Appendix A
Technical Review Panel
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Technical Review Panel

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NPSAS:04 Field Test Methodology Report 102
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Appendix B
Data Collection Notification Materials

Institutional Contacting Letters
Field Test Letter to Chief Administrative Officer in Both NPSAS/NSOPF Samples........... 111
Field Test Letter to Chief Administrative Officer in NPSAS-Only Sample ..................... 113
Field Test Institutional Coordinator Letter to Both NPSAS/NSOPF Samples............... 115
Field Test Institutional Coordinator Letter to NPSAS-Only Sample ............................ 117

Student Contacting Letters
NPSAS Lead Letter............................................................................................................. 121
NPSAS Instruction Sheet.................................................................................................... 122
NPSAS Nonresponse Letter............................................................................................... 123
NPSAS Refusal Letter ........................................................................................................ 124
Final Letter........................................................................................................................ 125

Brochures
NSoFaS Brochure ............................................................................................................ 129
NPSAS 2004 Field Test Student Brochure......................................................................... 133
NSOPF 2004 Field Test Faculty Brochure........................................................................... 135
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Institutional Contacting Letters
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FIELD TEST LETTER TO CHIEF ADMINISTRATIVE OFFICER
IN BOTH NPSAS/NSOPF SAMPLE

[DATE]

[CAO NAME], [TITLE]
[INSTITUTION’S NAME]
[INSTITUTION’S ADDRESS]
[CITY] [STATE] [ZIP]

Dear [CAO NAME]:

[INSTITUTION’S NAME] has been selected to participate in the field test of the 2004 National Study of Faculty and Students (NSoFaS:04), being conducted for the National Center for Education Statistics, part of the U.S. Department of Education, by the RTI International (RTI). NSoFaS is designed to collect data from nationally representative samples of students, faculty and instructional staff. This study provides vital information on changes over time in two pivotal areas of national concern:

- How do students and their families finance education after high school?
- Who teaches in our colleges and universities and how do they conduct their work?

To make realistic plans for the future of higher education, planners and policymakers at all levels—institutional, state and federal—need reliable and current national data on available resources, and on the constraints and demands being made on higher education. In response to the continuing need for the data provided by NSoFaS, Congress has authorized the National Center for Education Statistics (NCES) to collect the data periodically. Information on students and student financial aid was previously collected in 1987, 1990, 1993, 1996 and 2000 as part of the National Postsecondary Student Aid Study (NPSAS). Data on full- and part-time faculty and instructional staff were collected for the National Study of Postsecondary Faculty (NSOPF) in 1988, 1993 and 1999. These two studies are being conducted together to minimize the response burden to participating institutions. Additional information is provided in the enclosed materials, which include the NSoFaS brochure, as well as the brochures that will be mailed to student and faculty respondents.

The purpose of the field test is to evaluate survey instruments and procedures so that the full-scale study is as effective as possible. Your institution’s participation is crucial to the success of the field test. Institutions selected for the field test will not be asked to participate in the full-scale study. I am writing to request your assistance by appointing an NSoFaS coordinator who will oversee the preparation of lists of faculty and students at your institution, and who will complete a brief Internet questionnaire on institutional policies and procedures related to faculty at your institution. The lists prepared by your institution will be used to draw samples of faculty and students for participation in NSOPF and NPSAS, respectively. (Both faculty and student respondents will be asked to complete their interviews on the Internet.)
The individual designated as coordinator should be someone who is familiar with data and information sources at your institution (such as the Director of Institutional Research). Should you require any assistance in selecting an appropriate coordinator (for example, we might be able to identify someone who has worked on these studies at your institution previously), you may call the NSoFaS Help Desk at 1–866–NSOFAS4.

**Federal law protects the confidentiality of all data that would identify individuals.** Details on data collection procedures (including a full description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information and demographic data) are provided in the enclosed brochures.

An RTI representative will contact your coordinator to discuss the study procedures for your institution. Additional information about NSoFaS, including reports based on data from previous NSOPF and NPSAS studies, is available on the NSoFaS Web Site: https://surveys.nces.ed.gov/nsosas. If you have any questions about the study or procedures involved, please contact Brian Kuhr, the Project Coordinator at RTI, by telephone, at 1–866–676–3274 or e-mail (nsolas@rti.org).

You may also direct questions to NCES by contacting James Griffith, at 1–202–502–7387 (e-mail address: James.Griffith@ed.gov) or Linda Zimbler at 1–202–502–7481 (e-mail address: Linda.Zimbler@ed.gov).

The *Designation of Coordinator* form may be completed online at the NSoFaS Web Site, using the IPEDS UNITID and password printed below.

We look forward to [INSTITUTION’S NAME] participation in this important study. Thank you for your cooperation and prompt completion of the enclosed NSoFaS *Designation of Coordinator Form*.

