

Appendix 1

Transcript Data Request Materials and Prompting

Transcript Collection Request Letter from RTI

{date}

{contact_fname} {contact_lname}
{inst_name}
{inst_addr1}
{inst_addr2}
{inst_city}, {inst_st} {inst_zip}

Dear {contact_salute} {contact_lname}:

We greatly appreciate your cooperation in the Education Longitudinal Study of 2002 (ELS:2002) Postsecondary Education Transcript Study. As Jeffrey Owings, Associate Commissioner for the Elementary/Secondary & Libraries Studies Division of the National Center for Education Statistics, indicates in the enclosed letter, this study is designed to collect transcript data for students participating in ELS:2002 that attended your institution. Authorized by federal law (Education Sciences Reform Act of 2002, 20 U.S.C. § 9543), ELS:2002 data will provide researchers, educators, and policymakers with critical information to better understand young adults' education and work experiences during and after high school.

I am writing to request transcripts for {sch_num} sample member{s} who attended your institution. To facilitate our coding of your institution's transcripts, it would be helpful to also receive a mapping of your institution's degree programs and courses to the Classification of Instructional Programs, if such a mapping exists. Included with this package are detailed instructions for preparing and transmitting transcript data to RTI. A list of students for whom transcripts are requested is posted, with their student ID numbers and dates of birth, at the secure study website listed in the box below. To gain access to the site, you will need to log in using the username and password printed at the bottom of this letter. Also available at the website are instructions for obtaining reimbursement for the requested transcripts, should your institution require it. We would appreciate receiving the requested transcript data on or before {DUE DATE}. Please do not hesitate to call me if you feel you need to have a later delivery date.

Thank you in advance for your timely participation in this important effort. Please feel free to contact me for additional information. You can reach me by telephone at 1-866-860-5229 or e-mail at els@rti.org.

Sincerely,

Daniel Pratt
ELS:2002 Project Director

Please visit the study website for more information:

<https://surveys.nces.ed.gov/els>

[To log in, enter the IPEDS UNITID below as your username and enter the password below.](#)

Your IPEDS UNITID: «entity_id»

Your password: «password»

Transcript Collection Request Letter from NCES

<date>

Dear Registrars and Officials:

«entity_name» has been selected to participate in the Education Longitudinal Study of 2002 (ELS:2002) Postsecondary Education Transcript Study. The goal is to collect transcript data for students participating in a longitudinal study being conducted for the National Center for Education Statistics (NCES), U.S. Department of Education. ELS:2002 collects information on individuals who were sampled from their high schools as 10th graders in 2002 or 12th graders in 2004. Their questionnaire asks about their work and further schooling experiences.

As part of this study, NCES is requesting transcripts for ELS:2002 sample members who have attended your institution. As the collection continues, there may be additional sample members who we learn attended your institution; therefore, we may contact you again in the future. Many secure options are available to you for providing transcript data. These options and instructions are included in this package.

Linking student transcript data, interview data and other administrative record information will result in a dataset that researchers can use to better understand the relationship between students' education and their subsequent career paths and graduate/professional study. NCES publications from previous rounds of ELS:2002 are available at <http://nces.ed.gov/surveys/els2002/>.

Transcript data will be collected under the provisions of the *Family Educational Rights and Privacy Act* (FERPA) that allow the release of student records to the Secretary of Education or his agent without prior written consent from students. The purposes of the study and the manner in which the transcript data will be acquired comply fully with FERPA requirements. We have included in this package the relevant passages of the legislation that authorize the transcript data collection.

Let me assure you that very stringent measures are in place to safeguard the confidentiality of participants (see enclosed "Disclosure Notice").

NCES has contracted with RTI International (RTI) to collect ELS:2002 data. Your cooperation with RTI in this important study is greatly appreciated. For further information or questions, please contact the RTI project director, Daniel Pratt, at (919) 541-6615 or djp@rti.org. You may also contact the NCES Project Officer Elise Christopher at (202)502-7899 or elise.christopher@ed.gov.

Sincerely,

Jeffrey Owings
Associate Commissioner
Elementary/Secondary & Libraries
Studies Division
National Center for Education Statistics

Dear Colleague:

I am writing to ask for your assistance with the Education Longitudinal Study of 2002 (ELS:2002) Postsecondary Education Transcript Study. ELS:2002 seeks transcript data from postsecondary institutions to supplement student interview data collected for an important longitudinal study that is endorsed by AACRAO.

