

Appendix A
Technical Review Panel (TRP) Members

Technical Review Panel

Jeff Allum
Director, Research and Policy Analysis
Council of Graduate Schools
One Dupont Circle NW
Washington, DC 20036
Phone: (202)223-3791
Email: jallum@cgs.nche.edu

Michelle Appel
Director, Enrollment Policy & Planning - IRPA
University of Maryland
1101 Mitchell Building
College Park, MD 20742
Phone: (301)405-0475
Email: mappel@umd.edu

Terry Bazan
Executive Director of Student Assistance
Austin Community College
5930 Middle Fiskville Road
Austin, TX 78752
Phone: (512)223-7550
Email: tbazan@austinctc.edu

Vasilios Bournas
Senior Reporting & Policy Research Analyst
DeVry Education Group
3005 Highland Parkway
Downers Grove, IL 60515
Phone: (630)515-5463
Email: vbournas@devrygroup.com

Alberto Cabrera
Professor
University of Maryland
3112 Benjamin Building
College Park, MD 20742
Phone: (301)405-2875
Email: cabrera@umd.edu

Margaret Cahalan
Vice President for Research & Director
The Pell Institute, Council for Opportunity in
Education
1025 Vermont Avenue NW
Suite 1020
Washington, DC 20005
Phone: (202)347-7430
Email: margaret.cahalan@pellinstitute.org

Stephanie Cellini
Associate Professor
The George Washington University
805 21st Street NW
Room 601M
Washington, DC 20052
Phone: (202)994-0019
Email: scellini@gwu.edu

Kevin Eagan
Assistant Professor in Residence
University of California, Los Angeles
405 Hillgard Avenue
3101 D Moore Hall
Box 951521
Los Angeles, CA 90095
Phone: (310)206-3448
Email: keagan@ucla.edu

Charlotte Etier
Research Analyst
National Association of Student Financial Aid
Administrators
1101 Connecticut Avenue NW
Suite 1100
Washington, DC 20036
Phone: (202)785-6943
Email: etierc@nasfaa.org

Carla Fletcher
Senior Research Analyst
TG Research and Analytical Services
301 Sundance Parkway
Round Rock, TX 78681
Phone: (512)219-4637
Email: carla.fletcher@tgslc.org

Fred Galloway
Professor, Leadership Studies
University of San Diego, School of Leadership
and Education Science
5998 Alcalá Park
Office: MRH-275H
San Diego, CA 92110
Phone: (619)260-7435
Email: galloway@sandiego.edu

Taylor Hansen
Senior Government Relations Associate
Association of Private Sector Colleges and
Universities
1101 Connecticut Avenue NW
Suite 900
Washington, DC 20036
Phone: (202)336-6707
Email: taylor.hansen@apscu.org

Donald Heller
Dean, College of Education
Michigan State University
501 Erickson Hall
620 Farm Lane
East Lansing, MI 48824
Phone: (517)355-1734
Email: dheller@msu.edu

Brad Hershbein
Economist
W.E. Upjohn Institute for Employment
Research
300 South Westnedge Avenue
Kalamazoo, MI 49007
Phone: (269)385-0437
Email: hershbein@upjohn.org

Nick Hillman
Assistant Professor
University of Wisconsin-Madison
1000 Bascom Mall
Room 249
Madison, WI 53706
Phone: (608)262-3106
Email: nwhillman@wisc.edu

Ozan Jaquette
Assistant Professor, College of Education
University of Arizona
1430 East Second Street
Room 327A
Tucson, AZ 85721
Phone: (734)709-3835
Email: ozanj@email.arizona.edu

Daniel Klasik
Assistant Professor of Higher Education
Administration
The George Washington University
2134 G Street NW
Washington, DC 20052
Phone: (202)994-1453
Email: djklasik@gwu.edu