Sincerely,

Gary W. Phillips, Ph.D.
Deputy Commissioner

Enclosures

| The NSoFaS Designation of Coordinator Form may be completed online at: |
| [https://surveys.nces.ed.gov/nsosas](https://surveys.nces.ed.gov/nsosas) |
| IPEDS UNITID: <<ipeds number>> |
| Password: <<password>> |
FIELD TEST LETTER TO CHIEF ADMINISTRATIVE OFFICER
IN NPSAS ONLY SAMPLE

[DATE]

[CAO NAME], [TITLE]
[INSTITUTION’S NAME]
[INSTITUTION’S ADDRESS1]
[INSTITUTION’S ADDRESS2]
[CITY] [STATE] [ZIP]

Dear [CAO NAME]:

[INSTITUTION’S NAME] has been selected to participate in the field test of the 2004 National Postsecondary Student Aid Study (NPSAS:04), a component study of the 2004 National Study of Faculty and Students (NSoFaS:04). NSoFaS is being conducted for the National Center for Education Statistics, part of the U.S. Department of Education, by RTI International (RTI). NSoFaS is designed to collect data from nationally representative samples of students, faculty, and instructional staff. NPSAS is a major nationwide study of how students and their families finance education after high school. We are writing to request that you appoint a NSoFaS coordinator to oversee preparation of a student enrollment data file. The data file will be used to draw a sample of students, who will be asked to complete an Internet questionnaire.

The purpose of the field test is to evaluate survey forms and procedures so that the full-scale study is as effective as possible. Your institution’s participation is crucial to the success of the field test. Institutions selected for the field test will not be asked to participate in the full-scale study.

The individual designated as coordinator should be someone who is familiar with the relevant data and information sources at your institution (such as a Financial Aid Administrator or the Director of Institutional Research). Should you require any assistance in selecting an appropriate coordinator (such as identifying the previous NPSAS Coordinator at your institution), you may call the NSoFaS Help Desk at 1–866–NSOFAS4.

To make realistic plans for the future of higher education, planners and policymakers at all levels—institutional, state and federal—need reliable and current national data on available resources, as well as on the constraints and demands on higher education. In response to the continuing need for the data provided by NSoFaS, Congress has authorized the National Center for Education Statistics (NCES) to collect this data periodically. Information on student financial aid was previously collected in 1987, 1990, 1993, 1996 and 2000 as part of the National Postsecondary Student Aid Study (NPSAS).

Federal law protects the confidentiality of all data that would identify individuals. Details on data collection procedures (including a full description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information and demographic data) are provided in the materials enclosed.
Appendix B: Data Collection Notification Materials
Institutional Contacting Letters

An RTI representative will contact your coordinator to discuss the study procedures for your institution. If you have any questions about the study or procedures involved please contact Brian Kuhr, the Project Coordinator at RTI, by telephone, at 1–800–676–3274 or e-mail (nsofas@rti.org). Additional information about NSoFaS, including reports based on data from previous NPSAS studies, is available on the NSoFaS Web Site: https://surveys.nces.ed.gov/nsofas. You may also direct questions to NCES by contacting James Griffith, at 1–202–502–7387 (e-mail address: James.Griffith@ed.gov).

The Designation of Coordinator form may be completed online at the NSoFaS Web Site. To do this, use your IPEDS UNITID and password printed below.

We look forward to [INSTITUTION’S NAME] participation in this important study. Thank you for your cooperation and prompt completion of the enclosed NSoFaS Designation of Coordinator Form.

Sincerely,

[Signature]

Gary W. Phillips, Ph.D.
Deputy Commissioner

Enclosures

The Designation of Coordinator Form may be completed online at:

https://surveys.nces.ed.gov/nsofas

IPEDS UNITID: <<ipeds number>>
FIELD TEST INSTITUTIONAL COORDINATOR LETTER
TO BOTH NPSAS/NSOPF SAMPLE

<<DATE>>

<<COORD NAME>>, <<TITLE>>, <<INST NAME>>
<<ADDR 1>>, <<ADDR2>>, <<CITY STATE ZIP>>

Dear <<NAME>>:

The Chief Administrative Officer of your institution has selected you as Institution Coordinator for the field test of the 2004 National Study of Faculty and Students (NSoFaS:04). NSoFaS:04 is being conducted for the National Center for Education Statistics, part of the U.S. Department of Education, by the Research Triangle Institute (RTI). NSoFaS is designed to collect data from nationally representative samples of students, faculty and instructional staff. This study provides vital information on changes over time in two pivotal areas of national concern:

- How do students and their families finance education after high school?
- Who teaches in our colleges and universities and how do they conduct their work?

In response to the continuing need for the data provided by NSoFaS, Congress has authorized the National Center for Education Statistics (NCES) to collect the data periodically. Data on full- and part-time faculty and instructional staff were collected for the National Study of Postsecondary Faculty (NSOPF) in 1988, 1993 and 1999. Information on students and student financial aid was previously collected in 1987, 1990, 1993, 1996 and 2000 as part of the National Postsecondary Student Aid Study (NPSAS).

The purpose of the field test is to evaluate survey instruments and procedures so that the full-scale study will be as effective as possible. Your institution’s participation is crucial to the success of the field test. Institutions selected for the field test will not be asked to participate in the full-scale study. Forms, instructions and a complete data collection schedule for the two component studies are contained in this binder.

