

## **Appendix F through G**

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**August 2017**  
**revised November 2017**

## **Appendix F**

### **Transcript Data Request Contacting Materials and Data Elements**

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## **Introductory Contact Materials for the Institutional Research Director or Chief Administrator – Not Study Specific**

- Introduces the Postsecondary Data Portal (PDP)
- Not study-specific
- Contents:
  - o Letter from NCES Associate Commissioner
  - o Packet providing overview of the PDP

## Letter to Institutions – Non-Study Specific

### Postsecondary Data Portal (PDP) Packet Contents (Non-study specific)

PDP Packet Letter

<date>

Dear Institutional Research Staff and Officials:

The National Center for Education Statistics (NCES) within the U.S. Department of Education's Institute of Education Sciences fulfills a Congressional mandate to collect, collate, analyze, and report complete statistics on the condition of American education. One way in which we collect data is through postsecondary-level sample surveys, many of which require that we work with U.S. institutions to collect transcripts and student records for student samples. We will also interview students themselves, who provide much-needed information on their experiences as they begin, leave, and re-enter postsecondary study, transfer between institutions, and complete programs at all levels of institutions. The combination of institution- and student-provided data affords researchers the opportunity to fully characterize the paths taken by today's college students, and provides them an important link between academic experiences, performance, and outcomes.

Recognizing that NCES data collection requests add to the workload of institution staff tasked with providing the requested data, and that several of NCES' postsecondary studies require that data be collected from institutions, NCES developed the secure Postsecondary Data Portal (PDP) website. The PDP is now the single location through which institutions will provide data required by any and all NCES postsecondary sample-based data collections. In addition, to the extent possible, studies running through the PDP will be requesting the same types of data for all selected students, further simplifying the data collection process. Institution staff will only need to learn the layout and functionality of one system, instead of having to learn a different system for every study.

The user friendly PDP (<https://surveys.nces.ed.gov/Portal/>) offers institutions several modes for providing data; an institution may choose its preferred method(s). Each data entry module is password-protected, so users will be required to log in before they are allowed access to confidential data and the Secure Sockets Layer (SSL) protocol is in place to encrypt data transmitted over the Internet through the PDP website.

NCES has contracted with RTI International (RTI) to carry out the institution data collections for several ongoing postsecondary studies. Your cooperation with RTI is greatly appreciated. Please be on the lookout for a request for data. The request packet will provide further detail and instructions.

For further information or questions, please contact the PDP Help Desk at 1-855-500-1441 (toll free) or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

Sincerely,

Christopher Chapman  
Associate Commissioner  
National Center for Education Statistics

## PDP Packet Contents

Folder Cover:

National Center for Education Statistics (NCES) Sample Studies  
and the Postsecondary Data Portal

2017 PDP Packet Contents (each topic will be presented on its own sheet of paper in the PDP materials):

### **What is the Postsecondary Data Portal (PDP) website?**

The PDP website (<https://surveys.nces.ed.gov/Portal/>) serves as a portal for U.S. postsecondary institutions to provide data for sample studies conducted by the National Center for Education Statistics (NCES), United States Department of Education. Each study collects data that are used by NCES for reporting and analysis and, in aggregate form (e.g., statistical tables, graphs), will be released to the public. Background information on any of the studies using the PDP can be accessed from the Home page.

The PDP was developed to provide institutions with a single website/single system through which to manage NCES data requests. Moreover, the PDP provides institutions with a secure means of transmitting their data to NCES. Secure Sockets Layer (SSL) protocol encrypts data transmitted over the Internet. Each data entry module is password-protected, requiring users to log in before they may access confidential data.

### **What types of data are being collected?**

The PDP was first used in 2016 to collect institution enrollment lists and record data, including information on the enrollment status, demographic characteristics, and financial assistance for each sampled student for a single academic year.

Depending on the particular data needs of a study, the PDP also can be used to collect student transcripts, for one-time collections of institution record data across multiple academic years, and for annual institution record data updates.

In addition to transcript and institution record data, most of the NCES sample surveys also include interviews with student samples, providing researchers with a unique perspective on students' experiences in postsecondary education and beyond.

### **Which studies will collect data in 2017?**

Two NCES longitudinal studies will be collecting institution data and transcripts in 2017, beginning in February.

The *Beginning Postsecondary Students Longitudinal Study* (BPS) surveys "first-time" college students at three points in time: at the end of their first year, in their 3<sup>rd</sup> academic, and in their 6<sup>th</sup> academic year after first starting in postsecondary education. BPS collects data on student demographic characteristics, school and work experiences, enrollment persistence, transfers, degree attainment, and transition to employment. In 2017, data will be collected for the BPS:12 student cohort who started college, for the first time after leaving high school, during the 2011-12 academic year.

The *High School Longitudinal Study of 2009* (HSL:09) is a nationally representative, longitudinal study following a cohort of students who were in ninth grade during the 2009-2010 school year. The study focuses on understanding how high school experiences affect young adults' learning and their education and career choices over time. The study also explores young adults' transitions from high school to college, to the labor force, or to adult roles. Of special interest is course-taking and career preparation in science, technology, engineering, and math (STEM).

**What privacy and confidentiality assurances are in place?**

Both NCES and RTI International follow strict procedures to protect the privacy and confidentiality of study participants and data. All project staff have signed confidentiality agreements and affidavits of nondisclosure. All data released to the general public (e.g., statistical tables) will be designed so that it will not be possible to identify individuals. All of the information you provide 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 and 6 U.S.C. §151).

**Why should your institution participate?**

The quality and affordability of postsecondary education are vital concerns for students and their families. The data collected from transcripts, institution records, and student interviews provide much-needed information on the course of study of today's college students as they begin, leave, and re-enter postsecondary study; transfer between institutions; and complete programs at all levels of institutions. The combination of these data affords researchers the opportunity to summarize the undergraduate and graduate paths taken by sample members, providing an important link between academic performance and outcomes.

**Study-Specific Contact Materials for the Institutional Research Director  
or Chief Administrator – Joint Study Collection**

- Letter requests institution's participation in transcript and student records collection for two studies.



# Transcript and Student Records Collection Letter to IR Director or Chief Administrator - Joint Study Collection

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

(date)

(Salutation) (FirstName) (LastName)

(Title)

(Institution)

(Address)

(City), (State) (Zip)

Dear (Salutation) (LastName):

[A student/Students] from (Institution) [has/have] been participating in one of two longitudinal studies that are being conducted by the National Center for Education Statistics with data collection being carried out by RTI International, a nonprofit research organization. The studies are

- the High School Longitudinal Study of 2009 (HSL:09); and
- the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12).

HSL:09 collects information on individuals who were sampled from their high schools as 9<sup>th</sup> graders in the 2009-2010 academic year and focuses on understanding how high school experiences affect young adults' learning and their education and career choices. BPS:12 collects information, such as students' postsecondary experiences, work while enrolled, persistence in school, degree completion, and employment following enrollment, from individuals who began their postsecondary education for the first time in the 2011-12 academic year. The next phase in the data collections for HSL:09 and BPS:12 is to collect transcript and student record data from institutions attended by students in these studies, including (Institution).

The enclosed materials describe our data collection process and provide a summary description of the laws and procedures safeguarding the collected data. NCES is authorized to conduct these studies by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). All of the information you provide 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 and 6 U.S.C. §151). Additional information, including reports based on data from previous rounds of HSL:09 and BPS:12, is available on the NCES website at <http://nces.ed.gov/surveys/>.

We ask that you log in to the secure NCES Postsecondary Data Portal website and designate a primary coordinator (PC) for the 2017 institution data collections. The login information is included at the bottom of this letter. (Please note that the password is temporary and you will need to create a new one the first time you log in.) Please also pass along the two request packets you received with this letter to the PC. RTI staff will be in touch with him/her to answer questions and will send another copy of the request packets, if needed.

If you have any questions about the studies or the data collection process, please contact the Help Desk at 1-855-500-1441 or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org). You may also direct questions to Sean Simone, Ph.D. at NCES at 1-202-245-7631 or at [Sean.Simone@ed.gov](mailto:Sean.Simone@ed.gov).

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

Sincerely,

Christopher Chapman  
Associate Commissioner  
National Center for Education Statistics

Enclosures

For more information on the data collection,  
please visit:

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

IR Director user name: (UserName)

Your temporary password: (Password)

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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 3.3 hours per response (HSL:09) and 11.6 hours per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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## Transcript Contacting Materials – Joint Study Collection

- Letter to registrar or designee from RTI
- Letter to registrar or designee from NCES commissioner
- Letter from endorsing organization(s)
- Additional students letter
- Additional student non-respondent letter
- Letter to Coordinator – Transcripts Submitted
- Letter to Coordinator – Transcripts Not Received
- Letter to registrar or designee – No Progress in 2017 Collection
- List of endorsing organizations
- Instructions for providing transcript data
- FERPA fact sheet
- Brochure text
- Disclosure notice
- FAX test page
- FAX transmittal sheet
- Catalog transmittal sheet
- Email reminder

# Transcript Collection – Request Letter from RTI to Registrar or Designee - Joint Study Collection

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

{date}

{contact\_fname} {contact\_lname}  
{inst\_name}  
{inst\_addr1}  
{inst\_addr2}  
{inst\_city}, {inst\_st} {inst\_zip}

Dear {contact\_salute} {contact\_lname}:

As was relayed to [fill name of IR director], [a student/students] from (Institution) [has/have] been participating in one of two longitudinal studies that are being conducted by the National Center for Education Statistics with data collection being carried out by RTI International, a nonprofit research organization. The studies are

- the High School Longitudinal Study of 2009 (HSLs:09); and
- the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12).

