

Appendix F through G

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Appendix F
Transcript Data Request Contacting Materials and
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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 High School Longitudinal Study of 2009 (HSLs:09) Postsecondary Education Transcript Study. As Peggy Carr, Acting Commissioner of the National Center for Education Statistics, indicates in the enclosed letter, this study is designed to collect transcript data for students participating in HSLs:09 that attended your institution. Authorized by federal law (Education Sciences Reform Act of 2002, 20 U.S.C. § 9543), HSLs:09 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 NCES postsecondary data portal 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 <helplinenumber> or e-mail at HSLRecords@rti.org.

Sincerely,

Daniel Pratt
HSLs:09 Project Director

Please visit the study website for more information:

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

[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 High School Longitudinal Study of 2009 (HSLs:09) 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. HSLs:09 collects information on individuals who were sampled from their high schools as 9th graders in 2009. Their questionnaire asks about their work and further schooling experiences.

As part of this study, NCES is requesting transcripts for HSLs:09 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 HSLs:09 are available at <http://nces.ed.gov/surveys/hsls09/>.

The Family Educational Rights and Privacy Act of 1974 (FERPA) (20 U.S.C. § 1232[g]) allows for the release of institution record information to the Secretary of Education or his agent without prior consent of survey members (34 CFR § 99.31[a]). 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, 20 U.S.C. § 9573). RTI International, as the contractor for NCES, has been given the authority to collect information from institution records under federal law. The enclosed *Family Educational Rights and Privacy Act Fact Sheet* includes the text of the FERPA requirements, with passages that authorize this transcript data collection highlighted.

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 HSLs:09 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,

Peggy Carr, Ph.D.
Acting Commissioner
National Center for Education Statistics

Transcript Request from Endorsing Agency

Dear Colleague:

I am writing to ask for your assistance with the High School Longitudinal Study of 2009 (HSL:09) Postsecondary Education Transcript Study. HSL:09 seeks transcript data from postsecondary institutions to supplement student interview data collected for an important longitudinal study that is endorsed by [ENDORISING AGENCIES¹].

HSL:09 collects data on a cohort of students that were sampled as 9th graders in 2009 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.

HSL:09 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). The Family Educational Rights and Privacy Act of 1974 (FERPA) (20 U.S.C. § 1232[g]) allows for the release of institution record information to the Secretary of Education or his agent without prior consent of survey members (34 CFR § 99.31[a]). 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, 20 U.S.C. § 9573). RTI International, as the contractor for NCES, has been given the authority to collect information from institution records under federal law.

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

Sincerely,

[NAME]
[TITLE, ENDORSING AGENCY]

¹ Endorsements will be sought for the transcript collection in 2016.

Sample² List of Endorsing 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

² Endorsements will be sought for the transcript collection in 2016.

Guide to the High School Longitudinal Study of 2009 (HSLs:09) Postsecondary Education Transcript Study

Text for the HSLs:09 PETS Instructions for Sending Data

There are 5 primary steps for providing data. You will need to access the secure NCES postsecondary data portal website at <https://surveys.nces.ed.gov/portal>. 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 Task 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. Each is described below.

Uploading to the Secure NCES Postsecondary Data Portal 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 Task 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 HSLsrecords@rti.org and include the file names and descriptions. If you need assistance with this process, please contact the Help Desk toll-free at <helplinephone> or via email at HSLsrecords@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 <helplinephone> or via email at HSLRecords@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 HSLRecords@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 HSLRecords@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.

Family Educational Rights and Privacy Act Fact Sheet

34 CFR PART 99

Subpart A—GENERAL

- §99.1 To which educational agencies or institutions do these regulations apply?
- §99.2 What is the purpose of these regulations?
- §99.3 What definitions apply to these regulations?
- §99.4 What are the rights of parents?
- §99.5 What are the rights of students?
- §99.7 What must an educational agency or institution include in its annual notification?
- §99.8 What provisions apply to records of a law enforcement unit?

Subpart B—WHAT ARE THE RIGHTS OF INSPECTION AND REVIEW OF EDUCATION RECORDS?

- §99.10 What rights exist for a parent or eligible student to inspect and review education records?
- §99.11 May an educational agency or institution charge a fee for copies of education records?
- §99.12 What limitations exist on the right to inspect and review records?

Subpart C—WHAT ARE THE PROCEDURES FOR AMENDING EDUCATION RECORDS?

- §99.20 How can a parent or eligible student request amendment of the student's education records?
- §99.21 Under what conditions does a parent or eligible student have the right to a hearing?
- §99.22 What minimum requirements exist for the conduct of a hearing?

Subpart D—MAY AN EDUCATIONAL AGENCY OR INSTITUTION DISCLOSE PERSONALLY IDENTIFIABLE INFORMATION FROM EDUCATION RECORDS?

- §99.30 Under what conditions is prior consent required to disclose information?
- §99.31 Under what conditions is prior consent not required to disclose information?
- §99.32 What recordkeeping requirements exist concerning requests and disclosures?
- §99.33 What limitations apply to the redisclosure of information?
- §99.34 What conditions apply to disclosure of information to other educational agencies or institutions?
- §99.35 What conditions apply to disclosure of information for Federal or State program purposes?
- §99.36 What conditions apply to disclosure of information in health and safety emergencies?
- §99.37 What conditions apply to disclosing directory information?
- §99.38 What conditions apply to disclosure of information as permitted by State statute adopted after November 19, 1974, concerning the juvenile justice system?
- §99.39 What definitions apply to the nonconsensual disclosure of records by postsecondary educational institutions in connection with disciplinary proceedings concerning crimes of violence or non-forcible sex offenses?

Subpart E—WHAT ARE THE ENFORCEMENT PROCEDURES?

- §99.60 What functions has the Secretary delegated to the Office and to the Office of Administrative Law Judges?
- §99.61 What responsibility does an educational agency or institution, a recipient of Department funds, or a third party outside of an educational agency or institution have concerning conflict with State or local laws?
- §99.62 What information must an educational agency or institution or other recipient of Department funds submit to the Office?

§99.63 Where are complaints filed?

§99.64 What is the investigation procedure?

§99.65 What is the content of the notice of investigation issued by the Office?

§99.66 What are the responsibilities of the Office in the enforcement process?

§99.67 How does the Secretary enforce decisions?

Subpart A—GENERAL

§99.1 To which educational agencies or institutions do these regulations apply?

(a) Except as otherwise noted in §99.10, this part applies to an educational agency or institution to which funds have been made available under any program administered by the Secretary, if—

(1) The educational institution provides educational services or instruction, or both, to students; or

(2) The educational agency is authorized to direct and control public elementary or secondary, or postsecondary educational institutions.

(b) This part does not apply to an educational agency or institution solely because students attending that agency or institution receive non-monetary benefits under a program referenced in paragraph (a) of this section, if no funds under that program are made available to the agency or institution.