As the NSoFaS:04 Institution Coordinator for the faculty component (NSOPF), we are asking you to:

- Prepare and send a complete data file listing of all full- and part-time faculty, adjunct faculty and instructional staff (including available contact and all available demographic information) by December 6, 2002. The file should be current as of November 1, 2002 or the date at your institution when faculty rosters for the Fall Academic term are complete. Data files for NSoFaS may be uploaded on the secure NSoFaS Web Site, sent by e-mail, or mailed using the pre-addressed Federal Express air bill provided (see complete instructions in this binder).
Appendix B: Data Collection Notification Materials
Institutional Contacting Letters

- Complete the *Institution Questionnaire* online at the NSoFaS Web Site by December 6, 2002. To do this, use your IPEDS UNITID and password printed at the bottom of this letter. The questionnaire may be completed in multiple sittings; however, Question 1 (which asks for counts of full- and part-time faculty and instructional staff at your institution) should be answered at the time you send your list of faculty. A facsimile of the questionnaire is included in your binder.

As the NSoFaS:04 Institution Coordinator for the student component (NPSAS), we are asking you to:

- Complete the *Coordinator Response Sheet* online at the NSoFaS Web Site, within the next two weeks, using your IPEDS UNITID and password printed at the bottom of this letter. We will schedule data collection for your institution based on the information you provide. A facsimile of the *Coordinator Response Sheet* is included in your binder.

- Coordinate collection of your institution’s student enrollment list. Prepare and send a data file to include all students enrolled at any time between July 1, 2002 and April 30, 2003.

- Provide the information requested for each student who is sampled. This includes specific information on their enrollment status, financial assistance and demographic characteristics.

Additional information may be found in the materials enclosed; we have provided a copy of the brochures to be mailed to faculty and students, as well as an NSoFaS brochure. If you have further questions, please contact the NSoFaS Help Desk at 1–866–NSOFAS4 (1-866-676-3274).

**Federal law authorizes this data collection and protects the confidentiality of all data that would identify individuals.** Details on data collection procedures (including a full description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information and demographic data) are provided in the materials enclosed. Questions about the study or procedures should be directed to Brian Kuhr, the Project Coordinator at RTI, by telephone, at 1–866–676–3274 or e-mail (nsofas@rti.org). You may also direct questions to NCES by contacting James Griffith, at 1–202–502–7387 (e-mail address: James.Griffith@ed.gov) or Linda Zimbler at 1–202–502–7481 (e-mail address: Linda.Zimbler@ed.gov).

An RTI representative will contact you to discuss the study procedures for your institution. Go to the NCES Web Site at https://surveys.nces.ed.gov/nsofas for survey forms and detailed information about NSoFaS, including reports based on data from previous NSOPF and NPSAS studies. We look forward to <<INSTITUTION NAME>>’s participation in this important study. Thank you for your cooperation.

Sincerely,

Gary W. Phillips, Ph.D.
Deputy Commissioner

**Complete the Coordinator Response Sheet and Institution Questionnaire at:**

https://surveys.nces.ed.gov/nsofas

IPEDS UNITID: <<ipeds number>>

Password: <<password>>
FIELD TEST INSTITUTIONAL COORDINATOR LETTER
TO NPSAS ONLY SAMPLE

<<DATE>>

<<COORD NPSAS ONLY NAME>>, <<TITLE>>
<<INST NAME>>
<<ADDR 1>>
<<ADDR 2>>
<<CITY STATE ZIP>>

Dear <<NAME>>:

The Chief Administrative Officer of your institution has selected you as Institution Coordinator for the field test of the 2004 National Postsecondary Student Aid Study (NPSAS:04), a component study of the 2004 National Study of Faculty and Students (NSoFaS:04). NSoFaS:04 is being conducted for the National Center for Education Statistics, part of the U.S. Department of Education, by Research Triangle Institute (RTI). NSoFaS is designed to collect data from nationally representative samples of students, faculty, and instructional staff. This study provides vital information on changes over time in two pivotal areas of national concern:

- How do students and their families finance education after high school?
- Who teaches in our colleges and universities and how do they conduct their work?

In response to the continuing need for the data provided by NSoFaS, Congress has authorized the National Center for Education Statistics (NCES) to collect this data periodically. Information on student financial aid was previously collected in 1987, 1990, 1993, 1996 and 2000 as part of the National Postsecondary Student Aid Study (NPSAS).

The purpose of the field test is to evaluate survey forms and procedures so that the full-scale study is as effective as possible. Your institution’s participation is crucial to the success of the field test. Institutions selected for the field test will not be asked to participate in the full-scale study. Forms, instructions and a complete data collection schedule for the study are enclosed.

As the Institution Coordinator for NPSAS, we are asking you to:

- Complete the Coordinator Response Sheet online at the NsoFaS Web Site within the next two weeks. To do this, use your IPEDS UNIID and password printed at the bottom of this letter. We will schedule data collection for your institution based on the information you provide. A facsimile of the Coordinator Response Sheet is included in your binder.

- Coordinate collection of your institution’s student enrollment list. Prepare and send a data file to include all students enrolled at any time between July 1, 2002 and April 30, 2003.

Provide the information requested for each student that is sampled. This includes specific information on their enrollment status, financial assistance and demographic characteristics.
Additional information may be found in the materials enclosed; we have provided a copy of the brochure to be mailed to students as well as an NSoFaS brochure. If you have further questions, please contact the NSoFaS Help Desk at 1–866–NSOFAS 4 (1-866-676-3274).