HSLs:09 collects information on individuals who were sampled from their high schools as 9<sup>th</sup> graders in 2009 and focuses on understanding how high school experiences affect young adults' learning and their educational and career choices. BPS:12 collects information, such as the students' postsecondary experiences, work while enrolled, persistence in school, degree completion, and employment following enrollment, from individuals who began their postsecondary education for the first time in 2011-12. The next phase in the data collections for HSLs:09 and BPS:12 is to collect transcript and student record data from institutions attended by students in these studies, including (Institution). We have enclosed a letter from Christopher Chapman, Associate Commissioner of NCES, reiterating the importance of this collection.

We are 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.

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. Included with this package, and on the PDP website, are detailed instructions for preparing and transmitting transcript data to RTI. 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 us for additional information. You can reach us by telephone at 1-855-500-1441 or e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

Sincerely,

Daniel Pratt  
Director, HSLs:09

Mike Bryan  
Director, BPS:12 PETS

Please log in to the Postsecondary Data Portal website at:

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

*If mailing to the primary coordinator, fill:*

Primary Coordinator user name: «UserName»

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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSLs:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSLs:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 30 minutes per response (HSLs:09) and 10 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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# Transcript Collection – Request Letter from NCES to Registrar or Designee - Joint Study Collection

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

<date>

Dear Registrars and Officials:

«entity\_name» has been selected to participate in the High School Longitudinal Study of 2009 (HSLs:09) and 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Postsecondary Education Transcript Study being conducted by 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 9<sup>th</sup> graders in 2009 and focuses on understanding how high school experiences affect young adults' learning and their educational and career choices. BPS:12 collects information, such as the students' postsecondary experiences, work while enrolled, persistence in school, degree completion, and employment following enrollment, from individuals who began their postsecondary education for the first time in 2011-12.

As part of these studies, NCES is requesting transcripts for sample members who have attended your institution. We have contracted with RTI International (RTI) to collect the transcripts, and your cooperation with RTI in this important study is greatly appreciated. The many secure options available to you for providing transcript data are described in the enclosed package.

Let me assure you that very stringent measures are in place to safeguard participants' information (see enclosed "Disclosure Notice" on the PDP). For the purposes of this collection, the Family Educational Rights and Privacy Act of 1974 (FERPA) permits educational institutions to disclose personally identifiable information from students' education records, without consent, to authorized representatives of the Secretary of Education in connection with an evaluation of federally supported education programs (34 CFR §§ 99.31(a)(3) and 99.35). All of the information you provide 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 and 6 U.S.C. §151). NCES is authorized to conduct these studies by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. 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.

While we may need to contact you again should we learn that there are additional sample members who attended your institution, our processes and procedures are designed to minimize the burden on you and your staff. For further information or questions, please contact RTI's Help Desk at 1-855-500-1441 or PortalHelp@rti.org. You may also contact Sean Simone at NCES at (202) 245-7631 or Sean.Simone@ed.gov.

Sincerely,

Christopher Chapman  
Associate Commissioner  
National Center for Education Statistics

Please log in to the Postsecondary Data Portal website at:

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

*If mailing to the primary coordinator, fill:*

Primary Coordinator user name: «UserName»

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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 30 minutes per response (HSL:09) and 10 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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## Transcript Collection – Request Letter from Endorsing Agency to Registrar or Designee - Joint Study Collection

Dear Colleague:

I am writing to ask for your assistance with the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Postsecondary Education Transcript Study. These studies seek transcript data from postsecondary institutions to supplement student interview and other administrative data and are endorsed by [ENDORISING AGENCIES].

HSL:09 follows a cohort of students, sampled as 9<sup>th</sup> graders in 2009, through their education and employment experiences over time. BPS:12 collects data over time on students who began their postsecondary education for the first time in 2011-12, including information on students' postsecondary experiences, work while enrolled, persistence in school, degree completion, and employment following enrollment. 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 and BPS:12 postsecondary transcript data will be combined with data from student interviews, other institution records, and administrative databases to provide a total picture of each cohort. The enclosed materials describe the uses of the data.

Transcript data are being collected in compliance with 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)(3) and 99.35). NCES is authorized to conduct these studies by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). All of the information you provide 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 and 6 U.S.C. §151). 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,

Please log in to the Postsecondary Data Portal website at:

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

*If mailing to the primary coordinator, fill:*

Primary Coordinator user name: «UserName»



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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 30 minutes per response (HSL:09) and 10 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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# Transcript Collection – NCES Letter to Registrar or Designee for Additional Students – Joint Study Collection

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

{date}

{contact\_fname} {contact\_lname}  
{inst\_name}  
{inst\_addr1}  
{inst\_addr2}  
{inst\_city}, {inst\_st} {inst\_zip}

Dear {contact\_salute} {contact\_lname}:

As you may recall, we contacted you recently to obtain transcripts for students who attended «entity\_name» and are sample members in either the High School Longitudinal Study of 2009 (HSL:09) or the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Postsecondary Education Transcript Study being conducted by the National Center for Education Statistics (NCES) with data collection carried out by RTI. We want to thank you for your efforts in providing those valuable data. We are contacting you again to seek additional transcripts. In our previous communications we indicated that we may need to contact you again to request transcripts for additional sample members who we learn attended your institution. We are requesting transcripts for these {phase2\_num} students. *[If only 1 student, then we would say: We are requesting the transcript for one additional student.]*

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 at the secure PDP website listed in the box below. You may also wish to discuss obtaining reimbursement for the requested transcripts and can contact RTI's Help Desk at the information listed below. **We would appreciate receiving the requested transcript data on or before {DUE DATE}.** Please contact the Help Desk if you feel you need to have a later delivery date. You can contact the help desk by telephone at 1-855-500-1441 or e-mail at PortalHelp@rti.org.

Thank you in advance for your timely participation in this important effort.

Sincerely,

Elise Christopher, Ph.D.  
Project Officer, HSL:09  
National Center for Education Statistics

Sean Simone, Ph.D.  
Project Officer, BPS:12 PETS  
National Center for Education Statistics

Please log in to the Postsecondary Data Portal website at:

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

*If mailing to the primary coordinator, fill:*

If you need assistance with your login credentials, please contact the Help Desk.

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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 30 minutes per response (HSL:09) and 10 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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# Transcript Collection – RTI Letter to Registrar or Designee for Additional Students of Nonrespondent Institutions – Joint Study Collection

{date}

{contact\_fname} {contact\_lname}  
{inst\_name}  
{inst\_addr1}  
{inst\_addr2}  
{inst\_city}, {inst\_st} {inst\_zip}

Dear {contact\_salute} {contact\_lname}:

We are writing to request your participation in the High School Longitudinal Study of 2009 (HSLs:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Postsecondary Education Transcript Study for the National Center for Education Statistics (NCES), U.S. Department of Education. We are collecting the undergraduate transcripts of sample members participating in HSLs:09 and BPS:12, and would like to request transcripts for «totcases» sample members who attended your institution. In order to accommodate competing demands on your time, we can be flexible on the date for submitting the requested data and will reimburse your institution for the cost of preparing the transcripts.

**Assurance of confidentiality and legal authority.** Transcript data are collected in full compliance with the provisions of the Family Educational Rights and Privacy Act (FERPA) that allow the release of student records to the Secretary of Education or his or her agent without prior written consent from students. NCES is authorized to conduct these studies by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization.

Stringent safeguards are in place to protect student confidentiality. All of the information you provide 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 and 6 U.S.C. §151).

**Value of the data.** Transcript data will be combined with study participants' interview data and other administrative records collected for them to create a rich longitudinal dataset. Your provision of the requested transcript data maximizes the time and effort students have already invested through their participation in the longitudinal studies.

**Instructions for participating.** Enclosed are instructions for preparing and transmitting transcript data to NCES, as well as brochures with additional information about the transcript collection and the studies being conducted. A list of students for whom transcripts are requested can be found at the secure NCES Postsecondary Data Portal website: <https://surveys.nces.ed.gov/portal>. The website also provides instructions for obtaining reimbursement. If you have questions about how to prepare and send transcript data, please contact the Help Desk at 1-855-500-1441 (toll free).

I would appreciate your sending us the requested transcript data by «due\_date», but please call (1-855-500-1441) or e-mail ([PortalHelp@rti.org](mailto:PortalHelp@rti.org)) if you need to adjust your delivery date. Thank you for your cooperation in this important data collection.

Sincerely,

Dan Pratt  
Director, HSLs:09

Mike Bryan  
Director, BPS:12

Please log in to the Postsecondary Data Portal  
website at:

F-17

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

PETS



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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the collections is estimated to average approximately 30 minutes per response (HSL:09) and 10 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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# Transcript Collection – NCES Letter to Coordinator – HSLs:09 Transcripts Submitted – Joint Study Collection\*

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

{date}

{contact\_fname} {contact\_lname}  
{inst\_name}  
{inst\_addr1}  
{inst\_addr2}  
{inst\_city}, {inst\_st} {inst\_zip}

Dear {contact\_salute} {contact\_lname}:

As you may recall, we contacted you (fill: earlier this year/last year) to obtain transcripts and student records data for students who attended «entity\_name» and are sample members in the High School Longitudinal Study of 2009 (HSLs:09) or the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) being conducted by the National Center for Education Statistics (NCES) with data collection carried out by RTI. We want to thank you for your efforts in providing those valuable data. (IF Student Records not submitted: We have concluded the collection of student records data, but are continuing to collect transcripts.) We are contacting you again to seek additional transcripts. We are now requesting transcripts for <BPScount> student(s) who are participating in the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12).