Alexander McCormick
Associate Professor and NSSE Director
Center for Postsecondary Research
Indiana University Bloomington
1900 East 10th Street, Suite 419
Bloomington, IN 47406
Phone: (812)856-4435
Email: amcc@indiana.edu

Catherine Millett
Senior Research Scientist
Educational Testing Service
660 Rosedale Road
MS 01-R
Princeton, NJ 08541
Phone: (609)240-2556
Email: cmillett@ets.org

Chad Muntz
Director, Institutional Research
University System of Maryland
3300 Metzgerott Road
Adelphi, MD 20783
Phone: (301)445-2737
Email: cmuntz@usmd.edu

Christopher Nellum
Senior Policy Research Analyst
American Council on Education
One Dupont Circle NW
Suite 1B
Washington, DC 20036
Phone: (202)939-9405
Email: cnellum@acenet.edu

Toby Park
Assistant Professor
Florida State University, College of Education
P.O. Box 3064452
1205D Stone Building
Tallahassee, FL 32311
Phone: (850)644-8168
Email: tjpark@fsu.edu

Kent Phillippe
Associate Vice President, Research & Student
Success
American Association of Community Colleges
One Dupont Circle NW
Suite 410
Washington, DC 20036
Phone: (202)416-4505
Email: kphillippe@aacc.nche.edu

Jason Ramirez
Director of Research and Policy Analysis
National Association of Independent Colleges
and Universities
1025 Connecticut Avenue NW
Suite 700
Washington, DC 20036
Phone: (202)835-0003
Email: jason@naicu.edu

Kim Rueben
Senior Fellow
Urban Institute
2100 M Street NW
Washington, DC 20037
Phone: (202)261-5662
Email: krueben@urban.org

Rajat Shah
Senior Vice President, Student Financial
Services
Lincoln Technical Institute
200 Executive Drive
Suite 340
West Orange, NJ 07052
Phone: (201)953-2246
Email: rshah@lincolntech.com

Kurt Slobodzian
Vice President, Research
Nexus Research and Policy Center
5662 South Amberwood Drive
Chandler, AZ 85248
Phone: (602)568-1178
Email: kurt646@gmail.com

Jeff Strohl
Director of Research
Georgetown University Center on Education
and the Workforce
3300 White Haven, Suite 5000
Washington, DC 20007
Phone: (202)687-4945
Email: js787@georgetown.edu

Randy Swing
Executive Director
Association for Institutional Research
1435 East Piedmont Drive
Tallahassee, FL 32308
Phone: (850)385-4155
Email: rswing@airweb.org

Omari Swinton
Associate Professor
Howard University, Department of Economics
2400 6th Street NW
ASB-B, Room 319
Washington, DC 20059
Phone: (202)806-6774
Email: oswinton@howard.edu

Scott Thomas
Professor of Education and Dean
Claremont Graduate University, School of
Educational Studies
150 East 10th Street
Claremont, CA 91711
Phone: (909)607-3786
Email: scott.thomas@cgu.edu

Jessica Thompson
Senior Policy Analyst
The Institute for College Access & Success
1111 16th Street NW
Suite 310
Washington, DC 20036
Phone: (202)223-6060
Email: jthompson@ticas.org

Paul Umbach
Professor
North Carolina State University
300 Poe Hall, Box 7801
Raleigh, NC 27603
Phone: (919)515-9366
Email: paul_umbach@ncsu.edu

Mamie Voight
Director of Policy Research
Institute for Higher Education Policy
1825 K Street NW
Suite 720
Washington, DC 20006
Phone: (202)587-4967
Email: mvoight@ihep.org

Brian Weingart
Senior Director of Financial Aid
West Virginia Higher Education Policy
Commission
1018 Kanawha Boulevard East
Suite 700
Charleston, WV 25301
Phone: (304)558-4618
Email: brian.weingart@wvhepc.edu

Federal Panelists

Xiaoling Ang
Economist, Office of Research
Consumer Financial Protection Bureau
1275 First Street NE
Suite 827-C
Washington, DC 20008
Phone: (202)435-7686
Email: xiaoling.ang@cfpb.gov