**Federal law authorizes this data collection and protects the confidentiality of all data that would identify individuals.** Details on data collection procedures (including a full description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information and demographic data) are provided in the materials enclosed. Questions about the study or procedures should be directed to Brian Kuhr, the Project Coordinator at RTI, by telephone, at 1–866–676–3274 or e-mail (nsofas@rti.org). You may also direct questions to NCES by contacting James Griffith, at 1–202–502–7387 (e-mail address: James.Griffith@ed.gov).

An RTI representative will contact you to discuss the study procedures for your institution. Go to the NSoFaS Web Site at https://surveys.nces.ed.gov/nsofas, for survey forms and detailed information about NSoFaS, including reports based on previous NPSAS studies. We look forward to <<INSTITUTION NAME>>’s participation in this important study. Thank you for your cooperation.

Sincerely,

Gary W. Phillips, Ph.D.
Deputy Commissioner

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Complete the *Coordinator Response Sheet* online at:

https://surveys.nces.ed.gov/nsofas

**IPEDS UNITID:**

**Password:**

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Enclosures
Student Contacting Letters
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Appendix B: Data Collection Notification Materials

Student Contacting Letters

**NPSAS Lead Letter**

Name
Address 1
Address 2
City, State Zip

Dear Name:

I am writing to ask you to participate in an important study of postsecondary education students in the United States and Puerto Rico. The purpose of the study is to determine how students and their families meet the cost of education beyond high school. As part of your participation, we are asking you to complete a questionnaire over the Internet about how you paid for your school expenses during the 2002–2003 school year, whether you received financial aid, and if you did receive financial aid, whether the amount of aid was enough to meet your school expenses. If you did not receive financial aid during the 2002-2003 school year, you will be asked about how you paid for your education. On average, the questionnaire takes about 25 minutes to finish.

Students from all types of postsecondary institutions and all financial situations have been randomly selected to participate in the field test for this study—the 2004 National Postsecondary Student Aid Study. RTI International (RTI) of North Carolina is conducting the study for the U.S. Department of Education.

To complete the questionnaire over the Internet:

- Go to: https://surveys.nces.ed.gov/npsas
- Type the study ID and password (provided below) on the Home/Login page, and
- Press “Enter” or click “Login” to begin the questionnaire.

Participation in this study is voluntary and will not affect any aid or any other benefits you may receive. While you may decline to answer any question on the survey, your involvement in this study is critical to its success. We have enclosed a pamphlet that answers common questions about the field test and full-scale studies, and contains additional information on laws and procedures protecting your confidentiality.

If you do not complete the questionnaire over the Internet, an RTI interviewer will call you to complete the questionnaire by telephone.

If you have questions about the study, you can visit our web site at https://surveys.nces.ed.gov/npsas, you can call us toll free at 1-866-NPSAS04 (1-866-677-2704), or you can e-mail us at npsas@rti.org. Persons who are hearing or speech-impaired can call us at 1-877-212-7230 (TDD).

We sincerely appreciate your participation and thank you in advance for helping us conduct this very important study.

Sincerely,

C. Dennis Carroll, Ph.D.
Associate Commissioner
Postsecondary Studies Division

Go to: https://surveys.nces.ed.gov/npsas
Your study ID: <<ID FILL>>
Your password: <<PASSWORD FILL>>
HOW TO COMPLETE THE
NPSAS:04 FIELD TEST QUESTIONNAIRE

To complete the self-directed web questionnaire:

1. Go to: https://surveys.nces.ed.gov/npsas

2. At the login and password prompts, enter your study ID and password.

3. Press “Enter” or click “Login” to begin the questionnaire.

If you need assistance in completing the self-directed web questionnaire or if you would like to complete the questionnaire over the phone, please call our Help Desk at 1–866–NPSAS04 (1–866–677–2704) for assistance.

You may complete the NPSAS web questionnaire at any time during the data collection period. We will also begin making calls asking study participants to complete the questionnaire over the phone starting on March 17, 2003.

For more information about this study visit the web site at:

https://surveys.nces.ed.gov/npsas

NOTE: The study has been approved by the Office of Management and Budget (OMB). The valid OMB control number for this information collection is 1850-0666. The expiration date is 06/30/2004. Public reporting burden for this information request in its entirety is estimated at 25 minutes per response. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, DC 20202–4651; and to the Office of Management and Budget, Paperwork Reduction Project 1850–0608, Washington, DC 20503.
NPSAS Nonresponse Letter

«npsasid»
«fname» «mname» «lname» «suffix»
«Addr1»
«Addr2»
«City», «State» «Zip»-«Zip4»

Dear «sPretty_name»:

On behalf of the U.S. Department of Education, we would like to interview you for the National Postsecondary Student Aid Study (NPSAS). The purpose of the study is to determine how students and their families meet the cost of education beyond high school.

Your participation in this study is very important, regardless of whether you have received financial aid or not. Your opinions and experiences financing your education after high school will represent the thousands of students like you who also lead busy lives. Because the results from this study will help develop policy related to financing higher education, your experiences and opinions will help decide how our future tax dollars are spent. Be assured that your answers will be kept confidential and protected to the fullest extent allowable under law.