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 at the secure PDP website listed in the box below. You may also wish to discuss obtaining reimbursement for the requested transcripts and can contact RTI's Help Desk at the information listed below. **We would appreciate receiving the requested transcript data on or before {DUE DATE}.** Please contact the Help Desk if you feel you need to have a later delivery date. You can contact the help desk by telephone at 1-855-500-1441 or e-mail at PortalHelp@rti.org.

Thank you in advance for your timely participation in this important effort.

Sincerely,

Sean Simone, Ph.D.  
Project Officer, BPS:12 PETS  
National Center for Education Statistics

Please log in to the Postsecondary Data Portal website at:

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

*If mailing to the 2017 primary coordinator, fill:*  
If you need assistance with your login credentials, please contact the Help Desk.

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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 30 minutes per response (HSL:09) and 60 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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# Transcript Collection – NCES Letter to Coordinator – HSLs:09 Transcripts Not Received – Joint Study Collection\*

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

{date}

{contact\_fname} {contact\_lname}  
{inst\_name}  
{inst\_addr1}  
{inst\_addr2}  
{inst\_city}, {inst\_st} {inst\_zip}

Dear {contact\_salute} {contact\_lname}:

As you may recall, we contacted you (fill: earlier this year/last year) to obtain transcripts and student records data for students who attended «entity\_name» and are sample members in the High School Longitudinal Study of 2009 (HSLs:09) or the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) being conducted by the National Center for Education Statistics (NCES) with data collection carried out by RTI. (IF Student Records outstanding: We have concluded the collection of student records data, but are continuing to collect transcripts.) (IF Student Records submitted: We want to thank you for your efforts in providing those valuable data.) We are contacting you again to seek *only the transcripts* for the sample members. There are <HSLs\_BPScount> students in total.

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 at the secure PDP website listed in the box below. You may also wish to discuss obtaining reimbursement for the requested transcripts and can contact RTI's Help Desk at the information listed below. **We would appreciate receiving the requested transcript data on or before {DUE DATE}.** Please contact the Help Desk if you feel you need to have a later delivery date. You can contact the help desk by telephone at 1-855-500-1441 or e-mail at PortalHelp@rti.org.

Thank you in advance for your timely participation in this important effort.

Sincerely,

Sean Simone, Ph.D.  
Project Officer, BPS:12 PETS  
National Center for Education Statistics

Please log in to the Postsecondary Data Portal  
website at:

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

*If mailing to the 2017 primary coordinator, fill:*

If you need assistance with your login credentials,  
please contact the Help Desk.



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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 30 minutes per response (HSL:09) and 60 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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## Transcript Collection – Request Letter from RTI to Registrar or Designee – No Progress in 2017 Collection – Joint Study Collection\*

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

**Note: This letter will be accompanied by a copy of the previously sent *Transcript Collection - Request Letter from NCES to Registrar or Designee - Joint Study Collection* that was signed by Christopher Chapman (page F-11).**

{date}

{contact\_fname} {contact\_lname}  
{inst\_name}  
{inst\_addr1}  
{inst\_addr2}  
{inst\_city}, {inst\_st} {inst\_zip}

Dear {contact\_salute} {contact\_lname}:

[A student/Students] from (Institution) [has/have] been participating in one of two longitudinal studies that are being conducted by the National Center for Education Statistics with data collection being carried out by RTI International, a nonprofit research organization. The studies are

- the High School Longitudinal Study of 2009 (HSLs:09); and
- the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12).

We are writing to request transcripts for {sch\_num} sample member{s} who attended your institution.

HSLs:09 collects information on individuals who were sampled from their high schools as 9<sup>th</sup> graders in 2009 and focuses on understanding how high school experiences affect young adults' learning and their educational and career choices. BPS:12 collects information, such as the students' postsecondary experiences, work while enrolled, persistence in school, degree completion, and employment following enrollment, from individuals who began their postsecondary education for the first time in 2011-12. The next phase in the data collections for HSLs:09 and BPS:12 is to collect transcripts from institutions attended by students in these studies, including (Institution). We have enclosed a letter from Christopher Chapman, Associate Commissioner of NCES, reiterating the importance of this collection.

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. Included with this package, and on the PDP website, are detailed instructions for preparing and transmitting transcript data to RTI. 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 us for additional information. You can reach us by telephone at 1-855-500-1441 or e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

Sincerely,

Daniel Pratt  
Director, HSLs:09

Mike Bryan  
Director, BPS:12 PETS

Please log in to the Postsecondary Data Portal website at:

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

*If mailing to the 2017 primary coordinator, fill:*

Primary Coordinator user name: «UserName»

Your temporary password: «password»

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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 30 minutes per response (HSL:09) and 60 minutes per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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## Transcript Collection – Sample<sup>1</sup> List of Endorsing Associations and Organizations – Joint Study Collection

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

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<sup>1</sup> Endorsements will be sought for the transcript collection in 2016.

# Transcript Collection – Instructions for Providing Transcript Data –Joint Study Collection

## Postsecondary Education Transcript Study

*Example text for this document is included below.*

There are 5 primary steps, outlined below, for providing transcript data. To begin, you will need to log on to the secure NCES Postsecondary Data Portal website at <https://surveys.nces.ed.gov/portal> using the username and password printed at the bottom of the letter you received from RTI. If you are not the Primary Coordinator, please contact him/her for login credentials.

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

### 1 Complete the Institution Information Page

Once logged onto the PDP, you will provide or confirm selected information about your institution, including GPA scale and grading system, on the Institution Information Page (IIP). This page is accessible from the Task Menu.

### 2 Complete the Transcript Data Transmission Page

On the Transcript Data Transmission Page, each student's name, student ID number (if known), and date of birth will be listed. 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 of which is discussed below. If you need assistance with this process, please contact the PDP Help Desk toll-free at 1-855-500-1441 or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

**Upload 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.

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).*

**Send 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: <https://www.pkware.com/software/securezip>. 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 [PortalHelp@rti.org](mailto:PortalHelp@rti.org) and include the file names and descriptions.

**Send 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. 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 [PortalHelp@rti.org](mailto:PortalHelp@rti.org) with the names of the files and their structure.

**Send 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.

**Fax 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 1-855-500-1441. 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

When transcript data are received at RTI, the individual courses and majors reported in the transcripts will be coded using the National Center for Education Statistics' (NCES) College Course Map (for courses) and Classification of Instructional Programs (CIP) (for majors). Institutions that use either of these coding systems for their data are encouraged to transmit coded data for the requested sample members to NCES by uploading to the secure study website or sending via email to [PortalHelp@rti.org](mailto:PortalHelp@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.

# Transcript Collection – Family Educational Rights and Privacy Act Fact Sheet – Joint Study Collection

## 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))

# **Transcript Collection – Brochure Text – HSLs:09 PETS only**

## **High School Longitudinal Study of 2009 (HSLs:09)**

### **Postsecondary Education Transcript Study (PETS)**

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 (ESRA 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 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/>.
- 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**

The National Center for Education Statistics (NCES), of the United States Department of Education, is authorized to conduct HSLs:09 by the Education Sciences Reform Act of 2002 (ESRA 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 (1-855-500-1441; [PortalHelp@rti.org](mailto:PortalHelp@rti.org)).

Once received, transcripts will be data-entered, and fields of study and courses will be coded using the 2010 College Course Map<sup>2</sup>, a postsecondary coding taxonomy.

### **Confidentiality**

NCES is required to follow strict procedures to protect personal information 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 protection 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][3] and 99.35). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

### **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 personal 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 personal information. 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 personal 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 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.

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<sup>2</sup> 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>.

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

**Help Desk**

1-855-500-1441 (toll-free)

**At RTI International**

Tiffany Mattox  
Transcript Collection Manager, HSLs:09  
1-919-485-7791  
[PortalHelp@rti.org](mailto:PortalHelp@rti.org)

Daniel Pratt  
Project Director, HSLs:09  
1-919-541-6615  
[djp@rti.org](mailto:djp@rti.org)

**At the National Center for Education Statistics**

Elise Christopher  
Project Officer, HSLs:09  
1-202-245-7098  
[elise.christopher@ed.gov](mailto:elise.christopher@ed.gov)

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

<date>



## Transcript Collection – Disclosure Notice – Joint Study Collection

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 (HSLs:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12), 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).

Strict protection of all information obtained for HSLs:09 and BPS:12 is assured by current federal laws and regulations. All of the information provided 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 and 6 U.S.C. §151).

HSLs:09 OMB # 1850-0852; Expiration Date: 12/31/2018

BPS:12 OMB # 1850-0631; Expiration Date:01/31/2020

# Transcript Collection – Fax Test Page to RTI – Joint Study Collection

## Student Transcript Fax Test Page «ProjectCode»

Study ID#: «School\_ID»

Name of Sender: \_\_\_\_\_

Date: \_\_\_\_\_

Telephone number: \_\_\_\_\_

Fax number: \_\_\_\_\_

### **Instructions:**

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

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

If you need assistance, please contact our Fax Helpline at 1-855-500-1441.

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

## Transcript Collection – Fax Transmittal Sheet to RTI –Joint Study Collection

### Student Transcript Fax Transmittal Sheet

«ProjectCode»

Study 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 confirmed its receipt before sending this page or the transcripts.**

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

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

If you need assistance, please contact our Fax Helpline at 1-855-500-1441.