Donald Conner
U.S. Department of Education, OPE
1990 K Street NW
Room 8030
Washington, DC 20006
Phone: (202)502-7818
Email: donald.conner@ed.gov

Daniel Goldenberg
Management and Program Analyst
U.S. Department of Education, OPEPD
400 Maryland Avenue SW
Room 5W308
Washington, DC 20202
Phone: (202)401-3562
Email: daniel.goldenberg@ed.gov

Nimmi Kannankutty
Acting Deputy Division Director, Division of
Graduate Education
National Science Foundation
4201 Wilson Boulevard
Suite 875
Arlington, VA 22230
Phone: (703)292-7797
Email: nkannank@nsf.gov

Kashka Kubzdela
Research Scientist
U.S. Department of Education, NCES
1990 K Street NW
Room 9014
Washington, DC 20006
Phone: (202)502-7411
Email: kashka.kubzdela@ed.gov

Rochelle Martinez
Statistician
Office of Management and Budget
725 17th Street NW
Room 10202 NEOB
Washington, DC 20503
Phone: (202)395-3147
Email: rochelle_w._martinez@omb.eop.gov

Patrick McFadden
Education Business Analyst
U.S. Department of Veterans Affairs
810 Vermont Avenue NW
Washington, DC 20420
Phone: (202)273-5400
Emails:patrick.mcfadden@va.gov

John Mingus
Assistant Director
U.S. Government Accountability Office
441 G Street NW
Washington, DC 20548
Phone: (202)512-4987
Email: mingusj@gao.gov

Jon O'Bergh
Senior Policy Advisor
U.S. Department of Education, Office of the
Undersecretary
400 Maryland Avenue SW
Washington, DC 20202
Phone: (202)260-8568
Email: jon.obergh@ed.gov

Daniel Pollard
Senior Advisor, Enterprise Data
U.S. Department of Education, FSA
830 First Street NE
Washington, DC 20202
Phone: (202)377-3389
Email: daniel.pollard@ed.gov

Richard Reeves
Branch Chief
U.S. Department of Education, NCES
1990 K Street NW
Room 8113A
Washington, DC 20006
Phone: (202)502-7436
Email: richard.reeves@ed.gov

Emilda Rivers
Program Director
National Science Foundation
4201 Wilson Boulevard
Suite 965 S
Arlington, VA 22230
Phone: (703)292-7773
Email: erivers@nsf.gov

David Smole
Specialist in Education Policy
Congressional Research Service
101 Independence Avenue SE
Mail Stop 7440
Washington, DC 20540
Phone: (202)707-0624
Email: dsmole@crs.loc.gov

Chris Sutherland
Education Business Analyst
U.S. Department of Veterans Affairs
810 Vermont Avenue NW
Washington, DC 20420
Phone: (202)273-5400
Emails: christopher.sutherland@va.gov

Matthew Valerius
Education Program Specialist
U.S. Department of Education
500 12th Street SW
Office 11-135
Washington, DC 20536
Phone: (202)245-7859
Email: matthew.valerius@ed.gov

**U.S. Department of Education, NCES
Sample Surveys Division**

Chris Chapman
Acting Associate Commissioner, Sample
Surveys Divisions
U.S. Department of Education, NCES
1990 K Street NW,
Room 9042
Washington, DC 20006
Phone: (202)502-7414
Email: chris.chapman@ed.gov

Elise Christopher
Project Officer, ELS:2002 & HSLS:09
U.S. Department of Education, NCES
1990 K Street NW
Room 9026
Washington, DC 20006
Phone: (202)502-7899
Email: elise.christopher@ed.gov

Tracy Hunt-White
Education Statistician
U.S. Department of Education, NCES
1990 K Street NW
Room 8132
Washington, DC 20006
Phone: (202)502-7438
Email: tracy.hunt-white@ed.gov