We have been unable to reach you by telephone to complete the interview; therefore, we urge you to contact us by calling toll free at 1-866-NPSAS04 (1-866-677-2704), or e-mailing us at npsas@rti.org. If you have questions about the study or would rather complete the interview on the internet, you can visit our web site at https://surveys.nces.ed.gov/npsas. Persons who are hearing or speech-impaired can call us at 1-877-212-7230 (TDD). {IF IN INCENTIVE GROUP:} Upon completion of the interview, you will receive your choice of a $20 check or a gift certificate from Amazon.com, as a token of our appreciation.

Thank you for your time and willingness to participate.

Sincerely,

James Griffith, Ph.D.
NCES Project Officer

Go to: https://surveys.nces.ed.gov/npsas
Your study ID: <<ID FILL>>
Your password: <<PASSWORD FILL>>
Appendix B: Data Collection Notification Materials

Student Contacting Letters

NPSAS Refusal Letter

Date

NPSAS ID: «npsasid»

«fname» «mname» «lname» «suffix»
«Addr1»
«Addr2»
«City», «State» «Zip»-«Zip4»

Dear «sPretty_name»:

I understand that you recently spoke with a member of our project staff for the National Postsecondary Student Aid Study (NPSAS) that we are conducting for the U.S. Department of Education. The purpose of the study is to determine how students and their families meet the cost of education beyond high school.

**Your participation in this study is very important**, regardless of whether you have received financial aid or not. Your opinions and experiences financing your education after high school will represent the thousands of students like you who also lead busy lives. Because the results from this study will help develop policy related to financing higher education, your experiences and opinions will help decide how our future tax dollars are spent. Be assured that your answers will be kept confidential and protected to the fullest extent allowable under law.

If you have questions about the study or would like to complete the interview on the internet, you can visit our web site at [https://surveys.nces.ed.gov/npsas](https://surveys.nces.ed.gov/npsas). To contact us directly you can call us toll free at 1-866-NPSAS04 (1-866-677-2704), or you can e-mail us at npsas@rti.org. Persons who are hearing or speech-impaired can call us at 1-877-212-7230 (TDD). *IF IN INCENTIVE GROUP:* Upon completion of the interview, we would like to send you your choice of a $20 check or a gift certificate from Amazon.com, as a token of our appreciation.

Thank you for your time and willingness to participate.

Sincerely,

James Griffith, Ph.D.
NCES Project Officer

Go to: [https://surveys.nces.ed.gov/npsas](https://surveys.nces.ed.gov/npsas)
Your study ID: «ID FILL>>
Your password: «PASSWORD FILL>>
Final Letter

Dear «sPretty_name»:

On behalf of the U.S. Department of Education, we would like to interview you for the National Postsecondary Student Aid Study (NPSAS). The purpose of the study is to determine how students and their families meet the cost of education beyond high school.

Your participation in this study is very important, regardless of whether you have received financial aid or not. By completing the study questionnaire, which asks about your experiences and opinions, you will help congress develop more effective policies related to how students and families finance higher education. Be assured that your responses will be kept confidential and protected to the fullest extent allowable under law.

Data collection for NPSAS is coming to a close, so we urge you to contact us this week, by calling toll free at 1-866-NPSAS04 (1-866-677-2704), or e-mailing us at npsas@rti.org. If you have questions about the study or would rather complete the interview on the internet, you can visit our web site at https://surveys.nces.ed.gov/npsas. Persons who are hearing or speech-impaired can call us at 1-877-212-7230 (TDD). Upon completion of the interview, you will receive your choice of a $20 check or a gift certificate from Amazon.com, as a token of our appreciation.

Thank you for your time and willingness to participate.

Sincerely,

John Riccobono, Ph.D.
NPSAS Project Director

Go to: https://surveys.nces.ed.gov/npsas
Your study ID: «caseid»
Your password: «password»
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Brochures
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Appendix B: Data Collection Notification Materials

Brochures
The quality and affordability of postsecondary education are vital concerns for students and their families. That is why the information gathered by the 2004 National Study of Faculty and Students (NSoFaS:04) is so important. NSoFaS:04 explores how families with varying resources are able to pay for education after high school, and provides comprehensive data on the enrollment status, education goals, employment and demographic characteristics of postsecondary students. It also provides critical data on those individuals who are most pivotal to a quality education—faculty and instructional staff—including information on their training, experience, and duties, as well as the key policy issues affecting them and their work.
Appendix B: Data Collection Notification Materials Brochures

Basic Issues

National Study of Postsecondary Faculty (NSOPF)

NSOPF responds to the continuing need for data on postsecondary faculty. Research questions that can be studied using the data from NSOPF include:

- How many full- and part-time faculty are employed by distinct types of institutions?
- What are the background characteristics of full- and part-time faculty and instructional staff?
- What career paths do faculty pursue and what retirement plans are available to faculty and instructional staff?
- What are the workloads of faculty and instructional staff, and how much time is allocated to instruction?

National Postsecondary Student Aid Study (NPSAS)

NPSAS data provide information on the costs of postsecondary education, the distribution of financial aid, and the characteristics of both aided and unaided students and their families. Research questions that can be studied using the data from NPSAS include:

- What is the "net price" of education to the student and family?
- How is student "need" for financial aid being met?
- How much are students borrowing?
- What are the characteristics of students beginning their postsecondary education in 2004 and how many of them persist in postsecondary education?