(c) The Secretary considers funds to be made available to an educational agency or institution of funds under one or more of the programs referenced in paragraph (a) of this section—

(1) Are provided to the agency or institution by grant, cooperative agreement, contract, subgrant, or subcontract; or

(2) Are provided to students attending the agency or institution and the funds may be paid to the agency or institution by those students for educational purposes, such as under the Pell Grant Program and the Guaranteed Student Loan Program (titles IV-A-1 and IV-B, respectively, of the Higher Education Act of 1965, as amended).

(d) If an educational agency or institution receives funds under one or more of the programs covered by this section, the regulations in this part apply to the recipient as a whole, including each of its components (such as a department within a university).

(Authority: 20 U.S.C. 1232g)

Subpart D—MAY AN EDUCATIONAL AGENCY OR INSTITUTION DISCLOSE PERSONALLY IDENTIFIABLE INFORMATION FROM EDUCATION RECORDS?

§99.30 Under what conditions is prior consent required to disclose information?

(a) The parent or eligible student shall provide a signed and dated written consent before an educational agency or institution discloses personally identifiable information from the student's education records, except as provided in §99.31.

(b) The written consent must:

(1) Specify the records that may be disclosed;

(2) State the purpose of the disclosure; and

(3) Identify the party or class of parties to whom the disclosure may be made.

(c) When a disclosure is made under paragraph (a) of this section:

(1) If a parent or eligible student so requests, the educational agency or institution shall provide him or her with a copy of the records disclosed; and

(2) If the parent of a student who is not an eligible student so requests, the agency or institution shall provide the student with a copy of the records disclosed.

(d) "Signed and dated written consent" under this part may include a record and signature in electronic form that—

(1) Identifies and authenticates a particular person as the source of the electronic consent; and

(2) Indicates such person's approval of the information contained in the electronic consent.

(Authority: 20 U.S.C. 1232g (b)(1) and (b)(2)(A))

§99.31 Under what conditions is prior consent not required to disclose information?

(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 of the following conditions:

(1)(i)(A) The disclosure is to other school officials, including teachers, within the agency or institution whom the agency or institution has determined to have legitimate educational interests.

(B) A contractor, consultant, volunteer, or other party to whom an agency or institution has outsourced institutional services or functions may be considered a school official under this paragraph provided that the outside party—

(1) Performs an institutional service or function for which the agency or institution would otherwise use employees;

(2) Is under the direct control of the agency or institution with respect to the use and maintenance of education records; and

(3) Is subject to the requirements of §99.33(a) governing the use and redisclosure of personally identifiable information from education records.

(ii) An educational agency or institution must use reasonable methods to ensure that school officials obtain access to only those education records in which they have legitimate educational interests. An educational agency or institution that does not use physical or technological access controls must ensure that its administrative policy for controlling access to education records is effective and that it remains in compliance with the legitimate educational interest requirement in paragraph (a)(1)(i)(A) of this section.

(2) The disclosure is, subject to the requirements of §99.34, to officials of another school, school system, or institution of postsecondary education where the student seeks or intends to enroll, or where the student is already enrolled so long as the disclosure is for purposes related to the student's enrollment or transfer.

NOTE: Section 4155(b) of the No Child Left Behind Act of 2001, 20 U.S.C. 7165(b), requires each State to assure the Secretary of Education that it has a procedure in place to facilitate the transfer of disciplinary records with respect to a suspension or expulsion of a student by a local educational agency to any private or public elementary or secondary school in which the student is subsequently enrolled or seeks, intends, or is instructed to enroll.

(3) The disclosure is, subject to the requirements of §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.

(4)(i) The disclosure is in connection with financial aid for which the student has applied or which the student has received, if the information is necessary for such purposes as to:

(A) Determine eligibility for the aid;

(B) Determine the amount of the aid;

(C) Determine the conditions for the aid; or

(D) Enforce the terms and conditions of the aid.

(ii) As used in paragraph (a)(4)(i) of this section, *financial aid* means a payment of funds provided to an individual (or a payment in kind of tangible or intangible property to the individual) that is conditioned on the individual's attendance at an educational agency or institution.

(5)(i) The disclosure is to State and local officials or authorities to whom this information is specifically—

(A) Allowed to be reported or disclosed pursuant to State statute adopted before November 19, 1974, if the allowed reporting or disclosure concerns the juvenile justice system and the system's ability to effectively serve the student whose records are released; or

(B) Allowed to be reported or disclosed pursuant to State statute adopted after November 19, 1974, subject to the requirements of §99.38.

(ii) Paragraph (a)(5)(i) of this section does not prevent a State from further limiting the number or type of State or local officials to whom disclosures may be made under that paragraph.

(6)(i) The disclosure is to organizations conducting studies for, or on behalf of, educational agencies or institutions to:

(A) Develop, validate, or administer predictive tests;

(B) Administer student aid programs; or

(C) Improve instruction.

(ii) Nothing in the Act or this part prevents a State or local educational authority or agency headed by an official listed in paragraph (a)(3) of this section from entering into agreements with organizations conducting studies under paragraph (a)(6)(i) of this section and redisclosing personally identifiable information from education records on behalf of educational agencies and institutions that disclosed the information to the State or local educational authority or agency headed by an official listed in paragraph (a)(3) of this section in accordance with the requirements of §99.33(b).

(iii) An educational agency or institution may disclose personally identifiable information under paragraph (a)(6)(i) of this section, and a State or local educational authority or agency headed by an official listed in paragraph (a)(3) of this section may redisclose personally identifiable information under paragraph (a)(6)(i) and (a)(6)(ii) of this section, only if—

(A) The study is conducted in a manner that does not permit personal identification of parents and students by individuals other than representatives of the organization that have legitimate interests in the information;

(B) The information is destroyed when no longer needed for the purposes for which the study was conducted; and

(C) The educational agency or institution or the State or local educational authority or agency headed by an official listed in paragraph (a)(3) of this section enters into a written agreement with the organization that—

(1) Specifies the purpose, scope, and duration of the study or studies and the information to be disclosed;

(2) Requires the organization to use personally identifiable information from education records only to meet the purpose or purposes of the study as stated in the written agreement;

(3) Requires the organization to conduct the study in a manner that does not permit personal identification of parents and students, as defined in this part, by anyone other than representatives of the organization with legitimate interests; and

(4) Requires the organization to destroy all personally identifiable information when the information is no longer needed for the purposes for which the study was conducted and specifies the time period in which the information must be destroyed.

(iv) An educational agency or institution or State or local educational authority or Federal agency headed by an official listed in paragraph (a)(3) of this section is not required to initiate a study or agree with or endorse the conclusions or results of the study.

(v) For the purposes of paragraph (a)(6) of this section, the term *organization* includes, but is not limited to, Federal, State, and local agencies, and independent organizations.

(7) The disclosure is to accrediting organizations to carry out their accrediting functions.

(8) The disclosure is to parents, as defined in §99.3, of a dependent student, as defined in section 152 of the Internal Revenue Code of 1986.