ELS:2002 collects data on a cohort of students that were sampled as 10th graders in 2002 or 12th graders in 2004 and then follows their educational and employment experiences over time. The data are collected by RTI International for the National Center for Education Statistics (NCES) in the U.S. Department of Education's Institute of Education Sciences.

ELS:2002 postsecondary transcript data will be combined with data from student interviews, other institution records, and administrative databases to provide a total picture of the cohort. The enclosed materials describe the uses of the data.

Transcript data are being collected under the provisions of the *Family Educational Rights and Privacy Act* (FERPA) that allow the release of student records to the Secretary of Education or his/her agent without prior written consent from students. Both the purposes of the study and the manner in which the transcript data will be acquired comply fully with FERPA requirements.

Your cooperation and assistance in providing transcripts to RTI in a timely manner will be greatly appreciated.

Sincerely,

Jerome H. Sullivan
Executive Director

Recommended Endorsements from Associations and Organizations

American Association of Collegiate Registrars and Admissions Officers

American Association of Community Colleges

American Association of State Colleges and Universities

American Council on Education

Association for Institutional Research

Association of Allied Schools of Health Professions

Association of American Colleges and Universities

Association of Catholic Colleges and Universities

Association of Private Sector Colleges and Universities

Association of Public and Land-grant Universities

Association of Schools of Allied Health Professions

Career College Association

The Carnegie Foundation for the Advancement of Teaching

The College Board

Council of Graduate Schools

Council of Independent Colleges

Hispanic Association of Colleges and Universities

Midwestern Higher Education Compact

National Accrediting Commission of Cosmetology Arts and Sciences

National Association of College and University Business Officers

National Association for Equal Opportunity in Higher Education

National Association of Independent Colleges and Universities

National Association of State Universities and Land Grant Colleges

National Association of Student Financial Aid Administrators

New England Board of Higher Education

Southern Regional Education Board

State Higher Education Executive Officers

United Negro College Fund

Western Interstate Commission for Higher Education

Guide to the 2009 Postsecondary Education Transcript Study (PETS:09)



Text for the ELS:2002 PETS Instructions for Sending Data

There are 5 primary steps for providing data. You will need to access the secure study website at <https://surveys.nces.ed.gov/els>. Log in using the username and password printed at the bottom of the letter you received from RTI.

NOTE: You will need your username and password each time you log in to the website.

1 Complete the Institution Information page

On this page, you will provide or confirm selected information about your institution including GPA scale and grading system. This page is accessible from the Main Menu.

2 Complete the Transcript Data Transmission page

Each student's name, student ID number (if known), and date of birth will be listed on the transmission page. Please check the box next to each student whose transcript you are sending and select the mode of submission. If you are unable to provide a transcript, please enter the reason in the space provided—for example, "No record of student's attendance" or "Transcript cannot be located." Please print and retain a copy for your records.

3 Transmit Transcript Data

A number of options are available for transmitting transcript data to RTI. Each is described below.

Uploading to the Secure Study Website: Uploading electronic transcript data directly to the secure website, preferably in XML or EDI format that conforms to the PESC standard, is the preferred method for sending transcript data. If your transcript data are not in one of these formats, we ask that you or a programmer from your institution convert them to a format that we can process using the file specifications available from the link entitled "Upload transcript data in CSV or fixed-width format" on the Transcript Data Transmission page available from the Main Menu. However, if you are unable to reformat the transcript data to match the file specifications, we will accept them in their existing electronic format. *NOTE: The XML formatted transcript should adhere to the PESC XML standard format for college transcript, version 1.0.0. The EDI formatted transcript should adhere to the PESC EDI standard format for Student Educational Record (Transcript).*

Sending Transcript Data as an Encrypted Attachment by Electronic Mail: If you choose to use electronic mail (email) to submit student transcript data, the attachment

containing the data will need to be encrypted, using software such as SecureZIP (select the option Use FIPS 140 Mode), to ensure they are transmitted securely. SecureZIP can be downloaded free of charge from the website: <http://www.securezip.com>. Detailed instructions for downloading and using SecureZIP can be accessed from the link "Email transcript data as an encrypted attachment." If you choose to use encryption software other than SecureZIP, please contact the Help Desk to ensure that the software complies with our security standards.

Once the attachment is encrypted, send to els@rti.org and include the file names and descriptions. If you need assistance with this process, please contact the Help Desk toll-free at 1-866-860-5229 or via email at els@rti.org.