# Transcript Collection – Catalog Transmittal Sheet to RTI –Joint Study Collection

## Catalog Transmittal Sheet

«ProjectCode»

Study 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 [PortalHelp@rti.org](mailto:PortalHelp@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> |
|               |  |               |          |  |
|               |  |               |          |  |
|               |  |               |          |  |
|               |  |               |          |  |
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|               |  |               |          |  |

## Transcript Collection – Sample Reminder Email to Registrar or Designee – Joint Study Collection

Dear «salutation» «lname»:

I am writing as a follow-up to the package you should have received recently that included a letter from us about the High School Longitudinal Study of 2009 (HSLs:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Postsecondary Education Transcript collection, being carried out by RTI International on behalf of the National Center for Education Statistics (NCES), U.S. Department of Education.

The letter requested that you log on to the secure NCES Postsecondary Data Portal (PDP) to provide transcript data for sampled students. The PDP website is located at <https://surveys.nces.ed.gov/portal>. The data your institution provides are very important to the success of the studies.

*If sending to the primary coordinator, fill:*

A user ID and password were provided in earlier materials. Please contact the Help Desk if you need assistance logging in.

*If sending to other staff, fill:*

If you need a user name and password, please contact the Primary Coordinator at your institution, <name>.

If you have any questions about the studies or procedures involved, please contact the Help Desk at 1-855-500-1441, or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

Thank you again for your cooperation.

Sincerely,

Daniel Pratt  
Director, HSLs:09

Mike Bryan  
Director, BPS:12 PETS

OMB Control Numbers: 1850-0852 (HSLs:09) and 1850-0631 (BPS:12)  
Learn more about our confidentiality procedures at: <https://surveys.nces.ed.gov/portal>.

# Postsecondary Data Portal Flyer Text

National Center for Education Statistics (NCES)

Postsecondary Data Portal (PDP)

Institutions can now provide data for NCES sample studies<sup>3</sup> easily—at one central location!

## **What is the Postsecondary Data Portal?**

The Postsecondary Data Portal (PDP) is a website that was created with input from institutions like yours!

By taking advantage of the PDP, you can help NCES collect data on students in our sample studies. These data provide much-needed information on vital concerns to students, families, policymakers, and the academic community.

Visit <http://nces.ed.gov/surveys/> for more information on these studies.

## **Key Benefits**

- Eliminates the need to visit a separate website for each NCES sample study in which you are asked to participate
- Creates consistency across studies, as all data are collected using the same interface
- Presents frequently asked questions, timelines, confidentiality information, and contact information for each study currently in progress
- Gives valuable information on current studies' objectives and research questions, as well as access to data and publications from previous studies
- Provides easy access to the NCES DataLab, where you can create tables and graphs with data from NCES sample studies

## **How do I use the PDP?**

We will contact you when your institution is in an active data collection and supply you with your PDP username and password.

The PDP Task Menu will list the steps to follow to provide data.

Depending on your institution's capabilities and specific request, you can choose the most convenient way to provide your data.

Visit the PDP website at <https://surveys.nces.ed.gov/portal>.

For additional questions, you can contact our help desk at 1-855-500-1441 or [PortalHelp@rti.org](mailto:PortalHelp@rti.org). Help Desk staff are available from 9:00 a.m. to 6:30 p.m. Eastern time, Monday – Friday.

## **Contents of Postsecondary Data Portal (PDP) Website – Not Study Specific**

<sup>3</sup> Do

- Web-based data collection system for collecting data, such as transcripts and student records, from a postsecondary institution
- Provides information on all NCES postsecondary sample studies conducting collections, even if not an active collection



## PDP Website Text – Non-Study Specific

### Postsecondary Data Portal<sup>4</sup> Website Content (before log in)

#### Home page

*The study-specific information below, including the list of studies and their OMB numbers and time estimates, the links to the NCES websites for each study, and the list of contact persons will be added or removed as studies that use the Postsecondary Data Portal website begin and end. Before a study is added, planned revisions and additions to the portal's content will be submitted to OMB for review as part of the study's clearance request, then the website will be changed after that request is approved.*

IES logo

Login <UserName> <Password>

Welcome to the Postsecondary Data Portal

The central hub for institutions providing data for sample studies conducted by the National Center for Education Statistics (NCES), part of the U.S. Department of Education.

Log in above to get started.

NCES is authorized to conduct these studies by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for the voluntary information collections using this website are listed below. The time required to complete the information collections is estimated to average the number of minutes or hours listed below per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission of these data, please write directly to: Postsecondary Data Portal studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

HSLs:09 OMB Clearance No: 1850-0852 Expiration Date 12/31/2018

HSLs:09 Transcript Collection (PETS): 30 minutes, HSLs:09 Student Records: 3.3 hours

BPS:12 Student Records OMB Clearance No: 1850-0631 Expiration Date 01/31/2020

BPS:12 Pilot Postsecondary Education Transcript Study (PETS): 10 minutes

BPS:12 Postsecondary Education Transcript Study (PETS): 1 hour

BPS:12 Student Records: 11.6 hours

NPSAS:18-AC OMB Clearance No: 1850-0666 Expiration Date: xx/xx/xxxx

NPSAS:18-AC List Collection: 2.8 hours, NPSAS:18-AC Student Records Collection: 22 hours

Click below to visit the NCES website and learn more about the studies that use this portal.

<link to NCES website for NPSAS>

<link to NCES website for BPS>

<link to NCES website for B&B>

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<sup>4</sup> The Postsecondary Data Portal website is designed to be used by more than one study to collect data. The majority of the website text is designed to apply to multiple NCES studies. Study-specific text is labeled and only available after log in.



<link to NCES website for HSL:09>

<link to <http://nces.ed.gov/datalab/>>

(Text below is on footer of every page)

#### Other NCES Links

NCES DataLab  
National Center for Education Statistics

#### Contact Info

Help Desk: [PortalHelp@rti.org](mailto:PortalHelp@rti.org) or 1-855-500-1441  
RTI Institution Records Coordinator [Tiffany Mattox](#) or 1-855-500-1441  
NPSAS:18 Administrative Collection  
RTI Study Director [Peter Siegel](#) or 1-855-500-1441  
NCES Project Officer Sean Simone or (202) 245-7631  
BPS:12 Postsecondary Education Transcript Study  
RTI Study Director [Mike Bryan](#) or 1-855-500-1441  
NCES Project Officer Sean Simone or (202) 245-7631  
HSL:09  
RTI Project Director [Dan Pratt](#) or 1-855-500-1441  
NCES Project Officer [Elise Christopher](#), Ph.D. or (202) 245-7098  
BPS:12 Student Records Collection  
RTI Study Director [Kristin Dudley](#) or 1-855-500-1441  
NCES Project Officer Sean Simone or (202) 245-7631

#### Latest Tweets

<link to NCES Tweeter feed>

OMB Clearance Numbers: HSL:09 1850-0852 Expiration Date 12/31/2018; BPS:12 Student Records 1850-0631 Expiration Date 01/31/2020

[Note that OMB Clearance numbers will be added and removed as studies are added and removed from the PDP]

## About About this website

We developed the Postsecondary Data Portal (PDP) website (<https://surveys.nces.ed.gov/portal>) to improve your user experience. The PDP reduces the time it takes to respond to NCES data requests and makes the data submission process as simple and straightforward as possible.

Benefits of the new PDP include the following:

- **Centralization.** It is a central hub for uploading postsecondary institution data for all NCES sample studies.
- **Personalization and Functionality.** You can choose from three user friendly modes for providing data, all of which offer intuitive functionality.
- **Continuity.** Future data requests will remain as static as possible, and reports or programs you create to provide the data can be updated minimally to complete future requests.
- **Security.** Data are secured through password-protected access and Secure Sockets Layer (SSL) encryption.
- **Tools at Your Fingertips.** You can access DataLab, our powerful, easy-to-use suite of online data analysis tools that includes more than 30 federal education datasets.

Each of the studies collect data that are used by NCES for reporting and analysis. Any data released to the public will be in aggregate form (e.g., statistical tables, graphs). Review the FAQs or log in to learn more. Background information on each study can be accessed from the Home page.

The Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015) authorize NCES to collect and disseminate information about education in the United States. NCES is the primary federal statistical entity for collecting and analyzing data related to education in the U.S. and other nations. NCES is located within the Institute of Education Sciences of the U.S. Department of Education. NCES fulfills a Congressional mandate to collect, collate, analyze, and report complete statistics on the condition of American education; conduct and publish reports; and review and report on education activities internationally.

NCES has contracted with RTI International to administer the studies included on this website. RTI is an independent, nonprofit contract research organization located in Research Triangle Park, NC, that was established by a joint action of three major universities in North Carolina: University of North Carolina at Chapel Hill, North Carolina State University, and Duke University. RTI began operations in 1958 and has provided contract support to NCES on postsecondary research dating back to 1971.

Annually, NCES also conducts a system of interrelated surveys entitled the Integrated Postsecondary Education Data System (IPEDS) through a different [website](#). IPEDS gathers information from every college, university, and technical and vocational institution that participates in the federal student financial aid programs. These data are made available to students and parents through the [College Navigator](#) college search website and to researchers and others through the IPEDS Data Center.

### Confidentiality and Security

All of the information provided as part of NCES sample studies 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

and 6 U.S.C. §151). Any student data released to the general public (for example, in statistical tables) are designed so that it is not possible to identify specific individuals.