David Richards
Project Officer, BPS:2012/14 & 2017
U.S. Department of Education, NCES
1990 K Street NW
Room 9030
Washington, DC 20006
Phone: (202)502-7395
Email: david.richards@ed.gov

Sean Simone
Statistician
U.S. Department of Education, NCES
1990 K Street NW
Room 8125
Washington, DC 20006
Phone: (202)502-7367
Email: sean.simone@ed.gov

Ted Socha
Mathematical Statistician
U.S. Department of Education, NCES
1990 K Street NW
Room 8130
Washington, DC 20006
Phone: (202)502-7383
Email: ted.socha@ed.gov

RTI International

Kristin Dudley
Research Programmer Analyst
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)541-6855
Email: marvill@rti.org

Jeff Franklin
Senior Survey Methodologist
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)485-2614
Email: jwf@rti.org

Natasha Janson
Research Education Analyst
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)316-3394
Email: njanson@rti.org

T. Austin Lacy
Education Research Analyst
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)990-8386
Email: tlacy@rti.org

Emilia Peytcheva
Survey Methodologist
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)541-7250
Email: epeytcheva@rti.org

David Radwin
Senior Research Associate
RTI International
2150 Shattuck Avenue
Suite 800
Berkeley, CA 94704
Phone: (510)665-8274
Email: dradwin@rti.org

Peter Siegel
Senior Statistician
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)541-6348
Email: siegel@rti.org

Jamie Wescott
Senior Research Associate
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)485-5573
Email: jwescott@rti.org

Jennifer Wine
Director, NPSAS:12 & BPS:12/14
RTI International
3040 East Cornwallis Road
P.O. Box 12194
Research Triangle Park, NC 27709
Phone: (919)541-6870
Email: jennifer@rti.org

Consultants

Sandy Baum
Consultant
George Washington University and Urban
Institute
161 East Chicago Avenue
#45C
Chicago, IL 60611
Phone: (518)369-3774
Email: sbaum@email.gwu.edu

Alisa Cunningham
Consultant
Alisa Federico Cunningham, LLC
613 4th Street NW
Washington, DC 20002
Phone: (202)413-5381
Email: afc0029@yahoo.com

Stephen Porter
Professor
North Carolina State University
6416 Northwyck Place
Raleigh, NC 27609
Phone: (860)328-0154
Email: porterstephenr@gmail.com

Appendix B
Endorsing Associations for NPSAS:16

The following organizations have confirmed that they have endorsed NPSAS:16 :

ACPA--College Student Educators Network International
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 American Colleges and Universities
Association of Catholic Colleges and Universities
Association of Private Sector Colleges and Universities
Association of Public and Land-grant Universities
The Carnegie Foundation for the Advancement of Teaching
The College Board
Council of Graduate Schools
The Council of Independent Colleges
Hispanic Association of Colleges and Universities
Midwestern Higher Education Compact
NASPA-Student Affairs Administrators in Higher Education
National Association of College and University Business Officers
National Association of Independent Colleges and Universities
National Association of Student Financial Aid Administrators
New England Board of Higher Education
Southern Regional Education Board
State Higher Education Executive Officers
The United Negro College Fund
Western Interstate Commission for Higher Education

Appendix C
Confidentiality for Administrative Record Matching

C.1 Develop Linkages with Administrative Data Sources

Linkages will be developed with existing data sources to supplement the 2015-16 National Postsecondary Student Aid Study (NPSAS:16) student data collection. NCES recognizes the great value added to the NPSAS:16 data file with the addition of data from specific administrative data sources as certain data, such as specific financial aid amounts and associated dates, can only be accurately obtained from sources other than the student or parent. Our postsecondary studies, including previous NPSAS studies, Beginning Postsecondary Student (BPS), and Baccalaureate and Beyond (B&B), have included file merges with many existing sources of valuable data, including Department of Education's (ED) Central Processing System (CPS) for Free Application for Federal Student Aid (FAFSA) data, the National Student Loan Data System (NSLDS), and ACT. For this study, we plan to perform file merges with the following datasets: CPS, NSLDS, ACT, SAT, and National Student Clearinghouse.