Sending Transcript Data by Secure File Transfer Protocol (sFTP): If you choose to submit transcript data using the sFTP site, please contact the Help Desk to obtain the sFTP site location and your username and password. The Help Desk may be reached toll-free at 1-866-860-5229 or via email at els@rti.org. Additional instructions on how to perform the data transfer via sFTP may be accessed from the link "Send transcript data by secure File Transfer Protocol (sFTP)." After you have successfully uploaded your files to the sFTP server, please send an email to els@rti.org with the names of the files and their structure.

Sending Transcript Data via eSCRIP-SAFE™: If you are a registered eSCRIP-SAFE™ sender and wish to use eSCRIP-SAFE™ to send your transcripts, please select RTI International, U.S. Department of Education Longitudinal Studies as the transcript recipient.

Faxing Hard Copy Transcripts: If your institution is unable to provide the transcript data electronically via any of the methods previously mentioned, you may fax transcripts to our secure fax machine at <FaxLineNumber>. First, fax the Student Transcript Fax Test Page included in your institution packet, with your name, telephone number, and fax number, to ensure that the transfer is working correctly. An automated reply fax will confirm that we successfully received the test page. Once you receive confirmation, fax the completed Student Transcript Fax Transmittal Sheet along with the transcripts. Some institutions' fax machines are not set up to receive automated replies. In these cases, we ask that you verify that the test fax was successfully sent by checking the status page that is produced by your fax machine and ensure that the transmission was successful and that the correct number of pages were sent. If so, you may then hit redial and send the completed Student Transcript Fax Transmittal Sheet along with the transcripts. If you encounter difficulty, please contact the fax help line at <helplinephone>. If you do not have the fax test page or transmittal sheet, you may print a copy from the link "Fax hard copy transcripts."

Once you have sent the transcript data, click Submit on the Transcript Data Transmission page.

4 Provide CIP Code Mappings

Once transcript data are received, the individual courses and degree programs reported in the transcript data will be coded using a classification system based on the National Center for Education Statistics' (NCES) Classification of Instructional Programs (CIP). The mapping(s) can

be transmitted to RTI by uploading to the secure study website or sending via email to els@rti.org. If you choose to upload the mappings, please select “Upload CIP code mappings” from the Main Menu.

5 Provide Requested Course Catalogs

If we need a course catalog from your institution, there will be a Catalog Transmittal Sheet in your packet. It includes a list of the catalogs requested and instructions for sending them to RTI. If you do not find a Catalog Transmittal Sheet in your packet, then no catalogs are needed from your institution at this time.

***Text for the Education Longitudinal Study of 2002 (ELS:2002)
Postsecondary Education Transcript Study (PETS) Brochure***

The National Center for Education Statistics (NCES), U.S. Department of Education, is conducting the Education Longitudinal Study of 2002 (ELS:2002). This national study of high school students includes the collection of student transcript data. Transcripts provide an analytically powerful measure of students' high school and postsecondary curricular experience and performance that may be related both to labor market outcomes and to postsecondary educational access and attainment. ELS:2002 data, collected under authority of the Education Sciences Reform Act of 2002 (20 U.S.C. § 9543), will be used to provide information that will be used by Congress, researchers and policymakers to monitor and improve the quality of education. NCES has contracted with RTI International (a trade name of Research Triangle Institute), a university-affiliated nonprofit research organization, to collect the transcript data on its behalf.

Assistance is needed from institutions to make the results of this study comprehensive, accurate, and timely. We are collecting transcript information for students who have voluntarily participated in ELS:2002. The information we will collect from the transcript includes dates of enrollment, grade point average, degree program, and, for each course taken, course number and title, number of credits earned, and grade assigned.

Importance of the Data

ELS:2002 data are made available to researchers, counselors, policymakers, and others in various ways, each of which is designed to protect the confidentiality of individually-identifying information:

- Descriptive reports are published by NCES on selected topics. ELS:2002 publications and data can also be accessed electronically through NCES's ELS:2002 website: <http://nces.ed.gov/surveys/els2002/>. A bibliography of ELS:2002 publications is posted there as well.
- Data files (without identifying information) are available.
- Presentations on study findings are made at conferences.

Researchers from a variety of fields have used the data collected in ELS:2002 and its predecessor studies to look at equity, access, and choice; cognitive growth and its correlates; course-taking opportunities and choices; school effectiveness; parental and community involvement; and post-high school transitions to higher education, training, and the labor market.

Authorization to Collect Data

ELS:2002 is conducted by the National Center for Education Statistics (NCES), United States Department of Education. The study is authorized by federal law under the Education Sciences Reform Act of 2002 (20 U.S.C. § 9543). ELS:2002 data are collected for NCES by RTI International.