Specific measures have been taken to protect all responses:

- Data are collected over a secure server and connection, protected by Secure Sockets Layer technology (SSL; 128-bit encryption). All hard-copy records are maintained in locked storage cabinets. A unique study identification variable (not the Social Security number or student ID) are created and maintained for each sampled student to protect against inadvertent disclosure of confidential data.
- All electronic data are secured in protected data files, and personally identifiable information (PII) is stored in files separate from the descriptive information. The data are stored securely on an Enhanced Security Network, which is certified and accredited as a NIST moderate security level network. NCES and RTI employ strict procedures for the transfer of PII; maintenance, storage, and use of direct identifiers; replacement of direct identifiers with internal codes; security of master survey files; and reporting of data security breaches in accord with the U.S. Department of Education Incident Handling Procedures. For more information on NIST security level, please see FIPS Publication 199 at <http://nvlpubs.nist.gov/nistpubs/FIPS/NIST.FIPS.199.pdf>.
- All NCES staff and contractors are subject to severe fines and imprisonment for disclosing individual responses.
- All RTI project staff members have signed Confidentiality Agreements and Affidavits of Nondisclosure and are prohibited by law from using the obtained information for any purposes other than this research study.
- Data security procedures are reviewed and approved by NCES data security staff.

Confidentiality and data security protection procedures have been put in place for the studies accessible through this website to ensure that the contractor and its subcontractors comply with all privacy requirements, including:

1. The statement of work of each contract;
2. *Family Educational Rights and Privacy Act (FERPA) of 1974* (20 U.S.C. §1232(g));
3. *Privacy Act of 1974* (5 U.S.C. §552a);
4. *Privacy Act Regulations* (34 CFR Part 5b);
5. *Computer Security Act of 1987*;
6. *U.S.A. Patriot Act of 2001* (P.L. 107-56);
7. *Education Sciences Reform Act of 2002* (ESRA 2002, 20 U.S.C. §9573);
8. *Confidential Information Protection and Statistical Efficiency Act of 2002*;
9. *E-Government Act of 2002*, Title V, Subtitle A;
10. *Cybersecurity Enhancement Act of 2015* (6 U.S.C. §151);
11. The U.S. Department of Education General Handbook for Information Technology Security General Support Systems and Major Applications Inventory Procedures (March 2005);
12. The U.S. Department of Education Incident Handling Procedures (February 2009);
13. The U.S. Department of Education, ACS Directive OM: 5-101, Contractor Employee Personnel Security Screenings;
14. NCES Statistical Standards; and
15. All new legislation that impacts the data collected through the contract for this study.

The data collection contractor complies with the U.S. Department of Education's IT security policy requirements as set forth in the Handbook for Information Assurance Security Policy and related procedures and guidance, as well as IT security requirements in the Federal Information Security Management Act (FISMA), Federal

Information Processing Standards (FIPS) publications, Office of Management and Budget (OMB) Circulars, and the National Institute of Standards and Technology (NIST) standards and guidance. All data products and publications will also adhere to the NCES Statistical Standards, as described at the website: <http://nces.ed.gov/statprog/2012/>.

## Contact Us

### CONTACT US

Name


Email

Organization (optional)

Phone (optional)

Comments

The contact information you provide in this form will only be used to follow up on your message.

 Telephone contact information can be found at the bottom of each page of this website.

## FAQs

**FAQs - General** (these apply across projects and are available before the user logs in.)

### Who is collecting these data?

The National Center for Education Statistics (NCES), in the United States Department of Education's Institute of Education Sciences, is conducting the studies that use this website, and has contracted with RTI International to collect data for these studies. The studies are listed on the Home page. NCES is the primary federal statistical entity for collecting and analyzing data related to education in the U.S. and other nations. RTI International is an independent, nonprofit research organization, established as a joint action of the three major universities in North Carolina: University of North Carolina at Chapel Hill, North Carolina State University, and Duke University.

## **By what authority does NCES collect this information?**

The National Center for Education Statistics (NCES), within the U.S. Department of Education's Institute of Education Sciences, has been authorized by Congress to conduct these studies in the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). Each study has been approved by the U.S. Office of Management and Budget (OMB).

## **How was my institution selected?**

The National Postsecondary Student Aid Study (NPSAS) scientifically samples institutions from all Title IV institutions included in the [Integrated Postsecondary Education Data System \(IPEDS\)](#). For longitudinal studies such as the Beginning Postsecondary Students Longitudinal Study (BPS), sample members have identified which institutions they attended when completing the student survey; this information may also come from other administrative data sources. Transcripts and student records are collected from the postsecondary institutions attended by sample members.

## **Why is participation important?**

The quality and affordability of postsecondary education are vital concerns for students and their families. The National Postsecondary Student Aid Study (NPSAS) is designed to describe how students meet the cost of education beyond high school and provides comprehensive data on the enrollment status, education goals, employment, and demographic characteristics of postsecondary students across the nation.

The NCES longitudinal sample studies collect data from transcripts, student records, and/or student surveys to provide much-needed information on the course of study of today's college students as they begin, leave, and re-enter postsecondary study, transfer between institutions, and complete programs at all levels of institutions. The combination of transcripts and other data collected through surveys, file matching, and record abstraction, allows for analyses of the undergraduate and graduate paths taken by sample members and for analyses of the important link between academic performance and outcomes over time.

The data collected through the studies on this website appear in a wide array of publications and reports, and are cited in journal and newspaper articles and in foundation policy briefs. They are also widely used for decision making. For example, NPSAS is the primary source of data used by federal government agencies and higher education associations to analyze the effectiveness of current federal student financial aid programs, and by the U.S. Department of Education, the Congressional Budget Office (CBO), the Government Accountability Office (GAO), the Office of Management and Budget (OMB), the American Council on Education (ACE), the National Association of Independent Colleges and Universities (NAICU), the National Association of Student Financial Aid Administrators (NASFAA), and many others to prepare the reports that influence the direction of federal student aid policies.

The data collected through the studies on this website are used by researchers, policymakers, and administrators to analyze and nationally benchmark information about current postsecondary students; to analyze local and national trends over time; and to inform decisions at the institutional, state, and national levels. Participation of each sampled institution assures that the data thus used accurately represent students attending all different types of postsecondary institutions in the United States.

## **Do we need to have the student's permission before providing this information?**

No. Student or parental consent is not required for release of student record information for the purposes of these studies. The data request conforms fully to the requirements of the Family Educational Rights and Privacy Act of 1974 (FERPA) (34 CFR Part 99). Under FERPA's general consent rule, NCES is authorized to obtain student level data from institutions for any study-eligible student, without prior consent, if the disclosure is to authorized representatives of the Secretary of Education [34 CFR §§ 99.31(a)(3) and 99.35]. Student data are subject to strict protections that are adhered to by NCES and its contractor organizations. You can review this regulation on the U.S. Department of Education's website at <http://www2.ed.gov/policy/gen/reg/ferpa>.

FERPA regulations also stipulate that all disclosures be reported in the student record, with an indication of who received the information and their legitimate interests in the information. For schools without electronic student record systems, a Disclosure Notice may be printed after log in from the Reference Materials page. These notices fulfill the requirements of 34 CFR 99.32(a) pursuant to the Family Educational Rights and Privacy Act (20 U.S.C. §1232g). Electronic student record systems will require the insertion of a similar statement.

### **Are the collected data kept secure and confidential?**

Both NCES and RTI International follow strict procedures to protect study participants' information. For more information on confidentiality and data security see <https://surveys.nces.ed.gov/Portal/Home/Confidentiality>.

### **How do we provide the data?**

The data are submitted by upload or keying as well as other methods. After logging in, you will see a list of what is needed on the Postsecondary Data Portal Task Menu. You can click on any active menu option.

### **What assistance is available from RTI staff?**

The Help Desk at RTI International is available to answer your questions about the studies and using this website. Please call 1-855-500-1441 or e-mail [PortalHelp@rti.org](mailto:PortalHelp@rti.org) with your concerns. Help Desk staff are available from 9:00 a.m. to 6:30 p.m. Eastern time, Monday - Friday.

## **Postsecondary Data Portal Website Content (after log in)**

*This section includes content of the Postsecondary Data Portal (PDP) that is available to users after logging in to the website. The post-login webpages are customized based on the study or studies for which the institution has been sampled.*

*The Task Menu and Designate a Coordinator pages are used for all studies that collect data through the PDP.*

### **POSTSECONDARY DATA PORTAL TASK MENU**

Welcome, it's time to complete the tasks below.

Your participation in studies developed by the National Center for Education Statistics is very important.

The data collected from your institution will provide much-needed information on the academic experiences of today's postsecondary students as they begin, leave, and reenter postsecondary education, transfer between institutions, and complete programs at all types of institutions.

Please complete the tasks indicated by a green arrow.

- Designate a Coordinator
- Complete the Institution Registration Page
- Review Sampled Student List

#### Student Records

- Provide Institution Information for Student Records
- Provide Student Record Information

#### Transcripts

- Provide Transcript Legend Information
- Provide Transcript Data
- Upload Course Catalogs





## POSTSECONDARY DATA PORTAL TASK MENU

Welcome, it's time to complete the tasks below.



Your participation in studies developed by the National Center for Education Statistics is very important.

The data collected from your institution will provide much-needed information on the academic experience of today's postsecondary students as they begin, leave, and re-enter postsecondary study, transfer between institutions, and complete programs at all types of institutions.

Please complete the tasks indicated by a green arrow.

➔ Designate a Coordinator

✓ View the Institution Registration Page

✓ View Your Student Enrollment List

✓ View Institution Information for Student Records

➔ Provide Student Record Information

? **STUDY SPECIFIC FAQs**

📅 **PARTICIPATION SCHEDULE**

i **REFERENCE MATERIALS**  
Brochures, Letters, Forms

✓ **INSTRUCTIONS**  
and video tutorials

CONTACT HELP DESK



☎ 1-855-500-1441

✉ PortalHelp@rti.org

### Designate a Coordinator page

Please fill in or verify the information below. The coordinator is your institution's primary contact for NCES sample studies institution data collections. He or she will receive all further communication about study procedures and deadlines.