(9)(i) The disclosure is to comply with a judicial order or lawfully issued subpoena.

(ii) The educational agency or institution may disclose information under paragraph (a)(9)(i) of this section only if the agency or institution makes a reasonable effort to notify the parent or eligible student of the order or subpoena in advance of compliance, so that the parent or eligible student may seek protective action, unless the disclosure is in compliance with—

(A) A Federal grand jury subpoena and the court has ordered that the existence or the contents of the subpoena or the information furnished in response to the subpoena not be disclosed;

(B) Any other subpoena issued for a law enforcement purpose and the court or other issuing agency has ordered that the existence or the contents of the subpoena or the information furnished in response to the subpoena not be disclosed; or

(C) An *ex parte* court order obtained by the United States Attorney General (or designee not lower than an Assistant Attorney General) concerning investigations or prosecutions of an offense listed in 18 U.S.C. 2332b(g)(5)(B) or an act of domestic or international terrorism as defined in 18 U.S.C. 2331.

(iii)(A) If an educational agency or institution initiates legal action against a parent or student, the educational agency or institution may disclose to the court, without a court order or subpoena, the education records of the student that are relevant for the educational agency or institution to proceed with the legal action as plaintiff.

(B) If a parent or eligible student initiates legal action against an educational agency or institution, the educational agency or institution may disclose to the court, without a court order or subpoena, the student's education records that are relevant for the educational agency or institution to defend itself.

(10) The disclosure is in connection with a health or safety emergency, under the conditions described in §99.36.

(11) The disclosure is information the educational agency or institution has designated as “directory information”, under the conditions described in §99.37.

(12) The disclosure is to the parent of a student who is not an eligible student or to the student.

(13) The disclosure, subject to the requirements in §99.39, is to a victim of an alleged perpetrator of a crime of violence or a non-forcible sex offense. The disclosure may only include the final results of the disciplinary proceeding conducted by the institution of postsecondary education with respect to that alleged crime or offense. The institution may disclose the final results of the disciplinary proceeding, regardless of whether the institution concluded a violation was committed.

(14)(i) The disclosure, subject to the requirements in §99.39, is in connection with a disciplinary proceeding at an institution of postsecondary education. The institution must not disclose the final results of the disciplinary proceeding unless it determines that—

(A) The student is an alleged perpetrator of a crime of violence or non-forcible sex offense; and

(B) With respect to the allegation made against him or her, the student has committed a violation of the institution's rules or policies.

(ii) The institution may not disclose the name of any other student, including a victim or witness, without the prior written consent of the other student.

(iii) This section applies only to disciplinary proceedings in which the final results were reached on or after October 7, 1998.

(15)(i) The disclosure is to a parent of a student at an institution of postsecondary education regarding the student's violation of any Federal, State, or local law, or of any rule or policy of the institution, governing the use or possession of alcohol or a controlled substance if—

(A) The institution determines that the student has committed a disciplinary violation with respect to that use or possession; and

(B) The student is under the age of 21 at the time of the disclosure to the parent.

(ii) Paragraph (a)(15) of this section does not supersede any provision of State law that prohibits an institution of postsecondary education from disclosing information.

(16) The disclosure concerns sex offenders and other individuals required to register under section 170101 of the Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. 14071, and the information was provided to the educational agency or institution under 42 U.S.C. 14071 and applicable Federal guidelines.

(b)(1) *De-identified records and information.* An educational agency or institution, or a party that has received education records or information from education records under this part, may release the records or information without the consent required by §99.30 after the removal of all personally identifiable information provided that the educational agency or institution or other party has made a reasonable determination that a student's identity is not personally identifiable, whether through single or multiple releases, and taking into account other reasonably available information.

(2) An educational agency or institution, or a party that has received education records or information from education records under this part, may release de-identified student level data from education records for the purpose of education research by attaching a code to each record that may allow the recipient to match information received from the same source, provided that—

(i) An educational agency or institution or other party that releases de-identified data under paragraph (b) (2) of this section does not disclose any information about how it generates and assigns a record code, or that would allow a recipient to identify a student based on a record code;

(ii) The record code is used for no purpose other than identifying a de-identified record for purposes of education research and cannot be used to ascertain personally identifiable information about a student; and

(iii) The record code is not based on a student's social security number or other personal information.

(c) An educational agency or institution must use reasonable methods to identify and authenticate the identity of parents, students, school officials, and any other parties to whom the agency or institution discloses personally identifiable information from education records.

(d) Paragraphs (a) and (b) of this section do not require an educational agency or institution or any other party to disclose education records or information from education records to any party except for parties under paragraph (a)(12) of this section.

(Authority: 20 U.S.C. 1232g(a)(5)(A), (b), (h), (i), and (j)).

§99.32 What recordkeeping requirements exist concerning requests and disclosures?

(a)(1) An educational agency or institution must maintain a record of each request for access to and each disclosure of personally identifiable information from the education records of each student, as well as the names of State and local educational authorities and Federal officials and agencies listed in §99.31(a)(3) that may make further disclosures of personally identifiable information from the student's education records without consent under §99.33(b).

(2) The agency or institution shall maintain the record with the education records of the student as long as the records are maintained.

(3) For each request or disclosure the record must include:

(i) The parties who have requested or received personally identifiable information from the education records; and

(ii) The legitimate interests the parties had in requesting or obtaining the information.

(4) An educational agency or institution must obtain a copy of the record of further disclosures maintained under paragraph (b)(2) of this section and make it available in response to a parent's or eligible student's request to review the record required under paragraph (a)(1) of this section.

(5) An educational agency or institution must record the following information when it discloses personally identifiable information from education records under the health or safety emergency exception in §99.31(a)(10) and §99.36:

(i) The articulable and significant threat to the health or safety of a student or other individuals that formed the basis for the disclosure; and

(ii) The parties to whom the agency or institution disclosed the information.

(b)(1) Except as provided in paragraph (b)(2) of this section, if an educational agency or institution discloses personally identifiable information from education records with the understanding authorized under §99.33(b), the record of the disclosure required under this section must include:

(i) The names of the additional parties to which the receiving party may disclose the information on behalf of the educational agency or institution; and

(ii) The legitimate interests under §99.31 which each of the additional parties has in requesting or obtaining the information.

(2)(i) A State or local educational authority or Federal official or agency listed in §99.31(a)(3) that makes further disclosures of information from education records under §99.33(b) must record the names of the additional parties to which it discloses information on behalf of an educational agency or institution and their legitimate interests in the information under §99.31 if the information was received from:

(A) An educational agency or institution that has not recorded the further disclosures under paragraph (b)(1) of this section; or

(B) Another State or local educational authority or Federal official or agency listed in §99.31(a)(3).

(ii) A State or local educational authority or Federal official or agency that records further disclosures of information under paragraph (b)(2)(i) of this section may maintain the record by the student's class, school, district, or other appropriate grouping rather than by the name of the student.