Transcript Collection Procedures

All known institutions attended by ELS:2002 participants will be contacted for the first time beginning in January 2013. The ELS:2002 website (https://surveys.nces.ed.gov/<insert_url>) will serve as a secure mechanism for the exchange of information between institutions and RTI. To initiate the transcript submission process, institutions are being asked to complete an information page about term systems and grading scales and may be asked to provide course catalogues not available through other public sources. New students may be added to an institution's transcript request list if new enrollment is discovered from collected transcripts.

Transcripts will be requested from an estimated 3,000 institutions associated with the proportion of the approximately 16,000 ELS:2002 sample members who have attended postsecondary institutions. Institutions can submit transcripts for their students using any of several methods (in order of preference): uploading to the ELS:2002 website, e-mailing the transcripts as an encrypted attachment, sending by secure File Transfer Protocol (sFTP), or faxing to a secure fax machine. Instructions are provided in the packets sent to institutions, and the ELS:2002 Help Desk will respond to any questions or problems (1-866-860-5229; els@rti.org).

Once received, transcripts will be data-entered, and fields of study and courses will be coded using the 2010 College Course Map¹, a postsecondary coding taxonomy.

Confidentiality

The Education Longitudinal Study of 2002 is being conducted under the authority of the Education Sciences Reform Act of 2002 (ESRA) (20 U.S.C. § 9543). Under ESRA, NCES, within the U.S. Department of Education's Institute of Education Sciences, is authorized to collect and disseminate information about education in the United States. Collection is most often done through surveys. NCES is required to follow strict procedures to protect the confidentiality of persons in the **collection, reporting, and publication of data** and adheres to the guidelines issued by the Office of Management and Budget in the *Federal Statistical Confidentiality Order of 1997* for ensuring the privacy and confidentiality of data collected for statistical purposes.

The Family Educational Rights and Privacy Act of 1974 (FERPA) (20 U.S.C. 1232g) allows for the release of institution record information to the Secretary of Education or his agent without prior consent of survey members (20 U.S.C. 1232g[b][3]). RTI International, as the contractor for NCES, has been given the authority to collect information from institution records under federal law.

All responses that relate to or describe identifiable characteristics of individuals 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.C. § 9573)).

Protection of Electronic Files

All electronic files from institution records are carefully protected. Computer accounts used to access data are password protected with multilevel controls to ensure that only those individuals with a need to access confidential information are able to do so. For the website, where the list of sample members who attended your institution is located and where you can upload data if that data transmission method is preferred, proven methods of protection for online sessions and data security are used. Data transmitted over the Internet are encrypted using Secure Sockets Layer (SSL) protocol. All modules with sample member identifiers on the study website are password protected, which requires the user to log in to the site before accessing confidential data. To prevent unauthorized user access, the system automatically logs the user out after 30 minutes of inactivity.

Protection of Paper Records

All paper records are maintained in locked storage cabinets. A unique study identification variable (not the Social Security number or school ID) is created and maintained for each survey participant to protect against disclosure of confidential data.

Preparation of Data for Public Release

¹ Bryan, M. & Simone, S. (2012). *2010 College Course Map* (NCES 2012-162REV). National Center for Education Statistics, Institute of Education Sciences, U.S. Department of Education. Washington, DC. Retrieved [date] from <http://nces.ed.gov/pubsearch>.

All data released to the general public (for example, statistical tables) will be designed so that it will not be possible to identify specific individuals.

Violations

All personnel with access to individual data will be required to sign a confidentiality agreement and an affidavit of nondisclosure. Anyone who violates ESRA's confidentiality provisions when using the data will be found guilty of a Class E felony and may be imprisoned for up to 5 years and/or fined up to \$250,000.

For assistance with the ELS:2002 Postsecondary Education Transcript Study, please contact:

ELS:2002 Help Desk
1-866-860-5229 (toll-free)

At RTI International

Tiffany Mattox
Transcript Collection Manager, ELS:2002
1-919-485-7791
els@rti.org

Daniel Pratt
Project Director, ELS:2002
1-919-541-6615
djp@rti.org

At the National Center for Education Statistics

Elise Christopher
Project Officer, ELS:2002
1-202-502-7899
elise.christopher@ed.gov

Sponsored by
U.S. Department of Education
National Center for Education Statistics
Washington, DC
<http://nces.ed.gov>

January 2013

DISCLOSURE NOTICE

The transcript data for this student have been provided to RTI International, a nonprofit research organization and agent for the U.S. Department of Education, National Center for Education Statistics (NCES). This disclosure statement fulfills the requirements of 34 CFR 99.32(a) pursuant to the *Family Educational Rights and Privacy Act (FERPA)* (20 U.S.C. 1232g).

