

Appendix A:
**Consent Form and Notification Letters for the Study of
Higher Education Articulation Covering the Early Care
and Education Workforce**

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A.1 Consent Form

Study of Higher Education Articulation Covering the Early Care and Education Workforce Informed Consent

Purpose

American Institutes for Research (AIR), under contract with the Policy and Program Studies Service (PPSS) of the U.S. Department of Education, is conducting a study of articulation policies covering the early care and education workforce. Specifically, the study examines the policies, practices, and additional elements related to successful early care and education articulation and transfer in six states.

To assist with the study, we are asking stakeholders at the state and institutional levels to participate in interviews and focus groups. You will be asked about the following topics: governance, academic policy, articulation agreement provisions, articulation and transfer supports, state context considerations, and successes and challenges. Your **[interview/focus group]** is designed to last approximately **[30-60]** minutes.

Risks and Discomfort

We do not know of any risks or discomforts associated with this **[interview/focus group]**. Your participation in the **[interview/focus group]** is voluntary. If you decide to participate, you may discontinue your participation in the **[interview/focus group]** at any time without penalty of any kind.

Benefits

Your participation in the study will contribute to an understanding of the elements related to successful articulation for use by state and federal policymakers and higher education administrators working to develop pathways and efficient transitions between institutions.

Participation

Participation in this study is voluntary. You may choose not to respond to certain questions or discontinue participation in the **[interview/focus group]** at any time.

Privacy

Responses to this data collection will be used only for research purposes. No part of the study involves evaluation of any **individual**. The reports prepared for the study will summarize findings across the sample and will not associate responses with a specific individuals. **We will not provide information that identifies you to anyone outside the study team, except as required by law.** If there is information that you do not want shared directly in any reporting, please let me know.

We would like your consent to record the **[interview/focus group]**. Recordings will be kept in a secure location and will not be accessed by anyone outside of the study team. The audio recordings will be destroyed at the conclusion of the study. You can participate in the interview but decline to have it recorded. Additionally, if you elect to have the interview recorded, you may stop the recording at any time.

More Information

If you would like more information about this study, you may contact the Project Director, Aleksandra Holod, at the American Institutes for Research at (919) 918-2319 or aholod@air.org. For questions regarding your rights as a subject participating in this research, please contact the Institutional Review Board (IRB) at IRBChair@air.org or toll free at 1-800-634-0797.

Informed Consent

I have read the above information. I have asked questions and received answers. I consent to participate in the study.

Signature: _____

Date: _____

Print Name: _____

Position: _____

State: _____

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number. The valid OMB control number of this information collection is XXXX-XXXX. The time required to complete this information collection is estimated to average 60 minutes. If you have any comments concerning the accuracy of the time estimates(s) or suggestion for improving this form, please write to: U.S. Department of Education, Washington, 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to:

Policy and Program Studies Service, Office of Planning, Evaluation and Policy Development, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202.

A.2 Notification Letter – State Higher Education Executive Officer

[Date]

[Name]

[Position]

[Street Address]

[City, State, ZIP]

Dear [State Higher Education Executive Officer]:

I am writing to inform you about the U.S. Department of Education’s upcoming study to learn about how states and institutions of higher education (IHEs) develop and implement articulation policies that cover early care and education (ECE) workers. **[Insert name of state]** is one of six states selected to participate in the study. The purpose of the study is to identify policies and processes that states and IHEs have in place to enable current and future ECE workers to progress from an associate’s degree to a bachelor’s degree.

In each selected state, our study team will:

- Review extant documents, such as articulation policies;
- Conduct telephone interviews with state higher education administrators, representatives from higher education governing bodies and ECE teacher licensure bodies, and administrators and faculty from between one and three 2- and 4-year IHEs; and
- Conduct virtual focus groups with (1) support staff at two- and four year IHEs and (2) students who have benefited, or planned to benefit from, ECE articulation policies.

The interviews and focus groups will last between 45 and 60 minutes. Participation in the interviews and focus groups is voluntary. Our study team will summarize findings from your state as well as integrate and consolidate the results across all the states and IHEs in the study. State, IHEs, and the job roles or titles of study participants may be identified in the report when describing factual information, but individuals’ names will not be included in the report.