Data Analysis and Dissemination

To make the data as useful as possible, NCES will publish information in several ways:

- Descriptive reports on selected topics
- Special tabulations
- Data files
- Conferences on study findings

You may view publications from previous NSOPF and NPSAS studies at the NSoFaS Web Site: http://surveys.nces.ed.gov/nsofas

How will the Study be Conducted?

The NSoFaS04 field test will sample about 200 institutions that will be asked to provide lists of enrolled students and current faculty/instructional staff. Over 1,200 postsecondary students and faculty/instructional staff will be randomly selected from these lists. Some institutions will have only students or faculty sampled while others will have both.

The study will include the following sequence of events:

1. The Chief Administrative Officer (CAO) at each institution is asked to designate an NSoFaS04 Institutional Coordinator(s) to work with RTI.
2. RTI contacts the Institutional Coordinator(s) to clarify the tasks, time-line, and responsibilities.
3. The Institutional Coordinator supplies RTI with student and/or faculty lists (depending on whether the institution is sampled for one or both components—NSOPF or NPSAS). Lists will include contact and basic demographic information.
4. RTI selects a sample of students and/or faculty from these lists.
5. The Institutional Coordinator, in the designated staff, completes a Web-based questionnaire about institutional policies/practices related to faculty in their institution (NSOPF).
6. The Institutional Coordinator, in the designated staff, provides record information (e.g., enrollment status, major, aid package received) for only the students sampled for the study (NPSAS).
7. Sampled students and faculty complete Web-based or telephone interviews.

These activities may differ somewhat according to your type of institution and method of record keeping. Web-based data entry applications have been developed to facilitate faculty participation and to minimize the burden on institutional staff in gathering the data for selected students. The software is user-friendly and efficient. For NPSAS, RTI field staff will be available for assistance during the record abstraction phase.

Schedule

The field test will evaluate all procedures and systems to ensure that the main study, which begins one year later, is successful. Timeline for key activities during the field test include:

<table>
<thead>
<tr>
<th>BEGINNING DATE</th>
<th>TYPE OF ACTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 2002</td>
<td>RTI contacts Chief Administrative Officer</td>
</tr>
<tr>
<td>October 2002</td>
<td>RTI requests Faculty List from Institutional Coordinator (NSOPF)</td>
</tr>
<tr>
<td>November 2002</td>
<td>Web-based questionnaire completed by Institutional Coordinator (NSOPF)</td>
</tr>
<tr>
<td>December 2002</td>
<td>RTI samples faculty to be included in NSOPF</td>
</tr>
<tr>
<td>January 2003</td>
<td>Web-based faculty questionnaires begin (NSOPF)</td>
</tr>
<tr>
<td>January 2003</td>
<td>RTI requests Student Enrollment List from Institutional Coordinator (NPSAS)</td>
</tr>
<tr>
<td>February 2003</td>
<td>RTI selects students to be included in NPSAS</td>
</tr>
<tr>
<td>February 2003</td>
<td>Records on sampled students abstracted by Institutional Coordinator (NPSAS)</td>
</tr>
<tr>
<td>March 2003</td>
<td>Web-based student questionnaires begin (NPSAS)</td>
</tr>
</tbody>
</table>
Confidentiality Issues

RTI International, as the contractor for NCES, has been given the authority to collect information from institutional records under the provisions of The National Education Statistics Act of 1994. The National Education Statistics Act (NESA) of 1994, as amended by the USA PATRIOT Act of 2001, authorizes NCES to collect and disseminate information about education in the United States. Collection is most often done through surveys. This Act, which incorporates and expands upon the Privacy Act of 1974, requires strict procedures to protect the confidentiality of persons in the collection, reporting, and publication of data. The Family Education Rights and Privacy Act of 1974 (FERPA) (20 U.S.C. 1232g) allows for the release of institutional record information to the Secretary of Education or his agent without prior consent of survey members (20 U.S.C. 1232g(b)(1)).

All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, unless otherwise compelled by law.

Protection of Electronic Files (e-files)
All e-files from institution records and student, parent, and faculty interviews will be carefully protected. Computer accounts used to access e-data will be password protected with multi-level access controls to ensure that only those individuals with a need to access confidential information are allowed access to it. For the Web-based data collection, proven methods of protection for online sessions and data security over the Internet will be used. Secure Socket Layer (SSL) protocol is used to encrypt the data over the Internet. All the data entry modules on the site are password protected, where the user is required to login to the site before accessing confidential data. The system automatically logs the user out after 30 minutes of inactivity on the session. This prevents any unauthorized user from browsing through the site.

Protection of Paper Records
All paper records will be maintained in locked storage cabinets. A unique study identification variable (not the social security number or school ID) will be created and maximized for each survey participant to protect against disclosure of confidential data.

Preparation of Data for Public Release
All data released to the general public (for example, statistical tables) will be disguised so that it will not be possible to identify specific individuals.

Violations
Anyone who violates the confidentiality provisions of this Act shall be fined a sum not to exceed $250,000, and/or imprisoned for not more than five years.
Brochures

Appendix B: Data Collection Notification Materials
Appendix B: Data Collection Notification Materials

Who is conducting the study?
NPSAS is sponsored by the U.S. Department of Education’s National Center for Education Statistics (NCES) and conducted under contract by RTI International (RTI). RTI is a not-for-profit research organization with headquarters in North Carolina.