The transcript data were requested for the Education Longitudinal Study of 2002 Postsecondary Education Transcript Study. NCES is authorized by federal law to conduct this voluntary study. Responses and student record information may 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 (ESRA 2002, 20 U.S.C., § 9573). Data from these records will be combined with others into statistical summaries and tables. No individual data (e.g., names or addresses) will be reported.

OMB # 1850-0652

Expiration Date: <insert date>

Student Transcript Fax Test Page

«ProjectCode»

IPEDS ID#: «School_ID»

Name of Sender: _____

Date: _____

Telephone number: _____

Fax number: _____

Instructions:

Please fax this document to <faxnumber> as a test page.

You will receive a confirmation that we received your fax. Once you have our confirmation, please fax the completed Student Transcript Fax Transmittal Sheet that you received in your packet and your students' transcripts to the same number.

If you need assistance, please contact our Fax Helpline at 1-866-860-5229.

****WARNING: This transmission contains confidential information. Please exercise appropriate security. ****

Student Transcript Fax Transmittal Sheet

«ProjectCode»

IPEDS ID#: «School_ID»

Name of Sender: _____

Date: _____

Telephone number: _____

Fax number: _____

Number of pages (including this transmittal sheet): _____

Number of students whose transcripts were requested: «tot_cnt»

Number of students whose transcripts you are sending: _____

Number of transcripts you are sending (there could be multiple per student): _____

Instructions:

Be sure that you have faxed the Student Transcript Fax Test Page and have been contacted to confirm its receipt before sending this page or the transcripts.

If a student transferred to your institution from another institution, please also send copies of any transcripts that you have from other institutions (unless that information is already included on the transcript from your institution).

Once you have filled out the top of this document, please fax it and student transcripts to <fax number>.

If you need assistance, please contact our Fax Helpline at 1-866-860-5229.

Catalog Transmittal Sheet
 «ProjectCode»

IPEDS ID#: «School_ID»

Name of Sender: _____

Date: _____

Telephone number: _____

In order to properly code the transcript data we will receive for your students, we need to obtain a copy of your institution’s course catalogs, bulletins, or other materials that describe the course offerings for each academic year listed below.

<cat_yr_needed> <level>
 <cat_yr_needed> <level>
 <cat_yr_needed> <level>
 <cat_yr_needed> <level>

Instructions:

If the catalog(s) exist electronically, please send an e-mail to els@rti.org and either direct us to the catalog(s) online or send the catalog(s) as an attachment. If you need to send hard copy catalogs, please place check marks in the appropriate columns below to indicate the types of course catalogs you are sending for each year. Please do not send catalogs for which “not needed” appears. Please keep a copy of this completed sheet for your records and send the original to RTI with the catalogs using the FedEx materials provided.

Academic Year	Type of catalog provided (<i>please place checks or comments as appropriate</i>)			
	Institution-wide/general	Undergraduate	Graduate	Other school/program (<i>please specify</i>)

ELS:2002 Postsecondary Education Transcripts (ELS:2002 PETS)

The analysis topics for the ELS:2002 PETS were outlined in the research and policy issues presented in section A.2 above. The ELS:2002 PETS data elements are presented as a list of items arranged by logical grouping: courses, terms, degrees, and institution. Some institution-level data elements will be collected through a data linkage with the IPEDS such as level of offering, institutional control, and calendar system.

Course data elements

- Course name and number
- Course code (coded using College Course Map:2010)²
- Course start and end dates
- Course grade (letter, number or other)
- Credit or clock hours awarded
- Grade points
- Alternative course credit (e.g. for military service, work experience, advanced placement tests)
- Transfer course and credits

Term data elements

- Term start and end dates
- Number of courses/credits attempted and earned during a term
- Term GPA

Degree data elements

- Program type, including type of AA or BA
- Degree award, including dates
- Major field of study, including codes (coded using the 2010 Classification of Instructional Programs codes, <http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55>) for up to two majors and minors, and concentration.

Institution data elements

- Grading system and GPA scale
- Clock or credit hours

² Bryan, M. & Simone, S. (2012). *2010 College Course Map* (NCES 2012-162REV). National Center for Education Statistics, Institute of Education Sciences, U.S. Department of Education. Washington, DC. Retrieved [date] from <http://nces.ed.gov/pubsearch>.