(iii) Upon request of an educational agency or institution, a State or local educational authority or Federal official or agency listed in §99.31(a)(3) that maintains a record of further disclosures under paragraph (b)(2)(i) of this section must provide a copy of the record of further disclosures to the educational agency or institution within a reasonable period of time not to exceed 30 days.

(c) The following parties may inspect the record relating to each student:

(1) The parent or eligible student.

(2) The school official or his or her assistants who are responsible for the custody of the records.

(3) Those parties authorized in §99.31(a)(1) and (3) for the purposes of auditing the recordkeeping procedures of the educational agency or institution.

(d) Paragraph (a) of this section does not apply if the request was from, or the disclosure was to:

(1) The parent or eligible student;

(2) A school official under §99.31(a)(1);

(3) A party with written consent from the parent or eligible student;

(4) A party seeking directory information; or

(5) A party seeking or receiving records in accordance with §99.31(a)(9)(ii)(A) through (C).

(Authority: 20 U.S.C. 1232g(b)(1) and (b)(4)(A))

§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 §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) The State or local educational authority or agency headed by an official listed in §99.31(a)(3) is responsible for using reasonable methods to ensure to the greatest extent practicable that any entity or individual designated as its authorized representative—

(i) Uses personally identifiable information only to carry out an audit or evaluation of Federal- or State-supported education programs, or for the enforcement of or compliance with Federal legal requirements related to these programs;

(ii) Protects the personally identifiable information from further disclosures or other uses, except as authorized in paragraph (b)(1) of this section; and

(iii) Destroys the personally identifiable information in accordance with the requirements of paragraphs (b) and (c) of this section.

(3) The State or local educational authority or agency headed by an official listed in §99.31(a)(3) must use a written agreement to designate any authorized representative, other than an employee. The written agreement must—

(i) Designate the individual or entity as an authorized representative;

(ii) Specify—

(A) The personally identifiable information from education records to be disclosed;

(B) That the purpose for which the personally identifiable information from education records is disclosed to the authorized representative is to carry out an audit or evaluation of Federal- or State-supported education programs, or to enforce or to comply with Federal legal requirements that relate to those programs; and

(C) A description of the activity with sufficient specificity to make clear that the work falls within the exception of §99.31(a)(3), including a description of how the personally identifiable information from education records will be used;

(iii) Require the authorized representative to destroy personally identifiable information from education records when the information is no longer needed for the purpose specified;

(iv) Specify the time period in which the information must be destroyed; and

(v) Establish policies and procedures, consistent with the Act and other Federal and State confidentiality and privacy provisions, to protect personally identifiable information from education records from further disclosure (except back to the disclosing entity) and unauthorized use, including limiting use of personally identifiable information from education records to only authorized representatives with legitimate interests in the audit or evaluation of a Federal- or State-supported education program or for compliance or enforcement of Federal legal requirements related to these programs.

(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 State or local educational authority or agency headed by an official listed in §99.31(a)(3) and their authorized representatives, except that the State or local educational authority or agency headed by an official listed in §99.31(a)(3) 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 §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 §99.30; or

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

(Authority: 20 U.S.C. 1232g(b)(1)(C), (b)(3), and (b)(5))

Text for the High School Longitudinal Study of 2009 (HSLs:09) Postsecondary Education Transcript Study (PETS) Brochure

The National Center for Education Statistics (NCES), U.S. Department of Education, is conducting the High School Longitudinal Study of 2009 (HSLs:09). 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. HSLs:09 data, collected under authority of the Education Sciences Reform Act of 2002 (20 U.S.C. § 9543), will 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 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 HSLs:09. 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

HSLs:09 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. HSLs:09 publications and data can also be accessed electronically through NCES's HSLs:09 website: <http://nces.ed.gov/surveys/hsls09/>. A bibliography of HSLs:09 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 HSLs:09 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

HSLs:09 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). HSLs:09 data are collected for NCES by RTI International.

Transcript Collection Procedures

All known institutions attended by HSLs:09 participants will be contacted for the first time beginning in February 2017. The NCES postsecondary data portal website (<https://surveys.nces.ed.gov/portal>) 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 3,500 institutions associated with the proportion of the approximately 16,150 HSLs:09 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 NCES postsecondary data portal 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 Help Desk will respond to any questions or problems (<helpdeskphone>; HSLRecords@rti.org).

Once received, transcripts will be data-entered, and fields of study and courses will be coded using the 2010 College Course Map³, a postsecondary coding taxonomy.

Confidentiality

The High School Longitudinal Study of 2009 is being conducted by NCES under the authority of the Education Sciences Reform Act of 2002 (ESRA) (20 U.S.C. § 9543), which authorizes NCES 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. § 1232[g]) allows for the release of institution record information to the Secretary of Education or his agent without prior consent of survey members (34 CFR § 99.31[a]). 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, 20 U.S.C. § 9573). RTI International, as the contractor for NCES, has been given the authority to collect information from institution records under federal law.

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 20 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

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. Project staff is subject to large fines or imprisonment if individual responses are disclosed.

For assistance with the HSLs:09 Postsecondary Education Transcript Study, please contact:

Help Desk
<helpdeskphone> (toll-free)

³ 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>.

At RTI International

Tiffany Mattox
Transcript Collection Manager, HSLs:09
1-919-485-7791
HSLsrecords@rti.org

Daniel Pratt
Project Director, HSLs:09
1-919-541-6615
djp@rti.org

At the National Center for Education Statistics

Elise Christopher
Project Officer, HSLs:09
1-202-502-7899
elise.christopher@ed.gov

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

<date>

Disclosure Notice

Information from student records for this individual has been provided to RTI International, a data collection agent for the High School Longitudinal Study of 2009 (HSL:2009), conducted by the National Center of Education Statistics (NCES) within the U.S. Department of Education. This disclosure statement fulfills the requirement of 34 CFR 99.32(a) pursuant to the Family Educational Rights and Privacy Act of 1974 [20 U.S.C. 1232g].

This individual is included in the sample for the High School Longitudinal Study of 2009. Strict protection of all information obtained from individuals selected for participation in this study is assured by current federal laws and regulations. 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 (20 U.S.C. § 9573).

(date collection begins)

OMB # 1850-0852

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 <helplinephone>.

****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 <helplinephone>.

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 HSLRecords@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>)

HSLs:09 Postsecondary Education Transcripts (HSLs:09 PETS) Data Elements

The analysis topics for the HSLs:09 PETS were outlined in the research and policy issues presented in Supporting Statement Part A section A.2. The HSLs:09 PETS will include the same data elements as the previously-approved PETS in ELS:02, B&B:08/09, and BPS:04/09, including: case information, schools and terms, academic honors, tests, degrees and majors, and courses. The HSLs:09 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)⁴
- 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

⁴ 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>.

- Clock or credit hours

Appendix G
Student Records Request
Contacting Materials and Data Elements

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Transcript and Student Records Collection Letter to Chief Administrator

The text of the letter is also sent in an e-mail.