The U.S. Department of Education has contracted with the American Institutes for Research (AIR) to conduct this study. The AIR study team will begin contacting potential participants in the next several weeks to secure their cooperation.

Should you have any questions, or if you would like to discuss this study further, please feel free to contact the project officer, Erica Lee of the U.S. Department of Education, at 202-260-1463 or Erica.Lee@ed.gov. You also may contact the project director, Dr. Aleksandra Holod of AIR, at 919-918-2319 or aholod@air.org.

We thank you in advance for your cooperation and support.

Sincerely,

Jennifer Bell-Ellwanger
Director, Policy and Program Studies Service

A.3 Notification Email – State-Level Respondent

Dear **[State-level respondent]**,

Your State Higher Education Executive Officer was recently notified that **[Insert name of state]** is one of six states selected to participate in a study to learn about how states and institutions of higher education (IHEs) develop and implement articulation policies that cover early care and education (ECE) workers. The purpose of the study is to identify policies and processes that states and IHEs have in place to enable current and future ECE workers to progress from an associate's degree to a bachelor's degree. The U.S. Department of Education has contracted with the American Institutes for Research (AIR) to conduct this study. Our study team is inviting state higher education administrators; representatives from higher education governing bodies and ECE teacher licensure bodies; and administrators, faculty, support staff, and students from two- and four-year IHEs to share with us what they have learned about the processes, accomplishments, and challenges of developing and implementing ECE articulation policies.

Because of your role as **[Insert role]** we are asking for your participation in a phone interview. We believe information about your experiences will be valuable for other states interested in improving their ECE articulation processes. The interview will take approximately 45 minutes of your time. We can schedule it at your convenience during **[proposed time period]**.

Participation in the interviews and focus groups is voluntary. Our study team will summarize findings from your state as well as integrate and consolidate the results across all the states and IHEs in the study. State, IHEs, and the job roles or titles of study participants may be identified in the report when describing factual information, but individuals' names will not be included in the report.

The interviews are intended to provide information about the overall experiences with ECE articulation and not to evaluate individual states or IHEs. We will present the results to the U.S. Department of Education and produce a public final report planned to be available in 2019.

A representative from AIR will contact you soon to find out your availability for an interview during **[propose time period]**. If you have questions about the interview, please email me or contact me at the number below. We appreciate your cooperation in helping us gather and disseminate information about policies and processes that states and IHEs have in place to enable ECE workers to progress from an associate's degree to a bachelor's degree. We look forward to learning more about the interesting work that you are doing.

Respectfully,

[AIR Interviewer name and contact information]

A.4 Notification Letter – Institution of Higher Education (IHE) President

[Date]

[Name]

[Position]

[Street Address]

[City, State, ZIP]

Dear [IHE President]:

Your State Higher Education Executive Officer was recently notified that **[Insert name of state]** is one of six states selected to participate in the U.S. Department of Education's upcoming study to learn about how states and institutions of higher education (IHEs) develop and implement articulation policies that cover early care and education (ECE) workers. The purpose of the study is to identify policies and processes that states and IHEs have in place to enable current and future ECE workers to progress from an associate's degree to a bachelor's degree.

The U.S. Department of Education has contracted with the American Institutes for Research (AIR) to conduct this study. The study team is inviting faculty, staff, and students from **[insert number]** IHEs in **[insert state name]** to share with us what they have learned about the processes, accomplishments, and challenges of developing and implementing ECE articulation policies. Interviews with faculty and focus groups with (1) support staff and (2) students will last between 45 and 60 minutes. Participation in the interviews and focus groups is voluntary. Our study team will summarize findings from your state as well as integrate and consolidate the results across all the states and IHEs in the study. State, IHEs, and the job roles or titles of study participants may be identified in the report when describing factual information, but individuals' names will not be included in the report. The U.S. Department of Education has contracted with the American Institutes for Research (AIR) to conduct this study. The AIR study team will begin contacting districts and schools in the next several weeks to secure their cooperation.

Should you have any questions, or if you would like to discuss this study further, please feel free to contact the project officer, Erica Lee of the U.S. Department of Education, at 202-260-1463 or Erica.Lee@ed.gov. You also may contact the project director, Dr. Aleksandra Holod of AIR, at 919-918-2319 or aholod@air.org.

We thank you in advance for your cooperation and support.