Who is included in the study?
About 1,200 students have been randomly selected from enrollment lists at 150 postsecondary institutions in the United States and Puerto Rico.

When will the study be conducted?
Beginning in spring 2003, a field test of 200 institutions and 1,500 randomly sampled students will be conducted to refine the data collection procedures and questionnaires that will be used during the full scale study one year later with over 1,500 institutions and 120,000 students.

Why should I participate?
By participating, you have the opportunity to help policy makers, researchers, counselors, and others better understand and meet the financial needs of postsecondary students in the United States and Puerto Rico.

In addition to describing “who” is enrolling in postsecondary institutions, the data you and others provide will be used to decide future student financial aid policy.

Participation in this study is voluntary. Your participation, however, is essential to making this study a success.

How Long will this take?
On average, you should complete the Web-based questionnaire in about 25 minutes.

How can I Participate?
You may complete the study in two ways:

1. Log-in to the Web Site at: https://npsas2004.nces.ed.gov/npsas

Once at the site, select “complete student interview” from the main menu and follow the options. A user ID and password will be provided to you separately. For assistance with accessing the interview via the Web Site, please call the NPSAS Help Desk at 1-866-NPSAS04 (1-866-677-2704).

2. Complete the interview over the phone.

When our staff calls, you may choose to do the interview at that time or set an appointment. We will attempt to identify a convenient time to call. Students may e-mail staff with questions or call the Help Desk at 1-866-NPSAS04 (1-866-677-2704) with best times to do the interview.

Will my answers be kept Confidential?
All your answers will be completely confidential and will not be released in any form that could be identified with you and will be protected to the fullest extent allowable under law. The answers that you provide are put together with the responses from other students, and reported to the general public in statistical form. (The graphs in this brochure are good examples of how data are reported).

The following procedures have been implemented to ensure the confidentiality of your responses:

- Your answers are secured behind firewalls and are encrypted during Internet transmission.
- Any information that identifies you individually is maintained in a separate file and never linked to the answers you provide.
- Project staff can be severely fined or imprisoned for disclosure of individual responses.
- Confidentiality procedures are reviewed and approved by RTI’s Committee for Protection of Human Subjects.

How can I get a copy of the Results?
Publications from previous studies are currently available from the NCES Web Site:
http://nces.ed.gov/NPSAS

Reports can be downloaded or ordered at no charge. Once available, data from the current NPSAS will be posted at the above Web Site. Some current titles of interest are:

Profile of Undergraduates in U.S. Postsecondary Institutions
Student Financing of Undergraduate Education
Student Financing of Graduate and First Professional Education

What have we learned from recent studies?
The following are estimates based on information from 50,000 undergraduates, 11,000 graduates, and 1,000 first-professional students enrolled at approximately 1,000 postsecondary institutions during the 1999-2000 academic year:

- Fifty-five percent of undergraduates (about 9.2 million) received some type of financial aid, averaging $5,265.
- About two out of five undergraduates (40 percent) received some type of federal aid, averaging about $5,230.

Average amounts of selected types of aid for undergraduates: 1999-2000

- Federal Grant
  - $2,030
- State Grant
  - $1,150
- Tuition grant
  - $3,050
- Other Grant
  - $7,100

Average amounts of selected types of aid for undergraduates and first-professional students: 1999-2000

- Federal Grant
  - $12,800
- State Grant
  - $2,755
- Tuition grant
  - $12,800
- Other Grant
  - $8,825
- Entrance Grant
  - $2,046

Annual amounts of selected types of aid for undergraduates and first-professional students: 1999-2000

- Federal Grant
  - $12,800
- State Grant
  - $2,755
- Tuition grant
  - $12,800
- Other Grant
  - $8,825
- Entrance Grant
  - $2,046

Average amounts of selected types of aid for undergraduates and first-professional students: 1999-2000

- Federal Grant
  - $12,800
- State Grant
  - $2,755
- Tuition grant
  - $12,800
- Other Grant
  - $8,825
- Entrance Grant
  - $2,046
Appendix B: Data Collection Notification Materials Brochures

Endorsements
The following organizations recognize the study's contribution to the body of knowledge about faculty in higher education and have endorsed NSOFF-04.

- American Association for Higher Education
- American Association of Collegiate Registrars and Admissions Officers
- American Association of Community Colleges
- American Association of State Colleges and Universities
- American Association of University Professors
- American Council on Education
- American Federation of Teachers
- Association for Institutional Research
- Association of American Colleges and Universities
- Association of Catholic Colleges & Universities
- Career College Association
- The Carnegie Foundation for the Advancement of Teaching
- College and University Professional Association for Human Resources
- The College Board
- The College Fund/UNCF
- Council of Graduate Schools
- The Council of Independent Colleges
- Hispanic Association of Colleges and Universities
- National Association of Colleges 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
- National Education Association

Continuity
The 2004 National Study of Postsecondary Faculty (NSOFF-04) is being conducted for the National Center for Education Statistics (NCES), which is the agency that is responsible for conducting the study. The study is funded by the U.S. Department of Education, Office of Educational Research and Improvement, and is authorized under the Education Amendments of 1974 (20 U.S.C. 1221g), the Higher Education Act of 1965 (20 U.S.C. 1092), and the Higher Education Opportunity Act of 2008 (20 U.S.C. 1092). Confidentiality of all information collected through mechanisms employed in NSOFF is assured by current federal laws and regulations and will be protected to the fullest extent allowable under those laws and regulations.