(date)

(Salutation) (FirstName) (LastName)
(Title)
(Institution)
(Address)
(City), (State) (Zip)

Your IPEDS UNITID: (UnitID)
Your password: (Password)

Dear (Salutation) (LastName):

[A student/students] from (Institution) [has/have] been participating in the High School Longitudinal Study of 2009 (HSLs:09) that is being conducted by the National Center for Education Statistics with data collection being carried out by RTI International, a nonprofit research organization. HSLs:09 is authorized by federal law under the Education Sciences Reform Act of 2002 (20 U.S.C. § 9543). I am writing to alert you that the current data collection effort includes requesting transcripts and student records data for these students from your institution. Your registrar will be asked to provide transcripts and the financial aid director will be asked to provide information on the enrollment status, demographic characteristics, and financial assistance for each sampled student.

The enclosed materials describe our data collection process and provide a summary description of the laws and procedures safeguarding the confidentiality of all data collected. Any 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, 20 U.S.C. § 9573). Additional information, including reports based on data from previous rounds of HSLs:09, is available on the NCES website at <http://nces.ed.gov/surveys/hsls09/>.

We are providing you with advance notice of the study to allow adequate time to plan for data collection and, if needed, to contact us for more information prior to that time.

If you have any questions about the study or the data collection process, please contact the HSLs:09 project director, Daniel Pratt, at <helplinephone> or via e-mail at hsls@rti.org. You may also direct questions to the NCES Project Officer, Elise Christopher, Ph.D. at 1-202-502-7899 or at elise.christopher@ed.gov.

We look forward to your participation in this important study. Thank you for your cooperation.

Sincerely,

Peggy Carr, Ph.D.
Acting Commissioner
National Center for Education Statistics

Enclosures

For more information on the data collection, please visit:

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

Your IPEDS UNITID: (UnitID)
Your password: (Password)

Student Records Request Letter to Financial Aid Personnel

The text of the letter is also sent in an e-mail.

<date>

«salutation» «fname» «lname»

«Title»

«entity_name»

«phys_addr1»

«phys_addr2»

«phys_city», «phys_state» «phys_zip»

Your IPEDS UNITID: «entity_id»

Your password: «password»

Student Records Data Due: «expected_date_curr»

Dear «salutation» «lname»,

(Institution) has been selected to participate in the High School Longitudinal Study of 2009 (HSLs:09) Financial Aid Records collection. The study is authorized by federal law under the Education Sciences Reform Act of 2002 (20 U.S.C. § 9543). HSLs:09 is being conducted by NCES with data collection being carried out by RTI International, a nonprofit research organization. We ask that you provide student record data for sampled students who attended your institution using the secure Web application developed for HSLs:09. Please complete the record abstraction and provide the requested data for these students on or before **[DUE DATE]**.

We have developed an Internet-based Student Records System through which you (or someone on your staff) will be able to provide data for your selected students. The Student Records System is located on the secure NCES postsecondary data portal website: <https://surveys.nces.ed.gov/portal>.

To assist you with the process of providing student record data, we have enclosed a *Quick Guide to Providing Student Records Data* describing how to access and use the Student Records software. You can find details on what data we need to obtain for each sampled student from the Instructions link on the NCES postsecondary data portal website. A list of your sampled students can also be found on the website, and you can easily print a hardcopy if you would like one.

There are three different methods available for providing the student data through the Student Records System. Data can be entered directly into the web-based system, you can download and complete an Excel template and then upload it, or a programmer at your institution can create and upload data files following the specifications on the website. Regardless of the method you choose, you will be able to review the provided data on screen in the Student Records System.

Please be assured that the security of your students' data is of the utmost importance, and the Student Records software has been developed with this in mind. The system encrypts all data, with the latest technologies before transmitting them over the Internet to NCES. In addition, access to the list of students (and to the forms used to enter their data) will require authentication using your IPEDS UNITID and unique password. They are printed below for your convenience. Please ensure that access is given only to those at your institution who will provide student records data.

Soon, we will call you to confirm your receipt of this material and the completion date for providing student records data. RTI's Help Desk staff will be available from 9:00 a.m. to 6:00 p.m. ET, Monday through Friday, to answer any questions you may have about the study or about using the Student Records System. You may contact the Help Desk at <helplinephone>, toll-free, or via e-mail at HSLsrecords@rti.org.

Again, thank you for your continued participation in this important study.

Sincerely,

Elise Christopher, Ph.D.
Project Officer, HSLs:09
National Center for Education Statistics
elise.christopher@ed.gov
202-502-7899

Your institution's response to HSLs:09 may be completed online at:

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

[To access the Student Records System, go to the Login box on the Home page. Then enter the IPEDS UNITID below as your Username and enter the password below.](#)

Your IPEDS UNITID: «entity_id»

Your password: «password»

HSLs:09 Financial Aid Record Collection Frequently Asked Questions (FAQs)

1. What are the system requirements for using the HSLs:09 Student Records System?

To use the Web-based HSLs:09 Student Records System, your computer must possess (at a minimum):

- An Internet connection (high-speed cable is optimum).
- A web browser, such as Microsoft Internet Explorer 6.5 or higher, Firefox 3.0 or higher, Chrome 3.0 or higher, or Safari 3.0 or higher with the following:
 - 128-bit encryption. You may have to adjust your browser settings or download an update to activate 128-bit encryption.
 - JavaScript enabled. JavaScript is the programming language of the interactive sections of our website and must be enabled for many pages to work properly.
 - Secure Sockets Layer (SSL) enabled. SSL is used to provide additional security for our website and your data.
 - Session cookies enabled. Session cookies are small text files temporarily stored in your RAM until you close your browser. Session cookies are not stored on your hard drive and are automatically removed at the end of the browsing session.

2. How secure is this website?

For this and all other web-based data collections that are part of HSLs:09, proven methods of protection for online sessions and data security over the Internet are being used. Secure Sockets Layer (SSL) protocol is used to encrypt the data over the Internet. The study website is password protected and requires the user to log in to the site before accessing confidential data. The system will automatically log the user out after 20 minutes of inactivity on the session, preventing unauthorized user access to the site.

3. What about confidentiality of the data collected?

Both NCES and RTI follow strict procedures to protect the privacy and confidentiality of study participants. Any data released to the public will be in aggregate form (for example, statistical tables). Restricted use data files (which contain record-level data, but no directly identifying information) are available only to a limited number of qualified researchers, who must pledge, under penalty of law with severe fines and imprisonment, to maintain the confidentiality of the data.

4. Do we need to have the student's permission before providing this information?

No. The data request for HSLs:09 fully conforms to the requirements of the Family Educational Rights and Privacy Act of 1974 (FERPA)(34 CFR Part 99). FERPA is designed to protect the privacy rights of students and their families by providing consistent standards for the release of personally identifiable student and family information. The National Center for Education Statistics (NCES) and its data collection agent, RTI International (RTI), are permitted by the provisions of FERPA to obtain student-level data from institutions. These data are subject to strict confidentiality protections, which must be adhered to by both NCES and RTI.