Sincerely,

Jennifer Bell-Ellwanger
Director, Policy and Program Studies Service

A.5 Notification Email – IHE Respondents (not recruiting students)

Dear **[IHE respondent]**,

The president of **[insert IHE name]** was recently notified that **[Insert name of IHE]** was selected to participate in a study to learn about how states and institutions of higher education (IHEs) develop and implement articulation policies that cover early care and education (ECE) workers. The purpose of the study is to identify policies and processes that states and IHEs have in place to enable current and future ECE workers to progress from an associate's degree to a bachelor's degree. The U.S. Department of Education has contracted with the American Institutes for Research (AIR) to conduct this study. Our study team is inviting state higher education administrators; representatives from higher education governing bodies and ECE teacher licensure bodies; and administrators, faculty, support staff, and students from two- and four-year IHEs to share with us what they have learned about the processes, accomplishments, and challenges of developing and implementing ECE articulation policies.

Because of your role as **[Insert role]** we are asking for your participation in a **[phone interview/virtual focus group]**. We believe information about your experiences will be valuable for other states interested in improving their ECE articulation processes. The **[interview/focus group]** will take approximately **[45/60]** minutes of your time. We can schedule it at your convenience during **[proposed time period]**.

Participation in the **[interview/focus group]** is voluntary. Our study team will summarize findings from your state as well as integrate and consolidate the results across all the states and IHEs in the study. State, IHEs, and the job roles or titles of study participants may be identified in the report when describing factual information, but individuals' names will not be included in the report.

The interviews and focus groups are intended to provide information about the overall experiences with ECE articulation and not to evaluate individual states or IHEs. We will present the results to the U.S. Department of Education and produce a public final report planned to be available in 2019.

A representative from AIR will contact you soon to find out your availability for an **[interview/focus group]** during **[propose time period]**. If you have questions about the interview, please email me or contact me at the number below. We appreciate your cooperation in helping us gather and disseminate information about policies and processes that states and IHEs have in place to enable ECE workers to progress from an associate's degree to a bachelor's degree. We look forward to learning more about the interesting work that you are doing.

Respectfully,

[AIR Interviewer name and contact information]

A.6 Notification Email – Faculty Aiding in Student Recruitment

Dear **[Faculty]**,

The president of **[insert IHE name]** was recently notified that **[Insert name of IHE]** was selected to participate in a study to learn about how states and institutions of higher education (IHEs) develop and implement articulation policies that cover early care and education (ECE) workers. The purpose of the study is to identify policies and processes that states and IHEs have in place to enable current and future ECE workers to progress from an associate's degree to a bachelor's degree. The U.S. Department of Education has contracted with the American Institutes for Research (AIR) to conduct this study. Our study team is inviting state higher education administrators; representatives from higher education governing bodies and ECE teacher licensure bodies; and administrators, faculty, support staff, and students from two- and four-year IHEs to share with us what they have learned about the processes, accomplishments, and challenges of developing and implementing ECE articulation policies.

Because of your role as a professor of current and potential ECE workers, we are asking for your participation in a phone interview and for help recruiting students to participate in a focus group. We believe information about your experiences will be valuable for other states interested in improving their ECE articulation processes. The interview will take approximately 60 minutes of your time. We can schedule it at your convenience during **[proposed time period]**. Participation in the interview is voluntary.

To aid in the recruitment of students, we request that you distribute the attached flyer to students that **[may benefit/may have benefited]** from ECE articulation policies.

Our study team will summarize findings from your state as well as integrate and consolidate the results across all the states and IHEs in the study. State, IHEs, and the job roles or titles of study participants may be identified in the report when describing factual information, but individuals' names will not be included in the report.

The interviews and focus groups are intended to provide information about the overall experiences with ECE articulation and not to evaluate individual states or IHEs. We will present the results to the U.S. Department of Education and produce a public final report planned to be available in 2019.

A representative from AIR will contact you soon to find out your availability for an interview during **[propose time period]** and to answer any questions you may have about student recruitment. If you have questions about the interview, please email me or contact me at the number below. We appreciate your cooperation in helping us gather and disseminate information about policies and processes that states and IHEs have in place to enable ECE workers to progress from an associate's degree to a bachelor's degree. We look forward to learning more about the interesting work that you are doing.

Respectfully,

[AIR Interviewer name and contact information]