensure that CONTRACTOR Information Processing Systems users follow current security practices in the selection and use of strong passwords.
 - ii. Ensure that unattended equipment has appropriate protection to prohibit access and use by unauthorized individuals.
 - iii. Ensure that COMPANY Confidential Information contained at workstations, including but not limited to paper and on display screens is protected from unauthorized access.
- c. Network access Control. access to internal, external, and public network services that allow access to CONTRACTOR Information Processing Systems shall be controlled. CONTRACTOR will:
 - i. Ensure that current industry best practice standard authentication mechanisms for network users and equipment are in place and updated as necessary.
 - ii. Ensure electronic perimeter controls are in place to protect CONTRACTOR Information Processing Systems from unauthorized access.
 - iii. Ensure authentication methods are used to control access by remote users.
 - iv. Ensure physical and logical access to diagnostic and configuration ports is controlled.
- d. Operating System access Control. To protect against unauthorized access or misuse of COMPANY Confidential Information residing on CONTRACTOR Information Processing Systems, CONTRACTOR will:
 - i. Ensure that access to operating systems is controlled by a secure log-on procedure.

- ii. Ensure that CONTRACTOR Information Processing System users have a unique identifier (user ID).
- iii. Ensure that the use of utility programs that are capable of overriding system and application controls are highly restricted and tightly controlled.
- iv. Ensure that inactive sessions are shut down when technically possible after a defined period of inactivity.
- v. Employ restrictions on connection times when technically possible to provide additional security for high risk applications.
- e. Mobile Computing and Remote Working. To protect COMPANY Confidential Information residing on CONTRACTOR Information Processing Systems from the risks inherent in mobile computing and remote working, CONTRACTOR will:
 - i. Perform a risk assessment to identify and mitigate risks to COMPANY Confidential Information from residing on mobile computing and remote access systems.
 - ii. Develop a policy, operational plans and procedures for managing mobile computing and remote access systems to ensure that COMPANY Confidential Information does not reside on or are used on these systems.

I. Information Systems Acquisition, Development and Maintenance.

- a. Security of System Files. To protect CONTRACTOR Information Processing Systems and system files containing COMPANY Confidential Information, CONTRACTOR will ensure that access to source code is restricted to authorized users who have a direct need to know.
- b. Security in Development and Support Processes. To protect CONTRACTOR Information Processing Systems and system files containing COMPANY Confidential Information, CONTRACTOR will:
 - i. Ensure that the implementation of changes is controlled by the use of formal change control procedures.
 - ii. Employ industry best practice security controls to minimize information leakage.
 - iii. Employ oversight quality controls and security management of outsourced software development.

J. Information Security Incident Management.

Reporting Information Security Events and Weaknesses. To protect CONTRACTOR Information Processing Systems and system files containing COMPANY Confidential Information, CONTRACTOR will, in the event that Contractor becomes aware of (or reasonably suspects) that any information and data obtained pursuant to the Services has been compromised in any manner, immediately notify Company via email or telephone call and follow-up on the incident in writing and provide all requested information about the event. For purposes of this obligation, “compromise” includes suspected or known

incidents without limitation: (i) any unauthorized access to information and data obtained pursuant to the Services, (ii) any inadvertent disclosure of information and data obtained pursuant to the Services to any third party, (iii) any known or suspected misuse of information and data obtained pursuant to the Services by any person (even if such person was authorized to access such information or data), (iv) any suspected use of information and data obtained pursuant to the Services by any person outside of the scope of that person's authority, and (v) any known or suspected alteration of information and data obtained pursuant to the Services other than as required or permitted by this Agreement.

- a. **Information Security Events and Security Breaches:** Contractor shall
- i. Implement a process to ensure that Information Security Events and Security Breaches are reported through appropriate management channels as quickly as possible.
 - ii. Train all employees of information systems and services how to report any observed or suspected Information Security Events and Security Breaches.
 - iii. Notify COMPANY by email (JDavis@RTI.org or by phone (800-334-8571) immediately of all suspected Information Security Events and Security Breaches. Following any such event or breach, CONTRACTOR will promptly notify COMPANY as to the COMPANY Confidential Information affected and the details of the event or breach.

K. Business Continuity Management.

- a. Business Continuity Management Program. In order to ensure services and service levels described in this agreement, CONTRACTOR will:
- i. Develop and maintain a process for business continuity throughout the organization that addresses the information security requirements needed for the CONTRACTOR's business continuity so that the provision of products and/or services provided under the Agreement to COMPANY is uninterrupted.
 - ii. Identify events that can cause interruptions to business processes, along with the probability and impact of such interruptions and their consequences for information security.
 - iii. Develop and implement plans to maintain or restore operations and ensure availability of information at the required level and in the required time scales following interruption to, or failure of, critical business processes and provide COMPANY a copy of the same.
 - iv. Test and update Business Continuity Plans regularly to ensure that they are up-to-date and effective.

L. Security Assessments.

- a. Initial and Recurring Security Assessments. CONTRACTOR will permit COMPANY representatives to perform an on-site physical and logical Security

Assessment of CONTRACTOR's data processing and business facilities prior to the release of COMPANY Confidential Information and each year thereafter. Security Assessments will be performed during regular business hours, at a date and time agreed to by both parties, and will not require online access to CONTRACTOR's Information Processing Systems.

- b.** Security Assessments Following Information Security Events and Security Breaches. Following the occurrence of an Information Security Event or Security Breach, CONTRACTOR will permit COMPANY representatives to perform an on-site physical and logical Security Assessment of CONTRACTOR's data processing and business facilities to assess the impact of the event or breach even if a Security Assessment has been completed within the year.
- c.** Security Assessment Findings. Upon completion of a Security Assessment, COMPANY will provide CONTRACTOR with a Security Assessment completion letter that summarizes COMPANY's Security Assessment findings. These findings may identify critical security deficiencies identified as "Mandatory" that require immediate correction before COMPANY can release, or continue to release, COMPANY Confidential Information to CONTRACTOR. CONTRACTOR will implement and continue to maintain all mutually agreed upon "Mandatory" security findings. If mutual agreement to "Mandatory" security findings cannot be reached, then these issues may be escalated using the dispute resolution provisions within this Agreement.