If you have questions about your rights as a study participant, you can call NCES Office of Research at 1-800-795-3674 (in Washington, DC) or 1-800-424-8537 (toll-free number).

For More Information Contact
Project Director
Dr. Margaret Conner
nsloff04@nces.ed.gov
1-800-NSOFF-04
1-800-635-7004

You may reproduce your interview or simply learn more about NSOFF by viewing our Web site.


Study Summary
Faculty members and instructional staff are those individuals in postsecondary institutions who are most pivotal to a quality education. They determine curriculum content, student performance standards, and the quality of students' preparation for careers. Faculty members perform research and developmental work upon which much of this nation's technological and economic advancement depends. Through their public service activities, they also contribute to the public good. For these reasons, it is essential to understand who they are, what they do, and how and why they are changing.

The National Center for Education Statistics (NCES) is conducting the fourth cycle of the National Study of Postsecondary Faculty (NSOFF) to respond to the continuing need for data on higher education faculty and instructors—those who directly affect the quality of education in postsecondary institutions.

The studies conducted previously in 1990, 1993, and 1999 (NSOFF-90, NSOFF-93, and NSOFF-99, respectively) are the primary sources of comprehensive information on this key professional group. These previous studies generated immediate interest in the postsecondary community. They provided national profiles of faculty and instructional staff in postsecondary institutions in the United States, national benchmarks for faculty productivity and workload, and information on institutional policies and practices affecting faculty.

This fourth cycle of the study will expand the information about faculty and instructional staff in two important ways: (1) it will allow for comparisons to be made over an extended period of time, and (2) it will examine critical issues concerning faculty that have developed since the last study.

Conducted by
RTI International
Research Triangle Park, NC

*RTI International is a trade name of Research Triangle Institute
Study Summary (continued)
The study is designed to address a variety of policy-relevant issues for both faculty and institutions, including:
• How many full- and part-time faculty and instructional staff are there?
• What are the background characteristics of full- and part-time faculty and instructional staff?
• What are the workloads of faculty and instructional staff and how is their time allocated between classroom instruction and other activities?
• What are the compensation and fringe benefits offered to faculty and instructional staff by their institutions? How important are other sources of income?
• What are the salary and job satisfaction levels of faculty and instructional staff?
• What are the circumstances and reasons for full-time and part-time faculty and instructional staff to retire?
• How do institutions change their policies on granting tenure to faculty members? Are changes anticipated in the future?

How NSOFP Will Be Conducted
The National Center for Education Statistics (NCES) has contracted with RTI International to collect the data for this study.
NSOFP-04 includes both a field test and a full-scale study. The field test of 150 institutions and 1,200 faculty will be conducted in the fall and spring of 2002-2003 to refine the data collection procedures and questionnaires. The full-scale study will be conducted in 2003-2004.

data analysis and dissemination
Data collected from NSOFP are made available to the public in various ways.
• Descriptive reports are published by NCES on selected topics. NSOFP publications and data files also be accessed electronically through NCES’s Web Site at: https://nces.ed.gov/nsofp
• Special tabulations are provided on request.
• Data files (without identifying information) are available and:
• Presentations at conferences are made on study findings.

Findings From NSOFP-99
The following are examples of what we learned about faculty characteristics and compensation from NSOFP-99:
• There were about 1.1 million faculty and instructional staff in 4- and 2-year postsecondary institutions in the fall of 1998. Approximately, 58 percent were employed full time and 42 percent were employed part time by their postsecondary institutions.
• Across all institutions of higher education, Whites accounted for 85 percent of full-time instructional faculty and staff and 88 percent of part-time instructional faculty and staff. Asians comprised about 6 percent of the full-time instructional faculty and staff, African-Americans about 5 percent, Hispanics/Latinos about 1 percent, and American Indians less than 1 percent. Minorities accounted for similar proportions of part-time instructional faculty and staff.
• Men made up 64 percent of full-time instructional faculty and staff and 52 percent of part-time instructional faculty and staff. Among full-time instructional faculty and staff, private not-for-profit research universities employed significantly higher percentages of men (74 percent) than women (26 percent), whereas public two-year institutions employed similar percentages of men and women.
• Part-time instructional faculty and staff spent an average of 11 hours a week in the classroom in the fall of 1998.
• The average base salary for full-time instructional faculty and staff during the 1998 calendar year was $36,851. The average total income—base salary, other institutional income, consulting, and other outside income—was $68,607. For part-time instructional faculty and staff, the average gross salary was $11,614, and the average total income was $46,124, including income from other (perhaps full-time) employment.

Faculty Participation
To find out more about the 2004 NSOFP, visit the study Web Site at: https://nces.ed.gov/nsofp
Faculty selected for the field test will be able to complete the interview on the Web beginning in January 2003, or they may wait until an interviewer calls to complete the interview over the telephone. An individual user ID and password will be provided to those faculty that are randomly sampled. Any faculty or instructional staff with questions may call the NSOFP Help Desk at 1-866-676-7304 (1-866-NSOFP04).