Please note that we need a 'FedEx-friendly' address - no PO Box addresses, please!

Coordinator

Salutation

Name

Title

Institution

Address

Telephone

Fax

Email

**Contents of Postsecondary Data Portal (PDP) Website specific to  
HSL:09 Postsecondary Education Transcript Study (PETS)**

- Provides information and collects data specific to HSL:09 PETS

# PDP Website Text - Transcript Collection – Joint Study Collection

## Study Specific FAQs – HSL:09 PETS

(These FAQs are specific to HSL:09 PETS and are available only after the user has logged in to the website.)

### HSL:09 PETS FAQs

This section contains answers to frequently asked questions (FAQs) about HSL:09 PETS. You can access general FAQs about this website [here](#).

### Background and Purpose of HSL:09

#### What is HSL:09 about?

HSL:09 follows a cohort of young adults who were in ninth grade during the 2009-2010 school year and through college, the workforce, or both. The study focuses on understanding how high school experiences affect young adults' learning and their educational and career choices. The study also explores young adults' transitions from high school to college, the labor force, or adult roles. Of special interest is course-taking and career preparation in math and science.

Researchers will examine how communities, schools, teachers, families, and friends impact young people's lives by analyzing data collected from many sources including students, parents, and administrative records (including academic transcripts).

- The first phase of this study took place in the fall of 2009 when the young adults were in ninth grade.
- The second phase of this study took place in 2012.
- Young adults who participated in one of the prior rounds of HSL:09 were then asked to complete a brief questionnaire in 2013 that focused on the transition from high school to college and the workforce.
- High school transcripts were collected during the 2013-2014 school year.
- The most recent phase of the study took place in 2016. Its questionnaire provides valuable information about postsecondary education and career choices.

Participants' data are combined with information collected from other participants to produce national statistics used by policymakers at the local, state, and national level to improve educational practices and learning in the United States. To learn more about the data from previous HSL data collections, visit [NCES's website](#).

## PETS-specific FAQs

### How is the Postsecondary Education Transcript Study (PETS) being conducted?

Institutions attended by HSLs:09 and BPS:12 students will be contacted and asked to provide their transcripts and to complete an information page about academic term schedules and grading scales. Institutions may also be asked to provide course catalogues if they are not available through other public sources.

Institutions can submit transcripts for their students using any of several methods: uploading to this website, emailing 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 transcript request packet and are also accessible from the "Provide Transcript Data" link after logging in. The Help Desk will respond to any questions or problems (1-855-500-1441; [\[EMAIL ADDRESS\]](#)). Once received, transcripts will be converted to a standardized electronic form and fields of study and courses will be coded using a dictionary developed from the 2010 Classification of Instructional Programs codes (<http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55>) and the College Course Map:2010<sup>1</sup>.

A descriptive report based on the PETS data will be released following completion of the study. Other reports and additional information about the NCES postsecondary transcript studies can be found at this website:

<http://nces.ed.gov/surveys/pets>. In addition, information about the postsecondary transcript study conducted for the National Education Longitudinal Study of 1988 can be found here: <http://nces.ed.gov/surveys/nels88>.

<sup>1</sup> 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>.

### How was my institution selected?

Transcripts will be collected from the postsecondary institutions attended by all HSLs:09 and BPS:12 sample members. Institutions attended are reported by sample members during interviews and identified from administrative data sources.

### Why is participation important?

The data collected from transcripts and student interviews will provide much-needed information on the course of study of today's college students as they begin, leave, and re-enter postsecondary study, transfer between institutions, and complete programs at all levels of institutions. The combination of transcripts and other study data collected through interviews, file matching, and record abstraction will afford researchers the opportunity to summarize the undergraduate and graduate paths taken by HSLs:09 and BPS:12 cohort members and provide them with an important link between academic performance and outcomes.

### What specific data are needed from sampled student transcripts?

We need a complete transcript for each sampled student. The following data are especially important:

- Major
- Minor
- Degree(s) awarded
- Date Degree(s) awarded
- Credits transferred to institution
- Cumulative GPA
- Major GPA

Course-taking information including the following elements:

- Term
- Term begin date
- Term end date
- Course number

- Course title
- Course grade earned
- Course credits earned
- Type of special credit, if applicable (CLEP, AP, IB, internship, etc.)

Data from transfer transcripts including the following elements:

- Name of institution
- IPEDS ID of institution, if known
- City of institution
- State of institution
- Major
- Minor
- Degree(s) awarded
- Date degree(s) awarded
- Cumulative GPA
- Major GPA
- Course-taking elements (see above)

### **How do we provide the transcript data?**

There are several options for transmitting the transcript data including fax, secure web upload, and via the SPEEDE server at National Student Clearinghouse. Please refer to the instructions sent along with the transcript request letter or the Detailed Instructions for Providing Transcript Data (available after clicking the Provide Transcript Data button on the Task Menu) for an explanation of the options.

### **What will happen to the transcript data after you collect them?**

We will securely store the provided data in our password-protected computers. We will keep the files until we have completed all data collection and processing and then we will destroy them.

## **Reference Materials**

### **PETS**

- Brochure (text included on previous pages of this appendix)
- Endorsements (text included on previous pages)
- Request letters (text included on previous pages)
- Fax Test and Transmittal sheets (text included on previous pages)
- Catalog Transmittal Sheet (text included on previous pages)
- Data Elements (text included on subsequent pages)
- Disclosure Notice (text included on previous pages)

## **Instructions**

### **PETS**

- Instructions for Providing Transcript Data (text included on previous pages of this appendix)

## HSLs:09 Postsecondary Education Transcript Study (HSLs:09 PETS) Data Elements

### Course data elements

- Course name and number
- Course code (coded using College Course Map:2010)<sup>5</sup>
- 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
- 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
- Calendar system
- Clock or credit hours

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<sup>5</sup> 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>.

**Appendix G**  
**Student Records Request**  
**Contacting Materials**

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## **Student Records Contacting Materials – Joint Study Collection**

- Letter to financial aid director or designee from NCES project officers
- FAQs
- Disclosure notice
- Additional students letter
- Reminder email 1 example
- Reminder email 2 example
- Quick Guide text
- Brochure text

# Student Records Collection – Request Letter from NCES to Financial Aid Director or Designee –Joint Study Collection

*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»

**Student Records Data Due: «expected\_Date\_curr»**

Dear «salutation» «lname»,

(Institution) has been selected to participate in the High School Longitudinal Study of 2009 (HSL:09) and 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Student Records Collection. The studies are authorized by federal law under the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). HSL:09 and BPS:12 are being conducted by NCES with data collection being carried out by RTI International, a nonprofit research organization. We are writing to ask that you provide student record data for sampled students who attended your institution.

To facilitate the data submission process, we have developed the web-based Postsecondary Data Portal (PDP) through which you or your staff will be able to provide data for your selected students. The secure PDP website is available at: <https://surveys.nces.ed.gov/portal>. We have enclosed a *Quick Guide to Providing Student Records Data* describing how to access and use the PDP. On the PDP, you will find the list of your sampled students and details on what data we need to obtain for each. We ask that you please provide the requested data on or before **[DUE DATE]**.

There are three different methods available for providing student data through the PDP. Data may be entered directly into the web-based system, you may download and complete an Excel template which is then uploaded to the PDP, or a programmer at your institution may 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 a screen in the PDP.

Please be assured that the security of your students' data is of the utmost importance, and our Student Records collection process 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 a user name and unique password. If you are the Primary Coordinator, they are printed below for your convenience. Please note the password is temporary and you will need to choose a new one the first time you log in. If you are not the Primary Coordinator for this collection, please contact him/her (<fillPCname> at your institution) to receive login credentials.

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 collection or about using the PDP. You may contact the Help Desk at 1-855-500-1441, toll-free, or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

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

Sincerely,

Elise Christopher, Ph.D.

Project Officer, HSL:09

National Center for Education Statistics

Sean Simone, Ph.D.  
Project Officer, BPS:12 Student Records  
National Center for Education Statistics

Please log in to the Postsecondary Data Portal website  
at:

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

*If mailing to the primary coordinator, fill:*

Primary Coordinator user name: «entity\_id»

Your temporary password: «password»

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NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 3.3 hours per response (HSL:09) and 11.6 hours per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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# Student Records Collection – FAQ Sheet for Financial Aid Director or Designee – Joint Study Collection

## Student Records Frequently Asked Questions (FAQs)

*This sheet is included in the request packet.*

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

No. Student or parental consent is not required for release of student record information for the purposes of these studies. The data request conforms fully to the requirements of the Family Educational Rights and Privacy Act of 1974 (FERPA) (34 CFR Part 99). Under FERPA's general consent rule, NCES is authorized to obtain student level data from institutions for any study-eligible student, without prior consent, if the disclosure is to authorized representatives of the Secretary of Education [34 CFR §§ 99.31(a)(3) and 99.35]. Student data are subject to strict protections that are adhered to by NCES and its contractor organizations. You can review this regulation on the U.S. Department of Education's website at <http://www2.ed.gov/policy/gen/reg/ferpa>.

FERPA regulations also stipulate that all disclosures be reported in the student record, with an indication of who received the information and their legitimate interests in the information. For schools without electronic student record systems, a Disclosure Notice may also be printed after log in from the Reference Materials page. These notices fulfill the requirements of 34 CFR 99.32(a) pursuant to the Family Educational Rights and Privacy Act (20 U.S.C. §1232g). Electronic student record systems will require the insertion of a similar statement.