Student or parental consent is not required for release of information to NCES. FERPA explicitly states in 34 CFR § 99.31 that an educational institution may disclose personally identifiable

information from an education record of a student without prior consent if the disclosure is to authorized representatives of the Secretary of Education, which includes RTI as contractor for this research. A definition of personally identifiable information can be found in 34 CFR § 99.3. Personal identifiers, such as Social Security number and student number, are included in the definition. You may review this legislation on the U.S. Department of Education's website: <http://www.ed.gov/policy/gen/reg/ferpa>.

5. By what authority does RTI collect this information?

HSLs:09 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). As the data collection agent for NCES, RTI is authorized to collect data by federal law.

6. Where do I go for the information requested?

The information needed for each of the sampled students is typically collected from three distinct (document or online) sources at your institution: the Admissions or Registrar's Office; the Bursar's or Business Office; and the Financial Aid Office. If you require assistance after reviewing the enclosed *Quick Guide to Providing Student Records Data*, please contact the Help Desk with your questions at <helplinephone>, toll-free, or via e-mail at HSLsrecords@rti.org.

7. Can I provide data files instead of keying data into the web-based system?

Yes. You or a programmer can create data files according to the specifications available on the Student Records Data page of the NCES postsecondary data portal website. After the files are uploaded, your data can be reviewed online using the Student Records System. If you have questions, please contact RTI's Help Desk at <helplinephone> or e-mail HSLsrecords@rti.org.

Disclosure Notice

Information from student records for this individual has been provided to RTI International, a data collection agent for the U.S. Department of Education for High School Longitudinal Study of 2009. This disclosure statement fulfills the requirement of 34 CFR 99.32(a)(6) pursuant to the Family Educational Rights and Privacy Act of 1974 [20 U.S.C. 1232g].

This individual is included in the sample for the High School Longitudinal Study of 2009. Strict protection of all information obtained from individuals selected for participation in this study is assured by current federal laws and regulations. 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 (20 U.S.C. § 9573).

(date collection begins)

OMB # 1850-0852

Expiration Date: (insert date)

Financial Aid Record Collection Reminder Email

Dear «salutation» «lname»:

I am writing as a follow-up to the package you should have received recently that included a letter from me about the High School Longitudinal Study of 2009 (HSL:09) Financial Aid Record collection. The letter requests that you log on to the secure NCES postsecondary data portal website and provide student records data for sampled students through the Student Records System. Please find below a link to the website as well as the username and password needed to access the site and provide data.

website: <https://surveys.nces.ed.gov/portal>

Your IPEDS UNITID: «entity_id»

Your PASSWORD: «password»

HSL:09 is being conducted by the National Center for Education Statistics, U.S. Department of Education, with data being collected by RTI International, a nonprofit research organization. The data your institution provides are very important to the success of the study.

If you have any questions about the study or procedures involved, please contact the Help Desk at <helplinephone> or via e-mail at HSLRecords@rti.org.

Thank you again for your cooperation.

Sincerely,

Daniel Pratt
Project Director, HSL:09
RTI International

Text for the HSLs:09 Financial Aid Record Collection Quick Guide to Providing Student Records Data

In order to provide student records for the High School Longitudinal Study of 2009 (HSLs:09), you will need to access the secure Student Records System at <https://surveys.nces.ed.gov/portal>. Log in using the username and password printed on the letter you received from RTI and you will see the Task menu.

NOTE: You will need your institution's username and password each time you, or other users at your institution, log in to the website. To ensure the security of your student data, it is important that you log off when you are going to be away from your computer and when you are finished with a data entry session.

Before you begin providing student records data, we need to collect some general information about your institution. From the Task menu, click Provide Institution Information for Student Records. Then click on each of the buttons to provide your institution's information, then click Save and Continue. When you have entered information in all three sections, click the Submit button on the Institution Information page. After clicking Submit, the information can be viewed, but not changed, because it is then loaded into the student-level component of the system. The link changes to View Institution Information and the Submit button disappears.

There are 2 steps for providing and submitting student records data.

1 Provide Student Records Data

The student-level data we are requesting include contacting information, budget, enrollment status, and financial aid awarded for each year the student attended. You can find details on what data are needed from the *Instructions* link on the website.

From the Task menu, click *Provide Student Record Data* to route to the Student Record Data page. Data can be provided via the Student Records System by either entering data online or preparing data offline and then uploading completed data files. Specifically, there are three options to choose from, described below.

- **Entering Data Online.** Enter data online for one student at a time. Click on *Case Mode*, then select a student and a section to begin keying. After you have entered those data, you can set the *Go to Next* button to either move to another section for that student or remain in the section and select another student. Validation (error checks) can be performed at any time by clicking *Save*. This will highlight missing data and data values that are out of the expected range or type.

- **Uploading Data Files**

Option A: Data Files Created from Our Excel Template. You may download an Excel template, fill in the requested data, and then upload the data. There is a button on the Student Records Data page to request the template. Because it must be customized for your institution, once requested, the file will be prepared overnight. When the file is ready, you will be able to click *Download Your Excel Template* and an e-mail will be sent to alert you. You will need to enable macros so that the validations can be performed and so the data will be formatted in the way we can process. If you need assistance enabling macros, please contact the Help Desk (information below). Each of the four Student Records sections has its own worksheet in the template file. If you key in the data, it will be validated as you enter it. If you cut and paste, the data will not be checked for errors until you click *Validate* or upload to the website. When keying is complete, click *Upload* on the Student Records Data page and follow the instructions.

Option B: Data Files Created by Your Programmer. A programmer at your institution can create and upload each of the four, required data files following our specifications. Both the specifications and a list of sampled students can be accessed from the Student Records Data page. We can only accept comma separated values (CSV) formatted files. When the files are ready, click *Upload* on the Student Records Data page and follow the instructions.

For both file upload options, when a file is uploaded it is checked for errors such as values outside of expected ranges. When errors are detected, they are displayed onscreen. Please correct these errors before attempting to upload the file again. The Upload Status table contains indicators for whether the file was uploaded successfully and if so, whether errors were detected.

Regardless of the way in which you provide student records data, you may review your data onscreen in the Student Records System.

2 Finalize and Submit Student Records Data

- **Review Progress and Edit Data.** When you click *Review Summary Data* on the Student Records Data page, you will be routed to the Student Records Summary page where each student has his/her own row and each section has its own column. Note the links *No Data* and *Data Saved* in the four section columns (e.g., Contact Information). *No Data* indicates that nothing has been saved (or uploaded) for the section. Please review these carefully before locking the data for a student. *Data Saved* indicates that the section has been accessed and the *Save* button pushed (or that one or more data elements were uploaded), but does not necessarily indicate that all data have been provided. If you need to edit or key data, click on the *No Data* or *Data Saved* link to route to Case-Mode for that student and section where you can enter or edit data as needed.
- **Mark as Never Attended.** If you discover that a student never attended your institution, indicate this by checking the box in the Student Never Attended column in the student's row. This action will alert us to not expect Student Records data for the student.
- **Lock Cases (Students).** After you have provided and reviewed a student's data, you will need to lock the case by clicking *Lock* in the Action column of that student's row. Locking indicates that the data for that student are final and ready to be processed by RTI. You can also click *Lock all* in the column header to indicate that all available data have been provided for all students.
- **Submit Data.** When you have provided data for all of your students and the cases are locked, please alert us by clicking the *Submit (Process My Records)* button on the Student Records Data page. Clicking the button will generate an e-mail to you confirming submission of the data.