The Family Educational Rights and Privacy Act (FERPA) (34 CFR Part 99) allows the disclosure of information without prior consent for the purposes of NPSAS:16 according to the following excerpts: 34 CFR § 99.31 asks, "Under what conditions is prior consent not required to disclose information?" and explains in 34 CFR § 99.31(a) that "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 several conditions. These conditions include, at 34 CFR § 99.31(a)(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.

NPSAS:16 is collecting data under the Secretary's authority. Any personally identifiable information is collected with adherence to the security protocol detailed in 34 CFR § 99.35:

- (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.

(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.

As part of initial sampling activities, we will ask participating institutions to provide SSNs for all students on their enrollment list. Having an initial list of all student SSNs minimizes the time and burden on both the institutions and the data collection contractor. Institutions will only have to provide one enrollment list; if the SSNs were provided only for those students selected, the institutions would have to provide two separate enrollment lists. Immediately after the student sample is selected, the SSNs for non-selected students will be securely discarded.

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

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

File merges will be performed with the CPS data containing federal student aid application information by the data collection contractor. The merge with CPS can occur at any time for any number of cases, provided that the case has an apparently valid SSN associated with it. A file will be sent to CPS and in return a large data file containing all students who applied for federal aid will be received. The data collection contractor has programs and procedures in place to prepare and submit files according to rigorous CPS standards, and to receive and process data obtained from CPS.

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

requires username and password. All CPS files will be processed, edited, and documented for inclusion on the analytic data files. All CPS files will be processed, edited, and documented for inclusion in the final restricted use file (RUF).

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

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

C.4 File Merge with ACT

To obtain valuable admissions test data, a file merge will be performed with American College Testing (ACT) data by the data collection contractor. The approach for this file matching will be similar to those described in the sections on CPS and NSLDS file merging. This matching process has been used since NPSAS:96.

Matching of students to ACT requires Social Security number (SSN), name and date of birth to assist the data vendor in performing confirmatory data quality checks. This process will be initiated by providing a file with one record per SSN. The same procedures will be used as described above for the NSLDS linkage: creating a password-protected, encrypted file using FIPS 140-2 validated encryption tools; uploading the electronic file on the NCES server for pick-up by ACT. ACT will process the data on their database and provide the matched data on the NCES server for our secure download. This file merge will only be conducted during the full-scale study.

C.5 File Merge with the College Board

To obtain SAT data, a file merge will be performed with the College Board by the data collection contractor. Matching of students to SAT data requires Social Security number (SSN), name and date of birth to assist the data vendor in performing confirmatory data quality checks. This process will be initiated by providing a file

with one record per SSN. The same procedures will be used as described above for the NSLDS linkage: creating a password-protected, encrypted file using FIPS 140-2 validated encryption tools; uploading the electronic file on the NCES server for pick-up by the College Board. The College Board will process the data on their database and provide the matched data on the NCES server for our secure download. This file merge will only be conducted during the full-scale study.

C.6 File Merge with the National Student Clearinghouse

The National Student Clearinghouse will be used to obtain the *Student Tracker* data on institutions attended, enrollment dates, and degree completions for the NPSAS:16 sample.

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

C.7 Processing Administrative Data

We propose to send files for matching after the student record abstractions are completed to ensure the availability of the maximum number of verified Social Security numbers and to facilitate the batch mode processing that is suitable to many of these resources. We may need to match to a source (for example, CPS or NSLDS) more than once.

The data from all of these sources, as allowed by the vendor, will be delivered for inclusion on the RUF and will be useful for creating derived variables. The derived variables will be available on PowerStats and QuickStats, and both direct-pull and derived variables will be documented thoroughly.