### 2. By what authority does NCES collect this information?

Congress has authorized (20 U.S.C. §9543) the National Center for Education Statistics (NCES) within the U.S. Department of Education to conduct education studies in compliance with the Education Sciences Reform Act of 2002 (20 U.S.C. §9573), the Federal Statistical Confidentiality Order of 1997, the Privacy Act of 1974 [5 U.S.C. 552a], and the E-Government Act of 2002. Both the 2011-12 Beginning Postsecondary Students Longitudinal Study (BPS:12) and the High School Longitudinal Study of 2009 (HSL:09) have been approved by the U.S. Office of Management and Budget (OMB).

BPS:12 OMB Control Number 1850-0631 Expiration Date 1/31/2020  
HSL:09 OMB Control Number 1850-0852 Expiration Date 12/31/2018

### 3. 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 1-855-500-1441, toll-free, or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

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

Yes. You can download an Excel template to create the data file we need, or you or a programmer can create data files according to the specifications available on the Student Records Data page of the Postsecondary Data Portal (PDP) website. If you have questions, please contact the Help Desk at 1-855-500-1441 or e-mail [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

## Student Records Collection – Disclosure Notice – Joint Study Collection

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 (HLS:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12), 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).

Strict protection of all information obtained for HLS:09 and BPS:12 is assured by current federal laws and regulations. All of the information provided 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 and 6 U.S.C. §151).

HLS:09 OMB # 1850-0852; Expiration Date: 12/31/2018  
BPS:12 OMB # 1850-0631; Expiration Date:01/31/2020

# Student Records Collection – RTI Letter to Financial Aid Director or Designee for Additional Students – Joint Study Collection

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

<date>

«salutation» «fname» «lname»

«entity\_name»

«phys\_addr2»

«phys\_city», «phys\_state» «phys\_zip»

**Student Records Data Due: «expected\_date\_curr»**

Dear «salutation» «lname»,

Thank you for your continued participation in the High School Longitudinal Study of 2009 (HSL:09) and 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Student Records Collection. You recently provided student record data for the sampled students who attended your institution. We now ask that you provide data for additional sampled students whom we have recently learned attended your institution. Please complete the record abstraction and provide the requested data for these students on or before **[DUE DATE]**.

You or someone on your staff will be able to provide data for your selected students through the secure NCES Postsecondary Data Portal (PDP), located at: <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 PDP for this purpose. You can find details on what data we need to obtain for each sampled student from the Instructions link on the PDP. 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.

You may recall that there are three different methods available for providing the student data through the PDP. Regardless of the method you choose, you will be able to review your provided data on screen in the PDP.

Please be assured that the security of your students' data continues to be of the utmost importance, and the collection process 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 a user name and unique password.

Soon, we will call you to confirm your receipt of this material and the completion date for providing the requested 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 1-855-500-1441, toll-free, or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

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

Sincerely,

Elise Christopher, Ph.D.  
Project Officer, HSL:09  
National Center for Education Statistics

Sean Simone, Ph.D.  
Project Officer, BPS:12 Student Records  
National Center for Education Statistics

Please log in to the Postsecondary Data Portal website at:

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

*If mailing to the primary coordinator, fill:*

Primary Coordinator user name: «UserName»

Your temporary password: «password»

NCES is authorized to conduct the High School Longitudinal Study of 2009 (HSL:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543) and the Higher Education Opportunity Act of 2008 (HEOA 2008, 20 U.S.C. §1015). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for these voluntary information collections are 1850-0852 (HSL:09) and 1850-0631 (BPS:12). The time required to complete the information collections is estimated to average approximately 3.3 hours per response (HSL:09) and 11.6 hours per response (BPS:12), including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission, please write directly to: Postsecondary Data Portal Studies, National Center for Education Statistics, PCP, 550 12th St., SW, 4th floor, Washington, DC 20202.

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## Student Records Collection – Sample Reminder Email 1 to Financial Aid Director or Designee – Joint Study Collection

Dear «salutation» «lname»:

I am writing as a follow-up to the package you should have received recently that included a letter from us about the High School Longitudinal Study of 2009 (HSLs:09) and 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Student Records Collection, being carried out by RTI International on behalf of the National Center for Education Statistics (NCES).

The letter requested that you log on to the secure NCES Postsecondary Data Portal (PDP) to provide institution record data for sampled students. The PDP website is located at <https://surveys.nces.ed.gov/portal>. The data your institution provides are very important to the success of the studies.

*If sending to the primary coordinator, fill:*

A user ID and password were provided in earlier materials. Please contact the Help Desk if you need assistance logging in.

*If sending to other staff, fill:*

If you need a user name and password, please contact the Primary Coordinator at your institution, <name>.

If you have any questions about the studies or procedures involved, please contact the Help Desk at 1-855-500-1441, or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

Thank you again for your cooperation.

Sincerely,

Daniel Pratt  
Director, HSLs:09

Kristin Dudley  
Director, BPS:12 Student Records

OMB Control Numbers: 1850-0852 (HSLs:09) and 1850-0631 (BPS:12)  
Learn more about our confidentiality procedures at: <https://surveys.nces.ed.gov/portal>.



## Student Records Collection – Sample Reminder Email 2 to Financial Aid Director or Designee – Joint Study Collection

Dear «salutation» «lname»:

I am writing to remind you about the High School Longitudinal Study of 2009 (HSLs:09) and the 2012 Beginning Postsecondary Students Longitudinal Study (BPS:12) Student Records Collection. By providing institution record data for the sampled students, you make an important contribution to research that will help legislators and researchers understand how students and their families meet the cost of education beyond high school and the relationship between these costs and persistence and attainment in education.

If you are currently preparing the data, thank you. If you have not begun, please do so. We need representation of all of the types of institutions and students to compile the most valuable, accurate data.

The secure NCES Postsecondary Data Portal website is located at <https://surveys.nces.ed.gov/portal>.

*If sending to the primary coordinator, fill:*

A user ID and password were provided in earlier materials. Please contact the Help Desk if you need assistance logging in.

*If sending to other staff, fill:*

If you need a user name and password, please contact the Primary Coordinator at your institution, <name>.

HSLs:09 and BPS:12 are being conducted by the National Center for Education Statistics (NCES), of the U.S. Department of Education, with data being collected by RTI International, a nonprofit research organization.

If you have any questions about the study or procedures involved, please contact the Help Desk at 1-855-500-1441 or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

Thank you again for your cooperation.

Sincerely,

Daniel Pratt  
Director, HSLs:09

Kristin Dudley  
Director, BPS:12 Student Records

OMB Control Numbers: 1850-0852 (HSLs:09) and 1850-0631 (BPS:12)  
Learn more about our confidentiality procedures at: <https://surveys.nces.ed.gov/portal>.

## Student Records Collection – Example Text for Quick Guide to Providing Student Records Data – Joint Study Collection

In order to provide student records data, you will need to access the secure Postsecondary Data Portal at <https://surveys.nces.ed.gov/portal>. Log in using the username and password printed on the letter you received from RTI. If you are not the primary Coordinator, you will need to contact him/her for login credentials.

*NOTE: You will need your username and password each time you 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. 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 current demographics and contacting information, as well as, 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, they will be validated as you enter them. 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 1-855-500-1441 or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

## Student Records Collection – Text for Student Records Brochure – HSLs:09 only

### High School Longitudinal Study of 2009 (HSLs:09)

#### Student Records Collection

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 records. HSLs:09 data, collected under authority of the Education Sciences Reform Act of 2002 (ESRA 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 data on its behalf.

Assistance is needed from institutions to make the results of this study comprehensive, accurate, and timely. We are collecting student records data for students who have voluntarily participated in HSLs:09. The information collected includes enrollment status, demographic characteristics, and financial assistance for each sampled student.

#### *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 fall term of 2009. 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.

#### *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 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 will 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 of Data Collection*

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][3] and 99.35). NCES is authorized to conduct HSLs:09 by the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. §9543). The data are being collected for NCES by RTI International, a U.S.-based nonprofit research organization. All of the information you provide 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 and 6 U.S.C. §151).

For assistance with the HSLs:09 Student Records Collection, please contact:

#### **Help Desk**

<helpdeskphone> (toll-free)

#### **At RTI International**

Tiffany Mattox  
Records Collection Manager, HSLs:09  
1-919-485-7791  
[PortalHelp@rti.org](mailto:PortalHelp@rti.org)

Daniel Pratt  
Project Director, HSLs:09  
1-919-541-6615  
[djp@rti.org](mailto:djp@rti.org)

#### **At the National Center for Education Statistics**

Elise Christopher  
Project Officer, HSLs:09  
1-202-245-7098  
[elise.christopher@ed.gov](mailto:elise.christopher@ed.gov)

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

<date>

## Postsecondary Data Portal Flyer Text

*This informational flyer is handed out to any institution staff at conferences and similar venues. Its distribution is not limited to sample members of specific studies.*

National Center for Education Statistics (NCES)

Postsecondary Data Portal (PDP)

Institutions can now provide data for NCES sample studies<sup>6</sup> easily—at one central location!

### **What is the Postsecondary Data Portal?**

The Postsecondary Data Portal (PDP) is a website that was created with input from institutions like yours!

By taking advantage of the PDP, you can help NCES collect data on students in our sample studies (e.g., NPSAS, BPS, B&B, HSLs). These data provide much-needed information on vital concerns to students, families, policymakers, and the academic community.

Visit <http://nces.ed.gov/surveys/> for more information on these studies.