Additional information is available on the NCES postsecondary data portal website. If you need assistance, please contact the Help Desk toll-free at <helplinephone> or via e-mail at HSLsrecords@rti.org.

Text for the High School Longitudinal Study of 2009 (HSLs:09) Financial Aid Record Collection: Information Sheet

(Front side)

How Will the Study Be Conducted?

HSLs:09 data are being collected for the National Center for Education Statistics (NCES) by RTI International, a nonprofit research organization. The HSLs:09 sample includes more than 23,000 young adults who first took part in this study as 9th graders in the spring term of 2010. We ask that institution staff provide student record information (e.g., enrollment status, aid package received) for HSLs:09 participants who attended the institution.

Data are provided through a web interface over the secure NCES postsecondary data portal website—either by data entry, uploading electronic data files, or a combination of both. The user friendly web interface for data entry and file upload has been developed to minimize the burden on institutional staff in providing student record data.

The Family Educational Rights and Privacy Act of 1974 (FERPA) (20 U.S.C. § 1232[g]) allows for the release of institution record information to the Secretary of Education or his agent without prior consent of survey members (34 CFR § 99.31[a]). 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, 20 U.S.C. § 9573). RTI International, as the contractor for NCES, has been given the authority to collect information from institution records under federal law.

A. Purpose of the Data Collection

HSLs:09 is designed to monitor the transition of a national sample of young people as they progress through high school and onto postsecondary education and/or the world of work. The study has collected data on young people in high school from multiple perspectives and follows them on many pathways. Because it draws on respondent survey information as well as administrative records, HSLs:09 is able to provide information on many possible outcomes of secondary education.

The HSLs:09 financial aid student records collection, which includes financial aid received and enrollment status for each year attended, will provide data for longitudinal analysis of financial aid records. This would allow examination of borrowing and debt trends over time, as well as the effects of those trends on postsecondary persistence and attainment, and decisions about work and family.

Authorization and Confidentiality of Data

HSLs:09 is conducted under the authority of the Education Sciences Reform Act of 2002 (20 U.S.C. § 9543), which authorizes the National Center for Education Statistics (NCES), within the U.S. Department of Education's Institute of Education Sciences, to collect and disseminate information about education in the United States.

(Back)

NCES is required to follow strict procedures to protect the confidentiality of persons in the collection, reporting, and publication of data. Any individually identifiable information supplied by individuals or institutions to a federal agency 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, 20 U.S.C. § 9573).

For questions, please contact the Help Desk toll-free at <helplinephone> or via email at hslsrecords@rti.org, or you may contact the project director or project officer (see below).

Daniel Pratt
RTI International
Project Director, HSLs:09
1-919-541-6615
djp@rti.org

Elise Christopher, Ph.D.
National Center for Education Statistics
Project Officer, HSLs:09
1-202-502-7899
elise.christopher@ed.gov

<date> (NCES logo)
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Washington, DC
<http://nces.ed.gov>

HSLs:09 Financial Aid Record Collection (HSLs:09 FAR) Data Elements

The HSLs:09 FAR data elements are presented in Exhibit H-1 below. The data elements for the financial aid record collection will be the same as those collected for the ELS:2002 Financial Aid Feasibility Study and the 2015-16 National Postsecondary Student Aid Study (NPSAS:16). Data elements selected for HSLs:09 FAR are included because they provide critical information towards understanding a student’s financial aid. For each student at a given institution, certain data elements will be collected separately for each academic year attended by the student while other data elements will be collected once.

Exhibit H-1 presents three columns: the first lists the ELS:2002 FAFS data elements; the second column indicates the NPSAS:16 Field Test student record data elements; and the third column shows HSLs:09 FAR data elements with a decision on whether to include an element from the other studies only when the studies differed.

Exhibit H-1. HSLs:09 FAR Data Elements

ELS:2002 FAFS	NPSAS:16 FT Student Records (only the differences from ELS:2002 are noted)	HSLs:09 FAR (decisions noted only when ELS:2002 and NPSAS differ)
Institution Level Information		
Length of time that institution maintains student financial aid information		
Length of time that institution maintains student enrollment information		
Length of time that institution maintains student budget information		
Length of time that institution maintains student tuition information		
Length of time that institution maintains student degree information		
Contact Information		
Permanent Contact Information		
Address 1		
Address 2		
City		
State		
ZIP		
Country (if not USA)		
E-Mail		
Phone		
International Phone		
Local Contact Information		
	Address 1	Included
	Address 2	Included
	City	Included
	State	Included
	ZIP	Included
	E-Mail	Included
	Phone 1	Included
	Phone 1 Type	Included
	Phone 2	Included
	Phone 2 Type	Included
	Campus E-mail	Included
Parent's Contact Information		
	Parent's First Name	Included
	Parent's Middle Name	Included
	Parent's Last Name	Included

ELS:2002 FAFS	NPSAS:16 FT Student Records (only the differences from ELS:2002 are noted)	HSLs:09 FAR (decisions noted only when ELS:2002 and NPSAS differ)
	Parent's Suffix	Included
	Parent's Address 1	Included
	Parent's Address 2	Included
	Parent's City	Included
	Parent's State	Included
	Parent's ZIP	Included
	Parent's E-Mail	Included
	Parent's Phone	Included
	Parent's Cell Phone	Included
	Parent's International Phone	Included
Other Contact Information		
	Other Contact's First Name	Included
	Other Contact's Middle Name	Included
	Other Contact's Last Name	Included
	Other Contact's Suffix	Included
	Other Contact's Relationship to Student	Included
	Other Contact's Address 1	Included
	Other Contact's Address 2	Included
	Other Contact's City	Included
	Other Contact's State	Included
	Other Contact's ZIP	Included
	Other Contact's Country (if not USA)	Included
	Other Contact's E-Mail	Included
	Other Contact's Phone	Included
	Other Contact's Cell Phone	Included
Additional Contact Information		
	Additional Contact's First Name	Included
	Additional Contact's Middle Name	Included
	Additional Contact's Last Name	Included
	Additional Contact's Suffix	Included
	Additional Contact's Phone	Included
	Additional Contact's Relationship to Student	Included
Student Info and Budget		
Personal Information		
First Name		
Middle Name		
Last Name		
Suffix		
DOB Month		
DOB Year		
Social Security Number		
Gender		
Marital Status (Maiden and spouse name only applicable for married students)		
Marital Status	Marital Status	Will use NPSAS data elements.
	Maiden Name	
	Spouse First Name	
	Spouse Middle Name	
	Spouse Last Name	
Citizenship Status		
Citizenship		
Veteran Status		
Veteran of U.S. Armed Forces?		
High School Information		

ELS:2002 FAFS	NPSAS:16 FT Student Records (only the differences from ELS:2002 are noted)	HSLs:09 FAR (decisions noted only when ELS:2002 and NPSAS differ)
	High School Completion Type	Included
	High School Completion Year	Included
Ethnicity and Race		
	Ethnicity	Included
	Race: White	Included
	Race: Black or African-American	Included
	Race: Asian	Included
	Race: American Indian or Alaska Native	Included
	Race: Native Hawaiian or Other Pacific Islander	Included
Budget		
Local residence		
Tuition/fees		
Books/supplies		
Room and board		
Health insurance		
Transportation		
Computer technology		
All other expenses		
Total cost of attendance		
Budget period		
Enrollment		
Degree Program and Progress		
Degree Program		
	Degree Type	Included
Class Level		
	Expected to complete degree requirements by 6/30/2015?	Not included
	Cumulative (unweighted) GPA	Not included
	Received baccalaureate degree?	Not included
	Date received (MM/YYYY)	Not included
Majors		
	CIP code for primary major	Included
	Primary Major	Included
	CIP code for secondary major	Included
	Secondary Major	Included
	Undeclared	Included
Initial Enrollment		
First Enrolled at this Institution Month (mm)		
First Enrolled at this Institution Year (yyyy)		
Last date of enrollment at this institution month (mm)	Not included	Included
Last date of enrollment at this institution year (yyyy)	Not included	Included
	Ever taken a remedial course	Included
Required Clock Hours		
	Total number of clock hours in program	Included
Tuition Charged		
Total Tuition and mandatory fees charged		
Residency for Tuition Purposes		
Enrollment status & Number of hours enrolled per term		
[Term Name 1 (Start Date – End Date)]		
Hours [Term 1]		
[Term Name 2 (Start Date – End Date)]		

ELS:2002 FAFS	NPSAS:16 FT Student Records (only the differences from ELS:2002 are noted)	HSLs:09 FAR (decisions noted only when ELS:2002 and NPSAS differ)
Hours [Term 2]		
[Term Name 3 (Start Date – End Date)]		
Hours [Term 3]		
[Term Name 4 (Start Date – End Date)]		
Hours [Term 4]		
[Term Name 5 (Start Date – End Date)]		
Hours [Term 5]		
[Term Name 6 (Start Date – End Date)]		
Hours [Term 6]		
[Term Name 7 (Start Date – End Date)]		
Hours [Term 7]		
[Term Name 8 (Start Date – End Date)]		
Hours [Term 8]		
[Term Name 9 (Start Date – End Date)]		
Hours [Term 9]		
[Term Name 10 (Start Date – End Date)]		
Hours [Term 10]		
[Term Name 11 (Start Date – End Date)]		
Hours [Term 11]		
[Term Name 12 (Start Date – End Date)]		
Hours [Term 12]		
Aid Awarded		
Satisfactory Academic Progress Status		
	Placed on financial aid warning?	Included
	Placed on financial aid probation	Included
	Ineligible to receive Title IV financial aid?	Included
Federal Aid – amounts		
Pell grant		
Subsidized Stafford loan		
Unsubsidized Stafford loan		
Parent PLUS loan		
Graduate PLUS loan		
Federal TEACH grant		
Perkins loan		
Federal SEOG grant		
Federal work-study – award amount		
Federal work-study – disbursed amount	Not included	Included
Iraq & Afghanistan Service grant		
Veteran benefits		
Federal health professions loan		
Federal health professions disadvantaged loan		
State Aid amounts - preloaded with the most common programs for that state		
[State aid program 1]	State aid program 1 name	Will use NPSAS data elements.
	State aid program 1 type	
	State aid program 1 amount	
[State aid program 2]	State aid program 2 name	
	State aid program 2 type	
	State aid program 2 amount	
[State aid program 3]	State aid program 3 name	
	State aid program 3 type	
	State aid program 3 amount	
[State aid program 4]	Not included	Not included
[State aid program 5]	Not included	Not included
[State aid program 6]	Not included	Not included

ELS:2002 FAFS	NPSAS:16 FT Student Records (only the differences from ELS:2002 are noted)	HSLs:09 FAR (decisions noted only when ELS:2002 and NPSAS differ)
[State aid program 7]	Not included	Not included
[State aid program 8]	Not included	Not included
[State aid program 9]	Not included	Not included
[State aid program 10]	Not included	Not included
[State aid program 11]	Not included	Not included
[State aid program 12]	Not included	Not included
Institution Aid amounts – specific programs collected at a student-level from institution		
Institution aid 1 name		
Institution aid 1 type		
Institution aid 1 amount		
Institution aid 2 name		
Institution aid 2 type		
Institution aid 2 amount		
Institution aid 3 name		
Institution aid 3 type		
Institution aid 3 amount		
Institution aid 4 name	Not included	Not included
Institution aid 4 type	Not included	Not included
Institution aid 4 amount	Not included	Not included
Institution aid 5 name	Not included	Not included
Institution aid 5 type	Not included	Not included
Institution aid 5 amount	Not included	Not included
Graduate Aid – amounts (Only applicable for graduate students)		
Graduate fellowship/scholarship		
Graduate Federal fellowship		
Graduate Federal traineeship		
Graduate teaching assistantship/stipend		
Graduate research assistantship/stipend		
Other graduate assistants/tutors/readers stipends		
Graduate student tuition waivers		
Graduate faculty/staff tuition waivers		
Graduate institutional work study		
Graduate institutional loan		
Government/Private Aid – amounts		
Scholarships/grants from private organizations		
Employer paid tuition		
ROTC/armed forces grants		
WIA/job training/vocational rehabilitation		
Bureau of Indian Affairs grants		
Scholarships/grants from outside state agency		
Private loans		
DC tuition assistance grant		
Other/Specify Aid		
Other aid 1 name		
Other aid 1 type		
Other aid 1 source		
Other aid 1 amount		
Other aid 2 name		
Other aid 2 type		
Other aid 2 source		
Other aid 2 amount		
Other aid 3 name		
Other aid 3 type		
Other aid 3 source		
Other aid 3 amount		

ELS:2002 FAFS	NPSAS:16 FT Student Records (only the differences from ELS:2002 are noted)	HSLs:09 FAR (decisions noted only when ELS:2002 and NPSAS differ)
Other aid 4 name	Not included	Not included
Other aid 4 type	Not included	Not included
Other aid 4 source	Not included	Not included
Other aid 4 amount	Not included	Not included
Other aid 5 name	Not included	Not included
Other aid 5 type	Not included	Not included
Other aid 5 source	Not included	Not included
Other aid 5 amount	Not included	Not included