### **Key Benefits**

- Eliminates the need to visit a separate website for each NCES sample study in which you are asked to participate
- Creates consistency across studies, as all data are collected using the same interface
- Presents frequently asked questions, timelines, confidentiality information, and contact information for each study currently in progress
- Gives valuable information on current studies' objectives and research questions, as well as access to data and publications from previous studies
- Provides easy access to the NCES DataLab, where you can create tables and graphs with data from NCES sample studies

### **How do I use the PDP?**

We will contact you when your institution is in an active data collection and supply you with your PDP username and password.

The PDP Task Menu will list the steps to follow to provide data.

Depending on your institution's capabilities and specific request, you can choose the most convenient way to provide your data.

Visit the PDP website at <https://surveys.nces.ed.gov/portal>.

For additional questions, you can contact our help desk at 1-855-500-1441 or [PortalHelp@rti.org](mailto:PortalHelp@rti.org). Help Desk staff are available from 9:00 a.m. to 6:30 p.m. Eastern time, Monday – Friday.

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<sup>6</sup> Does not include Integrated Postsecondary Education Data System (IPEDS).



## **Contents of Postsecondary Data Portal (PDP) Website specific to HSLs:09 Student Records**

- Provides information and collects data specific to HSLs:09 Student Records

### **PDP Website Text – Student Records Collection – Joint Study Collection**

The Postsecondary Data Portal content for HSLs:09 Student Records will be the same as shown in Appendix F, for HSLs:09 PETS. The text that is specific to HSLs:09 Student Records is included below.

#### **Study Specific FAQs**

(These FAQs are specific to HSLs:09 Student Records and are available after the user has logged in to the website.)

#### **HSLs:09 Student Records FAQs**

This section contains answers to frequently asked questions (FAQs) about HSLs:09 Student Records. You can access general FAQs about this website [here](#).

#### **Background and Purpose of HSLs:09**

##### **What is HSLs:09 about?**

HSLs:09 follows a cohort of young adults who were in ninth grade during the 2009-2010 school year and through college, the workforce, or both. The study focuses on understanding how high school experiences affect young adults' learning and their educational and career choices. The study also explores young adults' transitions from high school to college, the labor force, or adult roles. Of special interest is course-taking and career preparation in math and science.

Researchers will examine how communities, schools, teachers, families, and friends impact young people's lives by analyzing data collected from many sources including students, parents, and administrative records (including academic transcripts).

- The first phase of this study took place in the fall of 2009 when the young adults were in ninth grade.
- The second phase of this study took place in 2012.
- Young adults who participated in one of the prior rounds of HSLs:09 were then asked to complete a brief questionnaire in 2013 that focused on the transition from high school to college and the workforce.
- High school transcripts were collected during the 2013-2014 school year.
- The most recent phase of the study took place in 2016. Its questionnaire provides valuable information about postsecondary education and career choices.

Participants' data are combined with information collected from other participants to produce national statistics used by policymakers at the local, state, and national level to improve educational practices and learning in the United States. To learn more about the data from previous HSLs data collections, visit [NCES's website](#).

#### **SR-specific FAQs**



**Where do I go for the information requested?**

The information needed for each of the sampled students is typically collected from three distinct 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 *Quick Guide to Providing Student Records Data*, please contact the Help Desk with your questions at 1-855-500-1441, toll-free, or via e-mail at [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

**How long does it take to collect student records data for HSL:09?**

Our estimates indicate that providing the requested student records data will take about 3 hours on average. If you have any concerns with the amount of time it is taking you to provide the requested data, please call the Help Desk at 1-855-500-1441, toll-free. RTI will work with you to successfully complete this data collection effort.

**How do we provide the data?**

There are three methods available for providing the student records data through the online Student Records System: keying data into the system, filling in and then uploading an Excel template, or uploading data files created by you or an institution programmer.

**Can I provide a data file instead of using the online data entry option?**

Yes. You can download an Excel template to create the data file we need, or you or a programmer can create data files according to the specifications available on the Student Records Data page of the website. If you have questions, please contact the Help Desk at 1-855-500-1441 or e-mail [PortalHelp@rti.org](mailto:PortalHelp@rti.org).

**What assistance is available from RTI staff?**

The Help Desk at RTI International is available to answer your questions about the studies and using this website. Please call 1-855-500-1441 or e-mail [PortalHelp@rti.org](mailto:PortalHelp@rti.org) with your concerns. Help Desk staff are available from 9:00 a.m. to 6:30 p.m. Eastern time, Monday - Friday.

**Reference Materials****Student Records**

- Brochure (text included on previous pages of this appendix)
- Endorsements (text included on previous pages of this appendix)
- Request letters (text included on previous pages of this appendix)
- Student Records Item Overview Handout (text included on subsequent pages of this appendix)
- Disclosure Notice (text included on previous pages of this appendix)

**Instructions****Student Records**

- Quick Guide (text included on previous pages of this appendix)

# Overview of Student Records Items

## General Student Information

### Single items (Collected once per student)

#### Personal Information

Institute ID (IPEDS ID)  
 Study ID  
 First Name  
 Middle Name  
 Last Name  
 Suffix  
 Social Security Number (SSN)  
 Date of Birth  
 Sex

#### Marital Status and Spouse Information

Marital Status  
 Maiden Name  
 Spouse First Name  
 Spouse Middle Name  
 Spouse Last Name

#### Citizenship Status

Citizenship Status

#### Veteran Status

Veteran of U.S. Armed Forces?

#### High School Information

High School Completion Type  
 High School Completion Year

#### Ethnicity and Race (for race, choose one or more)

Ethnicity  
 Race: White  
 Race: Black or African American  
 Race: Asian  
 Race: American Indian or Alaska Native  
 Race: Native Hawaiian or Other Pacific Islander

#### Permanent Contact Information

Permanent Address  
 Is the student a permanent resident of [the state in which your institution is located]?

#### Local Contact Information

Address Line 1  
 Address Line 2  
 City  
 State  
 ZIP

#### Phone

Phone 1  
 Phone 1 Type  
 Phone 2  
 Phone 2 Type

#### Email

Campus Email Address  
 Personal Email Address

#### Parent Contact Information

Parent's Name  
 Parent's Address  
 Parent's Email Address  
 Parent's Phone  
 Parent's Cell Phone  
 Parent's International Phone

#### Other Contact Information

Other Contact's Name  
 Relationship of other contact to student  
 Other Contact's Address  
 Other Contact's Email Address  
 Other Contact's Phone  
 Other Contact's Cell Phone

#### Additional Contact Information

Additional Contact's Name  
 Additional Contact's Phone  
 Relationship of additional contact to student

## Enrollment

### Single items (Collected once per student)

#### Initial Enrollment

First Enrolled at Institution Date  
 Last Enrolled at Institution Date  
 First-time Beginning Student?  
 Accepted Transfer Credit?  
 Remedial Courses Taken?

#### Baccalaureate Degree

Ever Received Baccalaureate Degree?  
 Baccalaureate Received Date

#### Test Scores

ACT English Score  
 ACT Mathematics Score  
 ACT Reading Score  
 ACT Science Score  
 ACT Composite Score  
 SAT Critical Reading Score  
 SAT Mathematics Score  
 SAT Writing Score

### Multi-year items (Collected for each academic year 2011-2012 through 2016-2017)

#### Degree Program and Progress

Program/Degree  
 Graduate Degree Type  
 Class Level  
 Degree Completed Date  
 Expected to Complete Degree Requirements by 6/30/17?  
 Cumulative (Unweighted) GPA

#### Major

First Major  
 First Major CIP Code  
 Second Major  
 Second Major CIP Code  
 Major Undeclared?

#### Clock Hours

Total Number of Clock Hours in Program  
 Cumulative Clock Hours Completed

#### Credit Hours

Total Number of Credit Hours in Program  
 Cumulative Credit Hours Completed

#### Tuition Charged

Total Tuition and Mandatory Fees CHARGED  
 Residency for Tuition Purposes

#### Enrollment by Term

Enrollment Status (for up to 12 terms)  
 Credit Units (for up to 12 terms)

## Budget

### Collected for each academic year 2011-2012 through 2016-2017

Budget Period  
 Student Residence  
 Tuition/Fees  
 Room and Board  
 Books/Supplies

Transportation  
 Computer/Technology  
 Health Insurance  
 All Other  
 Budgeted Total Cost of Attendance

# Financial Aid

Collected for each academic year 2011-2012 through 2016-2017

## Satisfactory Academic Progress

Placed on Financial Aid Warning  
Placed on Financial Aid Probation  
Financial Aid Ineligibility

## Federal Aid

Student had federal aid for the financial aid year?

Pell Grant  
Subsidized Direct/Stafford Loan  
Unsubsidized Direct/Stafford Loan  
Parent PLUS Loan  
Graduate PLUS Loan  
Federal TEACH Grant  
Perkins Loan  
Federal SEOG Grant  
Federal Work Study AWARDED  
Iraq & Afghanistan Service Grant  
Veterans Benefit

## State Aid (up to 3 awards)

Student had state aid for the financial aid year?  
State Program Name  
State Program Type  
State Program Amount

## Institution Aid (up to 3 awards)

Student had institution aid for the financial aid year?  
Institution Program Name  
Institution Program Type  
Institution Program Amount

## Graduate Aid (up to 3 awards)

Student had graduate aid for the financial aid year?  
Graduate Aid Type  
Graduate Aid Amount

## Private Aid or Other Government Aid (up to 3 awards)

Student had private aid or other government aid for the financial aid year?  
Private Aid or Other Government Aid Type  
Private Aid or Other Government Aid Amount

## Other Aid (up to 3 awards)

Student had other aid for the financial aid year?  
Other Aid Name  
Other Aid Type  
Other Aid Source  
Other Aid Amount